

FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY ANNOUNCEMENT



ADVANCED RESEARCH PROJECTS AGENCY – ENERGY (ARPA-E)  
U.S. DEPARTMENT OF ENERGY

***Power Nitride Doping Innovation Offers Devices Enabling  
SWITCHES (PNDIODES)***

Announcement Type: Initial Announcement  
Funding Opportunity No. DE-FOA-0001691  
CFDA Number 81.135

<b>Funding Opportunity Announcement (FOA) Issue Date:</b>	October 27, 2016
<b>Deadline for Questions to <a href="mailto:ARPA-E-CO@hq.doe.gov">ARPA-E-CO@hq.doe.gov</a>:</b>	5 PM ET, December 13, 2016
<b>Submission Deadline for Full Applications:</b>	5 PM ET, January 4, 2017
<b>Submission Deadline for Replies to Reviewer Comments:</b>	5 PM ET, February 24, 2017
<b>Expected Date for Selection Notifications:</b>	March 2017
<b>Total Amount to Be Awarded</b>	Approximately \$6.5 million, subject to the availability of appropriated funds.
<b>Anticipated Awards</b>	ARPA-E may issue one, multiple, or no awards under this FOA. Awards may vary between \$250,000 and \$2.5 million.

- For eligibility criteria, see Section III.A of the FOA.
- For cost share requirements under this FOA, see Section III.B of the FOA.
- To apply to this FOA, Applicants must register with and submit application materials through ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/Registration.aspx>). For detailed guidance on using ARPA-E eXCHANGE, see Section IV.G.1 of the FOA.
- Applicants are responsible for meeting each submission deadline. Applicants are strongly encouraged to submit their applications at least 48 hours in advance of the submission deadline.
- For detailed guidance on compliance and responsiveness criteria, see Sections III.C.1 through III.C.3 of the FOA.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

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## **REQUIRED DOCUMENTS CHECKLIST**

For an overview of the application process, see Section IV.A of the FOA.

For guidance regarding requisite application forms, see Section IV.B of the FOA.

For guidance regarding the content and form of Full Applications and Replies to Reviewer Comments, see Sections IV.C and IV.D of the FOA.

SUBMISSION	COMPONENTS	OPTIONAL/ MANDATORY	FOA SECTION	DEADLINE
Full Application	<ul style="list-style-type: none"> <li>• Each Applicant must submit a Technical Volume in Adobe PDF format by the stated deadline. Applicants may use the Technical Volume template available on ARPA-E eXCHANGE (<a href="https://arpa-e-foa.energy.gov">https://arpa-e-foa.energy.gov</a>). The Technical Volume must include the following:               <ul style="list-style-type: none"> <li>○ Executive Summary (1 page max.)</li> <li>○ Sections 1-5 (30 pages max.)                   <ul style="list-style-type: none"> <li>• 1. Innovation and Impact</li> <li>• 2. Proposed Work</li> <li>• 3. Team Organization and Capabilities</li> <li>• 4. Technology to Market</li> <li>• 5. Budget</li> </ul> </li> <li>○ Bibliographic References (no page limit)</li> <li>○ Personal Qualification Summaries (each PQS limited to 3 pages in length, no cumulative page limit)</li> </ul> </li> <li>• The Technical Volume must be accompanied by:               <ul style="list-style-type: none"> <li>○ SF-424 (no page limit, Adobe PDF format);</li> <li>○ Budget Justification Workbook/SF424A (no page limit, Microsoft Excel format)</li> <li>○ Summary for Public Release (250 words max., Adobe PDF format);</li> <li>○ Summary Slide (1 page limit, Microsoft PowerPoint format) – Applicants may use the Summary Slide template available on ARPA-E eXCHANGE (<a href="https://arpa-e-foa.energy.gov">https://arpa-e-foa.energy.gov</a>); and</li> <li>○ Completed and signed Business Assurances &amp; Disclosures Form (no page limit, Adobe PDF format).</li> <li>○ U.S. Manufacturing Plan (1 page limit, Adobe PDF format)</li> </ul> </li> </ul>	Mandatory	IV.C	5 PM ET, January 4, 2017
Reply to Reviewer Comments	<ul style="list-style-type: none"> <li>• Each Applicant may submit a Reply to Reviewer Comments in Adobe PDF format. This submission is optional. Applicants may use the Reply to Reviewer Comments template available on ARPA-E eXCHANGE (<a href="https://arpa-e-foa.energy.gov">https://arpa-e-foa.energy.gov</a>). The Reply may include:               <ul style="list-style-type: none"> <li>○ Up to 2 pages of text; and</li> <li>○ Up to 1 page of images.</li> </ul> </li> </ul>	Optional	IV.D	5 PM ET, February 24, 2017

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## I. FUNDING OPPORTUNITY DESCRIPTION

### A. AGENCY OVERVIEW

The Advanced Research Projects Agency – Energy (ARPA-E), an organization within the Department of Energy (DOE), is chartered by Congress in the America COMPETES Act of 2007 (P.L. 110-69), as amended by the America COMPETES Reauthorization Act of 2010 (P.L. 111-358) to:

- “(A) to enhance the economic and energy security of the United States through the development of energy technologies that result in—
- (i) reductions of imports of energy from foreign sources;
  - (ii) reductions of energy-related emissions, including greenhouse gases; and
  - (iii) improvement in the energy efficiency of all economic sectors; and
- (B) to ensure that the United States maintains a technological lead in developing and deploying advanced energy technologies.”

ARPA-E issues this Funding Opportunity Announcement (FOA) under the programmatic authorizing statute codified at 42 U.S.C. § 16538. The FOA and any awards made under this FOA are subject to 2 C.F.R. Part 200 as amended by 2 C.F.R. Part 910.

ARPA-E funds research on and the development of high-potential, high-impact energy technologies that are too early for private-sector investment. The agency focuses on technologies that can be meaningfully advanced with a modest investment over a defined period of time in order to catalyze the translation from scientific discovery to early-stage technology. For the latest news and information about ARPA-E, its programs and the research projects currently supported, see: <http://arpa-e.energy.gov/>.

**ARPA-E funds transformational research.** Existing energy technologies generally progress on established “learning curves” where refinements to a technology and the economies of scale that accrue as manufacturing and distribution develop drive down the cost/performance metric in a gradual fashion. This continual improvement of a technology is important to its increased commercial deployment and is appropriately the focus of the private sector or the applied technology offices within DOE. By contrast, ARPA-E supports transformative research that has the potential to create fundamentally new learning curves. ARPA-E technology projects typically start with cost/performance estimates well above the level of an incumbent technology. Given the high risk inherent in these projects, many will fail to progress, but some may succeed in generating a new learning curve with a projected cost/performance metric that is significantly lower than that of the incumbent technology.

**ARPA-E funds technology with the potential to be disruptive in the marketplace.** The mere creation of a new learning curve does not ensure market penetration. Rather, the ultimate value of a technology is determined by the marketplace, and impactful technologies ultimately

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become disruptive – that is, they are widely adopted and displace existing technologies from the marketplace or create entirely new markets. ARPA-E understands that definitive proof of market disruption takes time, particularly for energy technologies. Therefore, ARPA-E funds the development of technologies that, if technically successful, have the clear disruptive potential, e.g., by demonstrating capability for manufacturing at competitive cost and deployment at scale.

**ARPA-E funds applied research and development.** The Office of Management and Budget defines “applied research” as “systematic study to gain knowledge or understanding necessary to determine the means by which a recognized and specific need may be met” and defines “development” as the “systematic application of knowledge or understanding, directed toward the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements.”<sup>1</sup> Applicants interested in receiving financial assistance for basic research should contact the DOE’s Office of Science (<http://science.energy.gov/>). Office of Science national scientific user facilities (<http://science.energy.gov/user-facilities/>) are open to all researchers, including ARPA-E applicants and awardees. These facilities provide advanced tools of modern science including accelerators, colliders, supercomputers, light sources and neutron sources, as well as facilities for studying the nanoworld, the environment, and the atmosphere. Projects focused on the improvement of existing technology platforms along defined roadmaps may be appropriate for support through the DOE offices such as: the Office of Energy Efficiency and Renewable Energy (<http://www.eere.energy.gov/>), the Office of Fossil Energy (<http://fossil.energy.gov/>), the Office of Nuclear Energy (<http://www.energy.gov/ne/office-nuclear-energy>), and the Office of Electricity Delivery and Energy Reliability (<http://energy.gov/oe/office-electricity-delivery-and-energy-reliability>).

## **B. PROGRAM OVERVIEW**

### **1. SUMMARY**

The PNDIODES (Power Nitride Doping Innovation Offers Devices Enabling SWITCHES) program seeks to fund transformational advances and mechanistic understanding in the process of selective area doping in the III-Nitride wide band gap (WBG) semiconductor material system and the demonstration of arbitrarily placed, reliable, contactable, and generally useable p-n junction regions that enable high-performance and reliable vertical power electronic semiconductor devices. The microscopic mechanistic understanding and transformational technologies will address the major obstacle in the fabrication of vertical GaN power electronic devices experienced by most of the teams in the ARPA-E SWITCHES (Strategies for Wide Bandgap, Inexpensive Transistors for Controlling High-Efficiency Systems) program. This challenge has been the lack of a viable GaN selective area doping or selective area epitaxial regrowth process

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<sup>1</sup> OMB Circular A-11  
([http://www.whitehouse.gov/sites/default/files/omb/assets/a11\\_current\\_year/a11\\_2014.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/a11_current_year/a11_2014.pdf)), Section 84, p. 8.



that yields material of sufficiently high quality to enable a defect-free p-n junction on patterned GaN surfaces. Success in this area will allow further development of a revolutionary and powerful class of vertical GaN power electronic devices suitable for 1200V to 10kV broad range of applications (consumer electronics, power supplies, solar inverters, wind power, automotive, motor drives, ship propulsion, rail, and the grid).

## 2. BACKGROUND

Electricity accounted for 40% of primary energy consumption in the United States in 2011.<sup>2</sup> Power electronics are projected to play a significant and growing role in the delivery of this electricity. It has been estimated that as much as 80% of electricity could pass through power electronics between generation and consumption by 2030.<sup>3</sup> (30% of electrical energy passed through power electronics converters in 2005.) Technical advances in power electronics promise enormous energy efficiency gains throughout the United States economy.<sup>4</sup>

Achieving high power conversion efficiency in these systems requires low-loss power semiconductor switches. Today's incumbent power semiconductor switch technology is silicon-based Metal Oxide Semiconductor Field Effect Transistors (MOSFET), Insulated Gate Bipolar Transistors (IGBT) and thyristors. Silicon power semiconductor devices have several important limitations:

- (1) High Losses: The relatively low silicon bandgap (1.1 eV) and low critical electric field (30 V/ $\mu\text{m}$ ) require high voltage devices to have substantial thickness. The large thickness translates to devices with high resistance and associated conduction losses.
- (2) Low Switching Frequency: Silicon high voltage power MOSFETs require a large die area to keep conduction losses low. Resulting high gate capacitance and gate charge produce large peak currents and losses at high switching frequencies. Silicon IGBTs may have smaller die than MOSFETs due to utilization of minority carriers and conductivity modulation, but the relatively long lifetime of minority carriers reduces the useful switching frequency range of IGBTs.
- (3) Poor High-Temperature Performance: The relatively low silicon bandgap also contributes to high intrinsic carrier concentrations in silicon-based devices, resulting in high leakage current at elevated temperatures. Temperature variation of the bipolar gain in IGBTs amplifies the leakage and limits the maximum junction temperature of many IGBTs to 125 °C.

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<sup>2</sup> U.S. Energy Information Administration, *Annual Energy Review 2011* (Washington, DC: U.S. Department of Energy, 2012), <http://www.eia.gov/totalenergy/data/annual/index.cfm>

<sup>3</sup> L.M. Tolbert, et al., "Power Electronics for Distributed Energy Systems and Transmission and Distribution Applications: Assessing the Technical Needs for Utility Applications." (Oak Ridge, TN: Oak Ridge National Laboratory, 2005)

<sup>4</sup> "SiC and GaN electronics: Where, when and how big?" *Compound Semiconductor*, July 27, 2012, <http://www.compoundsemiconductor.net/csc/features-details.php?cat=features&id=19735293>



**Table 1: Power Semiconductor Material Properties<sup>5,6,7</sup>**

		Si	4H-SiC	GaN (2 DEG)	GaN (Bulk)	Diamond
<b>Band Gap</b>	<b>E<sub>g</sub> (eV)</b>	1.1	3.26	3.39	3.39	5.45
<b>Intrinsic Concentration</b>	<b>n<sub>i</sub> (cm<sup>-3</sup>)</b>	1.5×10 <sup>10</sup>	8.2×10 <sup>-9</sup>	1.9×10 <sup>-10</sup>	1.9×10 <sup>-10</sup>	1.6×10 <sup>-27</sup>
<b>Electron Mobility (low)</b>	<b>μ<sub>n</sub> (cm<sup>2</sup>/V s)</b>	1350	700	1000	500	1900
<b>Electron Mobility (high)</b>	<b>μ<sub>n</sub> (cm<sup>2</sup>/V s)</b>	1450	950	2000	1200	4000
<b>Electron Saturation Velocity</b>	<b>v<sub>sat</sub> (10<sup>7</sup>cm/s)</b>	1	2	2.5	2.5	2.7
<b>Breakdown Electric Field</b>	<b>E<sub>br</sub> (MV/cm)</b>	0.3	2	3.3	3.5-3.75	5.6
<b>Thermal Conductivity</b>	<b>K (W/cm °K)</b>	1.5	4.9	1.3	2.3	20

There is great interest in developing power electronic devices using wide-bandgap (WBG) semiconductors<sup>8,9</sup> as they offer new opportunities for higher efficiency power semiconductor devices by circumventing the fundamental physical limits associated with silicon. The reason is illustrated by the power figure-of-merit formulated as  $BV^2/R_{sp}$ , which captures the trade-off between the device specific resistance ( $R_{sp}$ ) versus the device breakdown voltage (BV). For vertical unipolar devices, the theoretical specific on-resistance  $R_{ON,SP}$  limits for various semiconductors are calculated from the well-known formula<sup>10</sup>:

$$R_{ON,SP} = \frac{4 BV^2}{\epsilon_S \mu_n E_C^3} \quad [1]$$

where BV is the avalanche breakdown voltage,  $\epsilon_S$  is the dielectric constant,  $\mu_n$  is the majority charge carrier mobility, and  $E_C$  is the critical electric field strength at avalanche breakdown. As can be seen from equation [1] the power figure-of-merit is the denominator of this expression and can be approximated by  $\sim \mu_n E_C^3$  which shows the power figure-of-merit scales with the cube of the critical electric field. The clear advantage of WBGs over Si can be seen in Table 1 which compares several different wide band-gap semiconductors relative to silicon. The critical electric field for Si is 0.3 MV/cm and we can estimate a value of at least 3.5 MV/cm for devices fabricated on bulk GaN and possibly as high as 3.75 MV/cm. The implication is that to achieve

<sup>5</sup> U.K. Mishra, et al., "GaN-Based RF Power Devices and Amplifiers," *Proceedings of the IEEE* 96, no. 3 (2008): 287-305, doi: 10.1109/JPROC.2007.911060

<sup>6</sup> F. Morancho, "State of the art and trends in power semiconductor devices for optimized power management," Presentation at 40th Anniversary Meeting of LAAS-CNRS, Toulouse, France, October 2008, [http://www.laas.fr/files/LAAS/40ans\\_LAAS-CNRS\\_A5-Morancho.pdf](http://www.laas.fr/files/LAAS/40ans_LAAS-CNRS_A5-Morancho.pdf)

<sup>7</sup> C. Mion et al., "Accurate dependence of gallium nitride thermal conductivity on dislocation density," *Applied Physics Letters* 89, 092123 (2006), doi: 10.1063/1.2335972

<sup>8</sup> T.P Chow, "GaN Power Devices," *International Symposium on Power Semiconductor Devices and ICs, Short Course*, pp. 159-186, (2008)

<sup>9</sup> J. Palmour, et al., "SiC Power Devices for Smart Grid Systems," *Proceedings of IEEE International Conference on Power Electronics*, , pp. 1006-1013, (2010)

<sup>10</sup> K. Shenai, et al., "Optimum Semiconductors for High-Power Electronics," *IEEE Trans. On Electron Devices*, 36, 1811, (1989) doi: 10.1109/16.34247

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the same turn-on resistance and breakdown voltage, a GaN device will be a minute fraction of the area of a Si device. Since the capacitance of devices tracks area, a similar reduction in capacitance is expected (and measured). This advantage translates to faster switching, lower switching losses, higher efficiency, smaller form factor, and lighter weight power converters.

Substantial investment and technical progress has been made on WBG-based power switches over the past decade. ARPA-E has invested in WBG based power devices (SiC, GaN, & Diamond) with the Agile Delivery of Electrical Power Technologies (ADEPT) program initiated in 2010,<sup>11</sup> the Solar Agile Delivery of Electrical Power Technology (SOLAR ADEPT) program initiated in 2011<sup>12</sup>, and the Strategies for Wide Bandgap, Inexpensive Transistors for Controlling High-Efficiency Systems (SWITCHES) program initiated in 2013.<sup>13</sup> In addition, the Department of Defense<sup>14</sup> and several DOE offices including the Advanced Manufacturing Office,<sup>15</sup> the Office of Electricity Delivery and Energy Reliability,<sup>16</sup> and the Vehicle Technologies Program,<sup>17</sup> have helped build early U.S. leadership and bring WBG devices closer to widespread adoption. In 2014 President Barack Obama and the U.S. Department of Energy (DOE) launched PowerAmerica, a manufacturing innovation institute for next generation power electronics, to develop advanced manufacturing processes that will enable large-scale production of wide bandgap (WBG) semiconductors.<sup>18</sup>

To date, the majority of GaN power device development has been directed toward lateral architectures, such as high-electron mobility transistors (HEMTs), fabricated in thin layers of GaN grown on foreign substrates (including Si). Such lateral devices suffer from well-known issues such as current-collapse, dynamic on-resistance, inability to support avalanche breakdown<sup>19</sup>, and inefficient thermal management. Many of these shortcomings arise from defects originating in the very large lattice and coefficient of thermal expansion (CTE) mismatch between GaN and the non-native substrate. If instead one could fabricate vertical architectures on lattice and CTE matched bulk GaN substrates, it might be possible to realize the material-

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<sup>11</sup> "Agile Delivery of Electrical Power Technologies," ARPA-E, U.S. Department of Energy, released July 12, 2010, <https://arpa-e.energy.gov/?q=arpa-e-programs/adept>

<sup>12</sup> "Solar Agile Delivery of Electrical Power Technology," ARPA-E, U.S. Department of Energy, released September 29, 2011, <https://arpa-e.energy.gov/?q=arpa-e-programs/solar-adept>

<sup>13</sup> "Strategies for Wide Bandgap, Inexpensive Transistors for Controlling High-Efficiency Systems," ARPA-E, U.S. Department of Energy, released October 21, 2013, <https://arpa-e.energy.gov/?q=arpa-e-programs/switches>

<sup>14</sup> "DARPA Sets Tough Goals For The Wide-Bandgap Community," *Compound Semiconductor*, November 8, 2002, <http://compoundsemiconductor.net/csc/features-details.php?id=11332>

<sup>15</sup> Office of Energy Efficiency and Renewable Energy, Advanced Manufacturing Office, "Wide Bandgap Semiconductor for Clean Energy Workshop: Summary Report," (Washington, DC: U.S. Department of Energy, 2012), [http://www1.eere.energy.gov/manufacturing/rd/pdfs/wbg\\_2012\\_workshop\\_summary\\_report.pdf](http://www1.eere.energy.gov/manufacturing/rd/pdfs/wbg_2012_workshop_summary_report.pdf)

<sup>16</sup> Office of Electricity Delivery and Energy Reliability, *Power Electronics Research and Development Program Plan*, April 2011 (Washington, DC: U.S. Department of Energy),

[http://energy.gov/sites/prod/files/oeprod/DocumentsandMedia/OE\\_Power\\_Electronics\\_Program\\_Plan\\_April\\_2011.pdf](http://energy.gov/sites/prod/files/oeprod/DocumentsandMedia/OE_Power_Electronics_Program_Plan_April_2011.pdf)

<sup>17</sup> Office of Energy Efficiency and Renewable Energy, Vehicle Technologies Program, *Multi-Year Program Plan 2011-2015*, December 2010 (Washington, DC: U.S. Department of Energy),

[http://www1.eere.energy.gov/vehiclesandfuels/pdfs/program/vt\\_mypp\\_2011-2015.pdf](http://www1.eere.energy.gov/vehiclesandfuels/pdfs/program/vt_mypp_2011-2015.pdf)

<sup>18</sup> PowerAmerica, 2014, <https://www.poweramericainstitute.org/>

<sup>19</sup> E. Zanoni, et al., "AlGaIn/GaN-Based HEMTs Failure Physics and Reliability: Mechanisms Affecting Gate Edge and Schottky Junction," *IEEE Trans. on Electron Devices*, 60, pp. 3119-3131 (2013) doi: 10.1109/TED.2013.2271954

limited potential of GaN including true avalanche-limited breakdown, increased number of die on a wafer, and more efficient thermal management leading to large device currents (> 100A) without resorting to device parallelization.

Recently, bulk GaN substrates have become more widely available, a breakthrough that is enabling vertical architectures such as GaN planar as grown p-n diodes with breakdown voltages up to 5 kV, on-state currents approaching 400A, and avalanche capability.<sup>20,21,22</sup> However, the full potential of vertical architectures also requires the development of selective area doping, a breakthrough which would enable high performance vertical GaN transistors as well as merged p-n/Schottky (MPS) low turn-on-voltage diodes, and junction termination extension structures (p-type GaN rings surrounding the device perimeter) for edge termination of vertical GaN devices. In GaN, however, selective area p-type doping has proved elusive, because the most obvious approach, laterally patterned ion implantation and activation or selective area diffusion of p-type dopants (e.g. Mg, Be, Zn) has not produced p-type regions or satisfactory (i.e., equivalent to as-grown) p-n junctions. In addition, selective area etch and regrowth approaches have not resulted in sufficient electrical performance to be useful in power electronic applications. Namely, junction leakage currents have been large, breakdown voltages much lower than expected, and avalanche breakdown ruggedness not convincingly demonstrated. The microscopic mechanistic understanding for the poor electrical performance to date is incomplete or non-existent. The presence of nitrogen vacancies, interface trap states, and Si-segregation are some of the culprits proposed but never decisively proven.<sup>23</sup>

### C. PROGRAM OBJECTIVES

This program seeks to fund transformational advances in the process of selective area doping based on mechanistic understanding in the III-Nitride wide band gap (WBG) semiconductor material system and the demonstration of randomly placed, reliable, contactable, and generally useable p-n junction regions that enable high-performance and reliable vertical power electronic semiconductor devices. These transformational technologies will address the major obstacle in the fabrication of vertical GaN power electronic devices experienced by most of the teams in the ARPA-E SWITCHES program, namely, the lack of a viable GaN selective area doping or selective area epitaxial regrowth process that yields material of sufficiently high quality to enable a defect-free p-n junction on patterned GaN surfaces.

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<sup>20</sup> Y. Hatakeyama, et al., "Over 3.0 GW/cm<sup>2</sup> Figure-of-Merit GaN p-n Junction Diodes on Free-Standing GaN Substrates," *IEEE Electron Device Lett.*, 32, pp. 1674-1676 (2011)

<sup>21</sup> Y. Saitoh, et al. "Extremely Low On-Resistance and High Breakdown Voltage Observed in Vertical GaN Schottky Barrier Diodes with High-Mobility Drift Layers on Low-Dislocation-Density GaN Substrates," *Applied Physics Express*, 081001, pp. 1-3, (2010)

<sup>22</sup> I.C. Kizilyalli, et al., "Vertical Power p-n Diodes Based on Bulk GaN," *IEEE Trans. on Electron Devices*, 62, pp. 414-422, (2015)

<sup>23</sup> M. Azize, et al., "Inhibition of interface pollution in AlGaIn/GaN HEMT structures regrown on semi-insulating GaN templates," *Journal of Crystal Growth* 299, pp. 103-108, (2007)

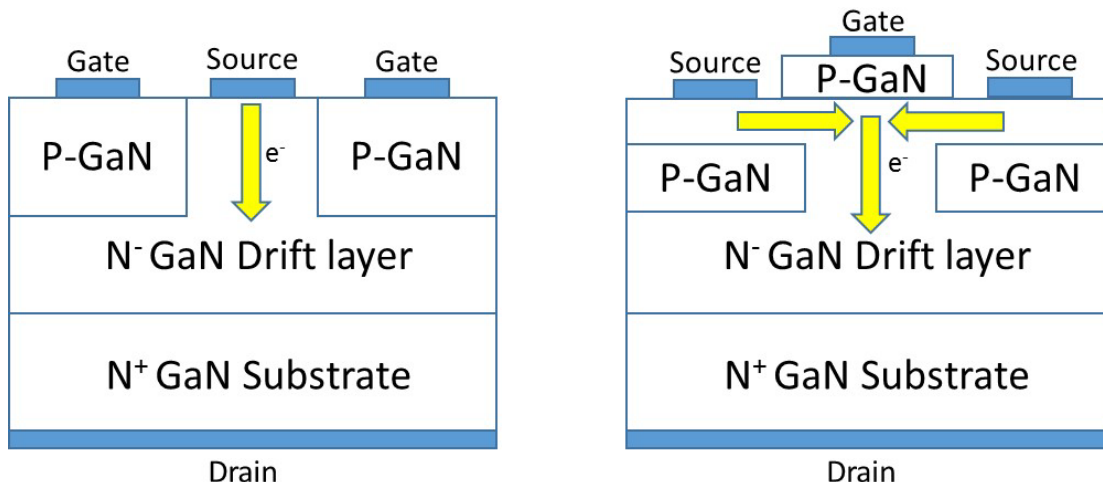


Figure 1: Two possible FET topologies. The arrows indicate the direction of electron flow.

The objective of the program can be illustrated by the two vertical transistor (switch) structures shown in Figure 1. The structure on the left is a purely vertical junction field-effect transistor (JFET) while the structure on the right has a lateral device channel along with a vertical drift region. In both structures, electrons flow from the source (top) to the drain (bottom) through the channel and drift region, and the electron flow is modulated by applying a voltage on the p-type GaN gate regions. Note that, in order to take full advantage of the high critical electric field for the onset of avalanche breakdown in GaN, it is essential to manage the electric field at the edge of the device using an edge termination to spread the potential applied to the top contacts (source and gate) over a distance which is greater than the drift region thickness. Furthermore, p-n junctions are required for avalanche ruggedness.

Both structures are difficult to fabricate. The structure on the left of Figure 1, the vertical JFET, requires selective doping of p-type regions in an n-type layer (or vice versa) while the structure on the right of Figure 1, the lateral/vertical FET, requires buried p-type GaN regions in and below the n-type channel. The typical selective area doping methods used in other semiconductor materials such as laterally patterned ion implantation and activation or selective area diffusion of dopants have not been successful in GaN to date since the low thermal stability of GaN makes the high temperature processing required for diffusion or activation in these techniques difficult.<sup>24,25</sup> One method more commonly used in GaN to fabricate these structures is to etch the GaN in the desired regions followed by selective area growth by MOCVD with the desired doping type.<sup>26</sup> However, typically the performance of devices fabricated in this method are poor with low breakdown voltage and unreliable device operation. This is thought to be due to defects at the p-n junction interfaces and large

<sup>24</sup> C. Ronning, et al., "Ion implantation into gallium nitride," *Physics Reports*, 351, pp. 349-385 (2001), doi: 10.1016/S0370-1573(00)00142-3

<sup>25</sup> O. Madelung, et al., "gallium nitride (GaN), solubility and diffusion of impurities," *Landolt-Börnstein - Group III Condensed Matter*, 41A2b, pp 1-2, (2003), doi: 10.1007/10860305\_19

<sup>26</sup> S. Chowdhury, et al., "Current status and scope of gallium nitride-based vertical transistors for high-power electronics application," *Semiconductor Science and Technology*, 28, pp. 074014 (2013), doi: 10.1088/0268-1242/28/7/074014

generation-recombination currents along the channel regions. The problem is further complicated with the regrowth processes which takes place along different crystal planes, such as the c-, a-, or m-direction, which is a not well understood process. In summary, the most significant barrier to viability for vertical GaN power electronics, as observed by many of the teams in the SWITCHES program, is the lack of a reliable selective area doping or selective area epitaxial regrowth process for GaN that yields material of sufficiently high quality to enable a defect-free p-n junction on patterned GaN surfaces.

Analysis and characterization of the relationships among processing, defect structure and device performance in selectively doped p-n junctions is required to fully understand and overcome the limitations of the commonly used selective area doping processes in GaN. This should be focused on developing mechanistic understanding in the areas of dopant incorporation, dopant activation, dopant diffusion, and crystal imperfections near the selective area doping interface. Powerful characterization techniques such as transmission electron microscopy, electron paramagnetic resonance, atom probe tomography, Rutherford backscattering spectrometry/channeling, cathodoluminescence, and photoluminescence are available to characterize the selectively doped p-n junctions and investigate defects (point defects, dislocations, etc.) and impurities that result from the selective doping process. To achieve program goals, these measurements must be closely correlated with detailed electrical characterization using techniques such as I-V, C-V, and deep-level transient spectroscopy. Such coordinated analysis is an essential component of development of novel selective doping processes that eliminate or passivate those impurities, defects, dislocations, and vacancies that have been identified as performance limiting.

At the end of the PN DIODES program ARPA-E expects a mechanistic understanding of the relationship between processing methods and performance for selective area doping in GaN and the demonstration of randomly placed, reliable, contactable, and generally useable p-n junction regions by selective area doping to supplement the ARPA-E SWITCHES program. The Department of Energy and Department of Defense have identified power electronics based on wide-bandgap semiconductors as a major area of concern for energy efficiency and the reduction in size and weight, as well as improvement in the reliability of power conversion systems. Success would offer a valuable and innovative solution for research, development, and commercialization of vertical GaN power electronic devices.

#### **D. TECHNICAL PERFORMANCE TARGETS**

The primary goal of the program is to demonstrate or provide a pathway based on fundamental science to fabricating high quality randomly placed, reliable, contactable, and generally useable GaN p-n junctions using selective area doping of GaN. The p-n junctions need to be *electrical equivalent* to as-grown state-of-the-art (SOA) p-n junctions. The technical targets for the program are listed in Table 2. These targets are consistent with state-of-the-art p-n junctions.

Applicants are required to demonstrate how the p-n junctions will meet technical targets 1.1–1.9 in two stages:

- At the end of the first stage, p-n junctions that meet the technical targets 1.1–1.9 must be demonstrated using the selective doping process to dope a single layer adjacent to a layer of an opposite doping type to form a planar p-n junction similar to an as-grown p-n junction.
- By the end of the project period, p-n junctions that meet the technical targets 1.1–1.9 must be demonstrated using randomly or geometrically placed selectively doped regions inside and adjacent to a layer of an opposite doping type to form embedded p-n junctions giving the p-n junction vertical depth.

In both stages the p-n junctions must be demonstrated using power device appropriate dimensions and a die size >0.5mm<sup>2</sup>. Appropriate edge termination management of the p-n junctions will be critical in successfully meeting these technical targets.

**Table 2: TECHNICAL TARGETS**

ID	Category	Value
1.1	Range of Controlled Selective Doping for Holes ( <i>p</i> )	$1 \times 10^{16} - 4 \times 10^{17} \text{ cm}^{-3}$
1.2	Range of Controlled Selective Doping for Electrons ( <i>n</i> )	$1 \times 10^{16} - 1 \times 10^{18} \text{ cm}^{-3}$
1.3	Breakdown Voltage	$\geq 1200 \text{ V}$
1.4	Leakage Current	$\leq 1 \times 10^{-9} \text{ A (@ 600V)}$
1.5	Turn-on Voltage	2.6-3.4 V
1.6	Specific R <sub>DS(on)</sub>	$< 3 \text{ m}\Omega \cdot \text{cm}^2$
1.7	I <sub>on</sub> / I <sub>off</sub> Ratio	$> 10^{10}$
1.8	Avalanche Capability	No parametric shift after repetitive avalanche testing <sup>27,28</sup>
1.9	Surge Capability	>20A surge capability for 10μs pulse at 25°C

<sup>27</sup> X. Huand, et al., “Ruggedness analysis of 600V 4H-SiC JBS diodes under repetitive avalanche conditions,” 27th Annual *IEEE Applied Power Electronics Conference and Exposition proceedings*, pp. 1833 – 1837, (2012), doi: 10.1109/APEC.2012.6166048

<sup>28</sup> O. Aktas, et al., “Avalanche Capability of Vertical GaN p-n Junctions on Bulk GaN Substrates”, *IEEE Electron Device Lett.*, 36, pp. 890-892 (2015), doi: 10.1109/LED.2015.2456914

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Applicants are also required to describe the mechanistic learning techniques associated with careful examination of the selective doped regions. Mechanistic learning includes correlating characteristics of dopant incorporation, dopant activation, dopant diffusion, and crystal imperfections near selective area doping or regrowth interfaces with the device properties. Novel techniques that measure and characterize the effect of processes for the elimination or passivation of selective area doping imperfections such as impurities, defects, dislocations, and vacancies are of interest. The characterization work must be clearly targeted toward developing actionable outcomes in addressing the goal of fabricating p-n junctions (using selective area doping techniques) that are *electrically equivalent* to as-grown p-n junctions.

ARPA-E will only select projects for award negotiations that clearly demonstrate realistic, well justified potential to meet or exceed the technical performance targets.

## **II. AWARD INFORMATION**

### **A. AWARD OVERVIEW**

ARPA-E expects to make approximately \$6.5 million available for new awards under this FOA, subject to the availability of appropriated funds. ARPA-E anticipates making approximately six awards under this FOA. ARPA-E may, at its discretion, issue one, multiple, or no awards.

Individual awards may vary between \$250,000 and \$2.5 million.

The period of performance for funding agreements is targeted for 18 months but may not exceed 36 months. ARPA-E expects the start date for funding agreements to be July 2017, or as negotiated.

ARPA-E encourages submissions stemming from ideas that still require proof-of-concept R&D efforts as well as those for which some proof-of-concept demonstration already exists.

Submissions requiring proof-of-concept R&D can propose a project with the goal of delivering on the program metric at the conclusion of the period of performance. These submissions must contain an appropriate cost and project duration plan that is described in sufficient technical detail to allow reviewers to meaningfully evaluate the proposed project. If awarded, such projects should expect a rigorous go/no-go milestone early in the project associated with the proof-of-concept demonstration. Alternatively, submissions requiring proof-of-concept R&D can propose a project with the project end deliverable being an extremely creative, but partial solution. However, the Applicants are required to provide a convincing vision how these partial solutions can enable the realization of the program metrics with further development.

Applicants proposing projects for which some initial proof-of-concept demonstration already exists should submit concrete data that supports the probability of success of the proposed project.

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ARPA-E will provide support at the highest funding level only for submissions with significant technology risk, aggressive timetables, and careful management and mitigation of the associated risks.

ARPA-E will accept only new submissions under this FOA. Applicants may not seek renewal or supplementation of their existing awards through this FOA.

ARPA-E plans to fully fund your negotiated budget at the time of award.

## **B. ARPA-E FUNDING AGREEMENTS**

Through Cooperative Agreements, Technology Investment Agreements, and similar agreements, ARPA-E provides financial and other support to projects that have the potential to realize ARPA-E's statutory mission. ARPA-E does not use such agreements to acquire property or services for the direct benefit or use of the U.S. Government.

Congress directed ARPA-E to "establish and monitor project milestones, initiate research projects quickly, and just as quickly terminate or restructure projects if such milestones are not achieved."<sup>29</sup> Accordingly, ARPA-E has substantial involvement in the direction of every Cooperative Agreement, as described in Section II.C below.

### **1. COOPERATIVE AGREEMENTS**

ARPA-E generally uses Cooperative Agreements to provide financial and other support to Prime Recipients.<sup>30</sup>

Cooperative Agreements involve the provision of financial or other support to accomplish a public purpose of support or stimulation authorized by Federal statute. Under Cooperative Agreements, the Government and Prime Recipients share responsibility for the direction of projects.

ARPA-E encourages Prime Recipients to review the Model Cooperative Agreement, which is available at <http://arpa-e.energy.gov/arpa-e-site-page/award-guidance>.

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<sup>29</sup> U.S. Congress, Conference Report to accompany the 21<sup>st</sup> Century Competitiveness Act of 2007, H. Rpt. 110-289 at 171-172 (Aug. 1, 2007).

<sup>30</sup> The Prime Recipient is the signatory to the funding agreement with ARPA-E.

## 2. FUNDING AGREEMENTS WITH FFRDCs/DOE LABS, GOGOS, AND FEDERAL INSTRUMENTALITIES

Any Federally Funded Research and Development Centers (FFRDC) involved as a member of a Project Team must provide the information requested in the “FFRDC Lab Authorization” and “Field Work Proposal” section of the Business Assurances & Disclosures Form, which is submitted with the Applicant’s Full Application.

When a FFRDC/DOE Lab (including the National Energy Technology Laboratory or NETL) is the *lead organization* for a Project Team, ARPA-E executes a funding agreement directly with the FFRDC/DOE Lab and a single, separate Cooperative Agreement with the rest of the Project Team. Notwithstanding the use of multiple agreements, the FFRDC/DOE Lab is the lead organization for the entire project, including all work performed by the FFRDC/DOE Lab and the rest of the Project Team.

When a FFRDC/DOE Lab is a *member* of a Project Team, ARPA-E executes a funding agreement directly with the FFRDC/DOE Lab and a single, separate Cooperative Agreement with the rest of the Project Team. Notwithstanding the use of multiple agreements, the Prime Recipient under the Cooperative Agreement is the lead organization for the entire project, including all work performed by the FFRDC/DOE Lab and the rest of the Project Team.

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. Funding agreements with non-DOE/NNSA FFRDCs, GOGOs (including NETL), and Federal instrumentalities (e.g., Tennessee Valley Authority) will be consistent with the sponsoring agreement between the U.S. Government and the Laboratory. Any funding agreement with a FFRDC or GOGO will have similar terms and conditions as ARPA-E’s Model Cooperative Agreement (<http://arpa-e.energy.gov/arpa-e-site-page/award-guidance>).

Non-DOE GOGOs and Federal agencies may be proposed to provide support to the project team members on an applicant’s project, through a Cooperative Research and Development Agreement (CRADA) or similar agreement.

## 3. TECHNOLOGY INVESTMENT AGREEMENTS

ARPA-E may use its “other transactions” authority under the America COMPETES Reauthorization Act of 2010 or DOE’s “other transactions” authority under the Energy Policy Act of 2005 to enter into Technology Investment Agreements (TIAs) with Prime Recipients. ARPA-E may negotiate a TIA when it determines that the use of a standard cooperative agreement, grant, or contract is not feasible or appropriate for a project.

A TIA is more flexible than a traditional financial assistance agreement. In using a TIA, ARPA-E may modify standard Government terms and conditions. See 10 C.F.R. § 603.105 for a description of a TIA.

In general, TIAs require a cost share of 50%. See Section III.B.2 of the FOA.

### **C. STATEMENT OF SUBSTANTIAL INVOLVEMENT**

ARPA-E is substantially involved in the direction of projects from inception to completion. For the purposes of an ARPA-E project, substantial involvement means:

- Project Teams must adhere to ARPA-E’s agency-specific and programmatic requirements.
- ARPA-E may intervene at any time in the conduct or performance of work under an award.
- ARPA-E does not limit its involvement to the administrative requirements of an award. Instead, ARPA-E has substantial involvement in the direction and redirection of the technical aspects of the project as a whole.
- During award negotiations, ARPA-E Program Directors and Prime Recipients mutually establish an aggressive schedule of quantitative milestones and deliverables that must be met every quarter. In addition, ARPA-E will negotiate and establish “Go/No-Go” milestones for each project. If the Prime Recipient fails to achieve any of the “Go/No-Go” milestones or technical milestones and deliverables as determined by the ARPA-E Contracting Officer, ARPA-E may – at its discretion - renegotiate the statement of project objectives or schedule of technical milestones and deliverables for the project. In the alternative, ARPA-E may suspend or terminate the award in accordance with 2 C.F.R. §§ 200.338 and 200.339.
- ARPA-E may provide guidance and/or assistance to the Prime Recipient to accelerate the commercial deployment of ARPA-E-funded technologies. Guidance and assistance provided by ARPA-E may include coordination with other Government agencies and nonprofits to provide mentoring and networking opportunities for Prime Recipients. ARPA-E may also organize and sponsor events to educate Prime Recipients about key barriers to the deployment of their ARPA-E-funded technologies. In addition, ARPA-E may establish collaborations with private and public entities to provide continued support for the development and deployment of ARPA-E-funded technologies.

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### **III. ELIGIBILITY INFORMATION**

#### **A. ELIGIBLE APPLICANTS**

##### **1. INDIVIDUALS**

U.S. citizens or permanent residents may apply for funding in their individual capacity as a Standalone Applicant,<sup>31</sup> as the lead for a Project Team,<sup>32</sup> or as a member of a Project Team. However, ARPA-E will only award funding to an entity formed by the Applicant.

##### **2. DOMESTIC ENTITIES**

For-profit entities, educational institutions, and nonprofits<sup>33</sup> that are incorporated in the United States, including U.S. territories, are eligible to apply for funding as a Standalone Applicant, as the lead organization for a Project Team, or as a member of a Project Team.

FFRDCs/DOE Labs are eligible to apply for funding as the lead organization for a Project Team or as a member of a Project Team that includes institutions of higher education, companies, research foundations, or trade and industry research collaborations, but not as a Standalone Applicant.

State, local, and tribal government entities are eligible to apply for funding as a member of a Project Team, but not as a Standalone Applicant or as the lead organization for a Project Team.

Federal agencies and instrumentalities (other than DOE) are eligible to apply for funding as a member of a Project Team, but not as a Standalone Applicant or as the lead organization for a Project Team.

##### **3. FOREIGN ENTITIES**

Foreign entities, whether for-profit or otherwise, are eligible to apply for funding as Standalone Applicants, as the lead organization for a Project Team, or as a member of a Project Team. Foreign entities must designate in the Full Application a subsidiary or affiliate incorporated (or otherwise formed or to be formed) under the laws of a State or territory of the United States to

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<sup>31</sup> A Standalone Applicant is an Applicant that applies for funding on its own, not as part of a Project Team.

<sup>32</sup> The term "Project Team" is used to mean any entity with multiple players working collaboratively and could encompass anything from an existing organization to an ad hoc teaming arrangement. A Project Team consists of the Prime Recipient, Subrecipients, and others performing or otherwise supporting work under an ARPA-E funding agreement.

<sup>33</sup> Nonprofit organizations described in section 501(c)(4) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995 are not eligible to apply for funding as a Prime Recipient or Subrecipient.

receive funding. The Full Application must state the nature of the corporate relationship between the foreign entity and domestic subsidiary or affiliate. The Applicant may request a waiver of this requirement in the Business Assurances & Disclosures Form, which is submitted with the Full Application and can be found at <https://arpa-e-foa.energy.gov/>. Please refer to the Business Assurances & Disclosures Form for guidance on the content and form of the request.

#### **4. CONSORTIUM ENTITIES**

Consortia, which may include domestic and foreign entities, must designate one member of the consortium as the consortium representative to the Project Team. The consortium representative must be incorporated in the United States. The eligibility of the consortium will be determined by reference to the eligibility of the consortium representative under Section III.A of the FOA. Each consortium must have an internal governance structure and a written set of internal rules. Upon request, the consortium entity must provide a written description of its internal governance structure and its internal rules to the Contracting Officer ([ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov)).

Unincorporated consortia must provide the Contracting Officer with a collaboration agreement, commonly referred to as the articles of collaboration, which sets out the rights and responsibilities of each consortium member. This collaboration agreement binds the individual consortium members together and shall include the consortium's:

- Management structure;
- Method of making payments to consortium members;
- Means of ensuring and overseeing members' efforts on the project;
- Provisions for members' cost sharing contributions; and
- Provisions for ownership and rights in intellectual property developed previously or under the agreement.

#### **B. COST SHARING<sup>34</sup>**

Applicants are bound by the cost share proposed in their Full Applications.

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<sup>34</sup> Please refer to Section VI.B.3-4 of the FOA for guidance on cost share payments and reporting.

## 1. BASE COST SHARE REQUIREMENT

ARPA-E generally uses Cooperative Agreements to provide financial and other support to Prime Recipients (see Section II.B.1 of the FOA). Under a Cooperative Agreement or Grant, the Prime Recipient must provide at least 20% of the Total Project Cost<sup>35</sup> as cost share, except as provided in Sections III.B.2 or III.B.3 below.<sup>36</sup>

## 2. INCREASED COST SHARE REQUIREMENT

Large businesses are strongly encouraged to provide more than 20% of the Total Project Cost as cost share. ARPA-E may consider the amount of cost share proposed when selecting applications for award negotiations (see Section V.B.1 of the FOA).

Under a Technology Investment Agreement, the Prime Recipient must provide at least 50% of the Total Project Cost as cost share. ARPA-E may reduce this minimum cost share requirement, as appropriate.

## 3. REDUCED COST SHARE REQUIREMENT

ARPA-E has reduced the minimum cost share requirement for the following types of projects:

- A domestic educational institution or domestic nonprofit applying as a Standalone Applicant is required to provide at least 5% of the Total Project Cost as cost share.
- Small businesses – or consortia of small businesses - will provide 0% cost share from the outset of the project through the first 12 months of the project (hereinafter the “Cost Share Grace Period”).<sup>37</sup> If the project is continued beyond the Cost Share Grace Period, then at least 10% of the Total Project Cost (including the costs incurred during the Cost Share Grace Period) will be required as cost share over the remaining period of performance.
- Project Teams where a small business is the lead organization and small businesses perform greater than or equal to 80%, but less than 100%, of the total work under the funding agreement (as measured by the Total Project Cost) the Project Team are

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<sup>35</sup> The Total Project Cost is the sum of the Prime Recipient share and the Federal Government share of total allowable costs. The Federal Government share generally includes costs incurred by GOGOs and FFRDCs.

<sup>36</sup> Energy Policy Act of 2005, Pub.L. 109-58, sec. 988.

<sup>37</sup> Small businesses are generally defined as domestically incorporated entities that meet the criteria established by the U.S. Small Business Administration’s (SBA) “Table of Small Business Size Standards Matched to North American Industry Classification System Codes” (NAICS) (<http://www.sba.gov/content/small-business-size-standards>). Applicants that are small businesses will be required to certify in the Business Assurances & Disclosures Form that their organization meets the SBA’s definition of a small business under at least one NAICS code.

entitled to the same cost share reduction and Cost Share Grace Period as provided above to Standalone small businesses or consortia of small businesses.<sup>38</sup>

- Project Teams composed exclusively of domestic educational institutions, domestic nonprofits, and/or FFRDCs are required to provide at least 5% of the Total Project Cost as 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. 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.
- Projects that do not meet any of the above criteria are subject to the minimum cost share requirements described in Sections III.B.1 and III.B.2 of the FOA.

#### **4. LEGAL RESPONSIBILITY**

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. The Prime Recipient's cost share obligation is expressed in the funding agreement as a static amount in U.S. dollars (cost share amount) and as a percentage of the Total Project Cost (cost share percentage). If the funding agreement is terminated prior to the end of the period of performance, the Prime Recipient is required to contribute at least the cost share percentage of total expenditures incurred through the date of termination.

The Prime Recipient is solely responsible for managing cost share contributions by the Project Team and enforcing cost share obligations assumed by Project Team members in subawards or related agreements.

#### **5. COST SHARE ALLOCATION**

Each Project Team is free to determine how much each Project Team member will contribute towards the cost share requirement. The amount contributed by individual Project Team members may vary, as long as the cost share requirement for the project as a whole is met.

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<sup>38</sup> See the information provided in previous footnote.



## 6. COST SHARE TYPES AND ALLOWABILITY

Every cost share contribution must be allowable under the applicable Federal cost principles, as described in Section IV.F.1 of the FOA.

Project Teams may provide cost share in the form of cash or in-kind contributions. Cash contributions may be provided by the Prime Recipient or Subrecipients. Allowable in-kind contributions include but are not limited to personnel costs, indirect costs, facilities and administrative costs, rental value of buildings or equipment, and the value of a service, other resource, or third party in-kind contribution. Project Teams may use funding or property received from state or local governments to meet the cost share requirement, so long as the funding or property was not provided to the state or local government by the Federal Government.

The Prime Recipient may not use the following sources to meet its cost share obligations:

- Revenues or royalties from the prospective operation of an activity beyond the period of performance;
- Proceeds from the prospective sale of an asset of an activity;
- Federal funding or property (e.g., Federal grants, equipment owned by the Federal Government); or
- Expenditures that were reimbursed under a separate Federal program.

In addition, Project Teams may not use independent research and development (IR&D) funds<sup>39</sup> to meet their cost share obligations under cooperative agreements. However, Project Teams may use IR&D funds to meet their cost share obligations under Technology investment Agreements.

Project Teams may not use the same cash or in-kind contributions to meet cost share requirements for more than one project or program.

Cost share contributions must be specified in the project budget, verifiable from the Prime Recipient's records, and necessary and reasonable for proper and efficient accomplishment of the project. Every cost share contribution must be reviewed and approved in advance by the Contracting Officer and incorporated into the project budget before the expenditures are incurred.

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<sup>39</sup> As defined in Federal Acquisition Regulation Subsection 31.205-18.

Applicants may wish to refer to 2 C.F.R. Parts 200 and 910, and 10 C.F.R Part 603 for additional guidance on cost sharing, specifically 2 C.F.R. §§ 200.306 and 910.130, and 10 C.F.R. §§ 603.525-555.

## **7. COST SHARE CONTRIBUTIONS BY FFRDCs AND GOGOs**

Because FFRDCs are funded by the Federal Government, costs incurred by FFRDCs generally may not be used to meet the cost share requirement. FFRDCs may contribute cost share only if the contributions are paid directly from the contractor's Management Fee or a non-Federal source.

Because GOGOs/Federal Agencies are funded by the Federal Government, GOGOs/Federal Agencies may not provide cost share for the proposed project. However, the GOGO/Agency costs would be included in Total Project Costs for purposes of calculating the cost-sharing requirements of the applicant.

## **8. COST SHARE VERIFICATION**

Upon selection for award negotiations, Applicants are required to provide information and documentation regarding their cost share contributions. Please refer to Section VI.B.3 of the FOA for guidance on the requisite cost share information and documentation.

### **C. OTHER**

#### **1. COMPLIANT CRITERIA**

Full Applications are deemed compliant if:

- The Applicant meets the eligibility requirements in Section III.A of the FOA;
- The Full Application complies with the content and form requirements in Section IV.C of the FOA; and
- The Applicant entered all required information, successfully uploaded all required documents, and clicked the "Submit" button in ARPA-E eXCHANGE by the deadline stated in the FOA.

Full Applications found to be noncompliant may not be merit reviewed or considered for award. ARPA-E may not review or consider noncompliant Full Applications, including Full Applications submitted through other means, Full Applications submitted after the applicable deadline, and incomplete Full Applications. A Full Application is incomplete if it does not include required information and documents, such as Forms SF-424 and SF-424A. ARPA-E will

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not extend the submission deadline for Applicants that fail to submit required information and documents due to server/connection congestion.

Replies to Reviewer Comments are deemed compliant if:

- The Applicant successfully uploads its response to ARPA-E eXCHANGE by the deadline stated in the FOA.
- The Replies to Reviewer Comments comply with the content and form requirements of Section IV.E of the FOA.

ARPA-E will not review or consider noncompliant Replies to Reviewer Comments, including Replies submitted through other means and Replies submitted after the applicable deadline. ARPA-E will not extend the submission deadline for Applicants that fail to submit required information due to server/connection congestion. ARPA-E will review and consider each compliant and responsive Full Application, even if no Reply is submitted or if the Reply is found to be noncompliant.

## **2. RESPONSIVENESS CRITERIA**

ARPA-E performs a preliminary technical review of Full Applications.

The following types of submissions may be deemed nonresponsive and may not be reviewed or considered:

- Submissions that fall outside the technical parameters specified in this FOA.
- Submissions that have been submitted in response to other currently issued ARPA-E FOAs.
- Submissions that are not scientifically distinct from applications submitted in response to other currently issued ARPA-E FOAs.
- Submissions for basic research aimed at discovery and fundamental knowledge generation that are not clearly targeted toward developing actionable outcomes.
- Submissions for large-scale demonstration projects of existing technologies.
- Submissions for proposed technologies that represent incremental improvements to existing technologies.
- Submissions for proposed technologies that are not based on sound scientific principles (e.g., violates a law of thermodynamics).
- Submissions for proposed technologies that are not transformational, as described in Section I.A of the FOA.
- Submissions for proposed technologies that do not have the potential to become disruptive in nature, as described in Section I.A of the FOA. Technologies must be scalable such that they could be disruptive with sufficient technical progress.

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- Submissions that are not scientifically distinct from existing funded activities supported elsewhere, including within the Department of Energy.
- Submissions that describe a technology but do not propose a R&D plan that allows ARPA-E to evaluate the submission under the applicable merit review criteria provided in Section V.A of the FOA.
- Submissions that do not clearly demonstrate realistic, well justified potential to meet or exceed the technical performance targets.

### **3. LIMITATION ON NUMBER OF SUBMISSIONS**

ARPA-E is not limiting the number of submissions from Applicants. Applicants may submit more than one application to this FOA, provided that each application is scientifically distinct.

## **IV. APPLICATION AND SUBMISSION INFORMATION**

### **A. APPLICATION PROCESS OVERVIEW**

#### **1. REGISTRATION IN ARPA-E eXCHANGE**

The first step in applying to this FOA is registration in ARPA-E eXCHANGE, ARPA-E's online application portal. For detailed guidance on using ARPA-E eXCHANGE, please refer to Section IV.G.1 of the FOA and the "ARPA-E eXCHANGE User Guide" (<https://arpa-e-foa.energy.gov/Manuals.aspx>).

#### **2. FULL APPLICATIONS**

Applicants must submit a Full Application by the deadline stated in the FOA. Section IV.C of the FOA provides instructions on submitting a Full Application.

ARPA-E performs a preliminary review of Full Applications to determine whether they are compliant and responsive, as described in Section III.C of the FOA. Full Applications found to be noncompliant or nonresponsive may not be merit reviewed or considered for award. ARPA-E makes an independent assessment of each compliant and responsive Full Application based on the criteria in Section V.A.1 of the FOA.

#### **3. REPLY TO REVIEWER COMMENTS**

Once ARPA-E has completed its review of Full Applications, reviewer comments on compliant and responsive Full Applications are made available to Applicants via ARPA-E eXCHANGE.

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Applicants may submit an optional Reply to Reviewer Comments, which must be submitted by the deadline stated in the FOA. Section IV.D of the FOA provides instructions on submitting a Reply to Reviewer Comments.

ARPA-E performs a preliminary review of Replies to determine whether they are compliant, as described in Section III.C.1 of the FOA. ARPA-E will review and consider compliant Replies only. ARPA-E will review and consider each compliant and responsive Full Application, even if no Reply is submitted or if the Reply is found to be non-compliant.

#### **4. PRE-SELECTION CLARIFICATIONS AND “DOWN-SELECT” PROCESS**

Once ARPA-E completes its review of Full Applications and Replies to Reviewer Comments, it may, at the Contracting Officer’s discretion, conduct a pre-selection clarification process and/or perform a “down-select” of Full Applications. Through the pre-selection clarification process or down-select process, ARPA-E may obtain additional information from select Applicants through pre-selection meetings, webinars, videoconferences, conference calls, written correspondence, or site visits that can be used to make a final selection determination. ARPA-E will not reimburse Applicants for travel and other expenses relating to pre-selection meetings or site visits, nor will these costs be eligible for reimbursement as pre-award costs.

ARPA-E may select applications for funding and make awards without pre-selection meetings and site visits. Participation in a pre-selection meeting or site visit with ARPA-E does not signify that Applicants have been selected for award negotiations.

#### **5. SELECTION FOR AWARD NEGOTIATIONS**

ARPA-E carefully considers all of the information obtained through the application process and makes an independent assessment of each compliant and responsive Full Application based on the criteria and program policy factors in Sections V.A.1 and V.B.1 of the FOA. The Selection Official may select all or part of a Full Application for award negotiations. The Selection Official may also postpone a final selection determination on one or more Full Applications until a later date, subject to availability of funds and other factors. ARPA-E will enter into award negotiations only with selected Applicants.

Applicants are promptly notified of ARPA-E’s selection determination. ARPA-E may stagger its selection determinations. As a result, some Applicants may receive their notification letter in advance of other Applicants. Please refer to Section VI.A of the FOA for guidance on award notifications.

#### **6. MANDATORY WEBINAR**

All selected Applicants, including the Principal Investigator and the financial manager for the project, are required to participate in a webinar that is held within approximately one week of

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the selection notification. During the webinar, ARPA-E officials present important information on the award negotiation process, including deadlines for the completion of certain actions.

## **B. APPLICATION FORMS**

Required forms for Full Applications are available on ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov>), including the SF-424 and Budget Justification Workbook/SF-424A. A sample Summary Slide is available on ARPA-E eXCHANGE. Applicants may use the templates available on ARPA-E eXCHANGE, including the template for the Technical Volume of the Full Application, the template for the Summary Slide, the template for the Summary for Public Release, the template for the Reply to Reviewer Comments, and the template for the Business Assurances & Disclosures Form. A sample response to the Business Assurances & Disclosures Form is available on ARPA-E eXCHANGE.

## **C. CONTENT AND FORM OF FULL APPLICATIONS**

Full Applications must conform to the following formatting requirements:

- Each document must be submitted in the file format prescribed below.
- The Full Application must be written in English.
- All pages must be formatted to fit on 8-1/2 by 11 inch paper with margins not less than one inch on every side. Single space all text and use Times New Roman typeface, a black font color, and a font size of 12 point or larger (except in figures and tables).
- The ARPA-E assigned Control Number, the Lead Organization Name, and the Principal Investigator's Last Name must be prominently displayed on the upper right corner of the header of every page. Page numbers must be included in the footer of every page.

Full Applications found to be noncompliant or nonresponsive may not be merit reviewed or considered for award (see Section III.C of the FOA).

Each Full Application should be limited to a single concept or technology. Unrelated concepts and technologies should not be consolidated in a single Full Application.

Fillable Full Application template documents are available on ARPA-E eXCHANGE at <https://arpa-e-foa.energy.gov>.

Full Applications must conform to the content requirements described below.

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Component	Required Format	Description and Information
<b>Technical Volume</b>	PDF	The centerpiece of the Full Application. Provides a detailed description of the proposed R&D project and Project Team. A Technical Volume template is available on ARPA-E eXCHANGE ( <a href="https://arpa-e-foa.energy.gov">https://arpa-e-foa.energy.gov</a> ).
<b>SF-424</b>	PDF	Application for Federal Assistance ( <a href="https://arpa-e-foa.energy.gov">https://arpa-e-foa.energy.gov</a> ). Applicants are responsible for ensuring that the proposed costs listed in eXCHANGE match those listed on forms SF-424 and SF-424A. Inconsistent submissions may impact ARPA-E’s final award determination.
<b>Budget Justification Workbook/SF-424A</b>	XLS	Budget Information – Non-Construction Programs ( <a href="https://arpa-e-foa.energy.gov">https://arpa-e-foa.energy.gov</a> )
<b>Summary for Public Release</b>	PDF	Short summary of the proposed R&D project. Intended for public release. A Summary for Public Release template is available on ARPA-E eXCHANGE ( <a href="https://arpa-e-foa.energy.gov">https://arpa-e-foa.energy.gov</a> ).
<b>Summary Slide</b>	PPT	A four-panel project slide summarizing different aspects of the proposed R&D project. A Summary Slide template is available on ARPA-E eXCHANGE ( <a href="https://arpa-e-foa.energy.gov">https://arpa-e-foa.energy.gov</a> ).
<b>Business Assurances &amp; Disclosures Form</b>	PDF	Requires the Applicant to make responsibility disclosures and disclose potential conflicts of interest within the Project Team. Requires the Applicant to describe the additionality and risks associated with the proposed project, disclose applications for funding currently pending with Federal and non-Federal entities, and disclose funding from Federal and non-Federal entities for work in the same technology area as the proposed R&D project. If the Applicant is a FFRDC/DOE Lab, requires the Applicant to provide written authorization from the cognizant Federal agency and, if a DOE/NNSA FFRDC/DOE Lab, a Field Work Proposal. Allows the Applicant to request a waiver or modification of the Performance of Work in the United States requirement and/or the Technology Transfer & Outreach (TT&O) spending requirement. This form is available on ARPA-E eXCHANGE at <a href="https://arpa-e-foa.energy.gov">https://arpa-e-foa.energy.gov</a> . A sample response to the Business Assurances & Disclosures Form is also available on ARPA-E eXCHANGE.
<b>U.S. Manufacturing Plan</b>	PDF	As part of the application, Applicants are required to submit a U.S. Manufacturing Plan. The U.S. Manufacturing Plan represents the Applicant’s measurable commitment to support U.S. manufacturing as a result of its award. See detailed U.S. Manufacturing Plan instructions and examples in the Seventh Component description below.

ARPA-E provides detailed guidance on the content and form of each component below.

### 1. FIRST COMPONENT: TECHNICAL VOLUME

The Technical Volume must be submitted in Adobe PDF format. A Technical Volume template is available at <https://arpa-e-foa.energy.gov>. The Technical Volume must conform to the

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following content and form requirements, including maximum page lengths specified below. If Applicants exceed the maximum page lengths specified for each section indicated below, ARPA-E will review only the authorized number of pages and disregard any additional pages.

Applicants must provide sufficient citations and references to the primary research literature to justify the claims and approaches made in the Technical Volume. ARPA-E and reviewers may review primary research literature in order to evaluate applications. However, ARPA-E and reviewers are under no obligation to review cited sources (e.g., Internet websites).

<b>PAGE LIMIT</b>	<b>SECTION</b>	<b>DESCRIPTION</b>
1 page max.	<b>EXECUTIVE SUMMARY</b>	<p>Summarize the objective(s) and technical approach of the proposed effort at a technical level appropriate for scientific and engineering peers.</p> <p><b>INSTRUCTIONS:</b></p> <ol style="list-style-type: none"> <li>(1) The Project Title should be brief and descriptive of the proposed technology.</li> <li>(2) Enter the estimated Total Project Cost in U.S. dollars and percentage cost share in parentheses.</li> <li>(3) Enter the Project Duration in months.</li> <li>(4) The Executive Summary shall not exceed 1 page in length</li> <li>(5) The Executive Summary may contain graphics, figures, or tables as needed to summarize the technical concept.</li> </ol>
Sections 1-5 30 pages max.	<b>Section 1 INNOVATION AND IMPACT</b>	<p>Describe how the proposed work offers an innovative approach to achieve the program objectives of the FOA and how it will impact the mission areas of ARPA-E.</p> <p><b>1.1 Overall Description.</b></p> <ul style="list-style-type: none"> <li>• Describe the conceptual basis for the project and how the proposed technology works with minimal jargon.</li> <li>• Explain the objective(s) and performance characteristics of the proposed effort.</li> </ul> <p><b>1.2 Potential Impact.</b></p> <ul style="list-style-type: none"> <li>• Clearly identify the problem that is being solved with the proposed technology.</li> <li>• Discuss the potential impact and benefit(s) to “ARPA-E Mission Areas” from Section I.A of the FOA.</li> <li>• Explain the project’s potential to be disruptive relative to the existing technology or how the project establishes a basis for new innovations.</li> </ul> <p><b>1.3 Innovativeness.</b></p> <ul style="list-style-type: none"> <li>• Describe how the proposed effort represents a new and innovative solution to the overall program challenge described in the FOA.</li> <li>• Indicate the technical goals and anticipated results, using appropriate metrics, for the project. Provide a description of how the metrics were derived, citing key previous results and/or assumptions.</li> <li>• 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.</li> </ul>

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		<p><b>INSTRUCTIONS:</b></p> <p>(1) The Innovation and Impact Section may include figures, tables, and graphics.</p> <p>(2) The suggested length of the Innovation and Impact Section is 4 pages.</p>
	<p><b>Section 2 PROPOSED WORK</b></p>	<p>Describe and discuss for the proposed effort the technical background and approach, the R&amp;D tasks, and the key technical risks. This Section must justify the proposed approach as being appropriate to achieve the project’s objective(s).</p> <p><b>2.1 Approach.</b></p> <ul style="list-style-type: none"> <li>• Define a hypothesis for the primary factor(s) preventing the demonstration of high performance selective area doping techniques.</li> <li>• Develop and describe the mechanistic understanding of the selective doped regions and the characterization techniques that will be used to validate the proposed hypothesis.</li> <li>• Describe the technical approach that will be used to overcome the factor(s) preventing the demonstration of high performance selective area doping techniques and how this approach will achieve the proposed project objective(s) for the two stages of the proposed effort.</li> <li>• Discuss alternative approaches considered, if any, and why the selected approach is most appropriate for the identified objective(s).</li> <li>• Describe the background, theory, simulation, modeling, experimental data, or other sound engineering and scientific practices or principles that support achieving the project objective(s). Provide specific examples of supporting data and/or appropriate citations to the scientific and technical literature.</li> </ul> <p><b>2.2 Technical Risk.</b></p> <ul style="list-style-type: none"> <li>• Identify potential technical issues and risks, e.g., the approach requires a never-before-demonstrated fabrication technique or greater-than-previously-demonstrated sub-component performance, etc.</li> <li>• Describe appropriate mitigation techniques and plans, if any, for each identified issue and risk.</li> </ul> <p><b>2.3 Schedule.</b></p> <ul style="list-style-type: none"> <li>• Provide a schedule for the two stages of the proposed effort (planar and embedded p-n junctions) outlined by the major tasks in each stage. <b>(A Gantt chart is recommended.)</b></li> <li>• Include major milestones or Go/No-Go decision points in the schedule as appropriate.</li> </ul> <p><b>2.4 Task Descriptions.</b></p>

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		<ul style="list-style-type: none"> <li>• Identify and provide a full technical description for each main task in the proposed effort.</li> <li>• Discuss the reason the identified tasks are appropriate and sufficient for the identified approach.</li> <li>• Describe the key technical milestones and how these define the critical path for successful completion of the task.</li> <li>• Indicate how completion of each task relates to reducing technological uncertainty and achieving the overall project objective(s).</li> </ul> <p><b>INSTRUCTIONS:</b>  (1) The Proposed Work Section may include figures, tables, and graphics.  (2) The suggested length of the Proposed Work Section is 12 pages.</p>
	<p><b>Section 3 TEAM ORGANIZATION AND CAPABILITIES</b></p>	<p>Describe and discuss the, organization, capabilities, and management of the team and how these enable successful execution of the proposed effort.</p> <p><b>3.1 Organization.</b></p> <ul style="list-style-type: none"> <li>• Indicate roles and responsibilities of the organizations on the proposed Project Team, e.g., subrecipient, consultant, subcontractor, or lead organization for each of the project tasks. Include relevant organization charts and teaming organization charts, as applicable.</li> <li>• Identify Key Personnel, describe how their qualifications relate to the proposed effort, and indicate their roles and responsibilities for each of the project tasks.</li> <li>• Identify previous collaborative efforts among team members if relevant to the proposed effort.</li> </ul> <p><b>3.2 Capabilities, Facilities, Equipment, and Information.</b></p> <ul style="list-style-type: none"> <li>• Identify capabilities of the Applicant or proposed Project Team, e.g., relevant experience, previous or current R&amp;D efforts, or related government or commercial projects, that support the proposed effort.</li> <li>• Identify all required facilities, equipment, and information for the proposed effort and discuss their adequacy and availability.</li> <li>• Indicate any key equipment that must be fabricated or purchased.</li> </ul> <p><b>INSTRUCTIONS:</b>  (1) This Section may include figures, tables, and graphics.  (2) The suggested length of the Team Section is 4 pages.</p>
	<p><b>Section 4 TECHNOLOGY TO MARKET</b></p>	<p>The significant impact sought by ARPA-E depends upon successful projects finding a path to large-scale adoption. ARPA-E projects are not required to achieve commercial deployment by the end of the period of performance, but the agency asks the Applicant to define a reasonable path for the proposed technology toward commercial adoption.</p> <p><b>4.1 Technology to Market Strategy.</b></p>

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

		<ul style="list-style-type: none"> <li>Describe how the proposed technology is expected to transition from the lab to commercial deployment, including a description of the eventual product, potential near- and long-term market entries, likely commercialization approach (startup, license, etc.), specific organizations expected to be involved in the transition (partners, customers, etc.), and the commercialization timeline.</li> <li>Discuss manufacturing, cost, and scalability risks associated with the technology.</li> <li>Describe anticipated resource needs for the next phase of development following the end of the ARPA-E project.</li> <li>Explain why the proposed research is not being pursued by industry today.</li> <li>Discuss the anticipated roles for the proposed research team in the commercialization of the technology.</li> </ul> <p><b>4.2 Intellectual Property.</b></p> <ul style="list-style-type: none"> <li>Describe existing intellectual property, if any, that will be used to develop the new intellectual property; and</li> <li>Discuss new intellectual property and data that is anticipated to be created as part of this effort, if any.</li> </ul> <p><b>INSTRUCTIONS:</b></p> <p>(1) The Technology to Market Section may include figures, tables, and graphics.</p> <p>(2) The suggested length of the Technology to Market Section is 4 pages.</p>																																										
	<p><b>Section 5 BUDGET</b></p>	<p>Indicate the budget, in US dollars, and provide a high-level budget summary, demonstrating that the budget is reasonable and appropriate for the proposed effort.</p> <p><b>5.1 Budget Breakdown.</b></p> <p>Provide in tabular form following the template give below, a breakdown of the project budget by entity and major task in US dollars.</p> <table border="1" data-bbox="636 1467 1511 1780"> <thead> <tr> <th>Task Name</th> <th>[Prime]</th> <th>[Sub #1]</th> <th>[Sub #2]</th> <th>[Sub #3]</th> <th>[Sub #4]</th> <th>Total</th> </tr> </thead> <tbody> <tr> <td>[Task #1]</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>[Task #2]</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>[Task #3]</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Technol ogy-to- Market</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td><b>Total</b></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>Replace “Prime” with name of the primary (lead) entity and “Sub #n” with the name of the sub-recipient or sub-contractor entities, if applicable. Task</p>	Task Name	[Prime]	[Sub #1]	[Sub #2]	[Sub #3]	[Sub #4]	Total	[Task #1]							[Task #2]							[Task #3]							Technol ogy-to- Market							<b>Total</b>						
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		<p>names should clearly correspond to major tasks listed in Section 2.4. Expand or contract the table as needed to add/subtract entities (columns) or tasks (rows).</p> <p><b>5.2 Budget Summary.</b></p> <p>Provide a high-level summary for the project by major budget category, including at least these three:</p> <ul style="list-style-type: none"> <li>• Key Personnel and technical staff to be utilized (e.g., scientists, engineers, technicians, postdocs, graduate students, etc.)</li> <li>• Equipment</li> <li>• Materials and Supplies</li> </ul> <p><b>5.3 Cost Share.</b></p> <p>Provide a description of the cost share by value of the contribution (in dollars) and percentage of the Total Project Cost (TPC):</p> <ul style="list-style-type: none"> <li>• List each source of cost share, the type of contribution (cash or in-kind), the value of the contribution (in dollars), and the value as a percentage of TPC.</li> <li>• For all in-kind contributions, provide a detailed description of the contribution and its relevance to the project objectives</li> </ul> <p><b>INSTRUCTIONS:</b></p> <p>(1) The Budget Section may include figures, tables, and graphics.  (2) The suggested length of the Budget Section is 4 pages.</p>
<p><b>No page limit</b></p>	<p><b>REFERENCES</b></p>	<p>Provide a list of references appropriate to Sections 1-5.</p> <p><b>INSTRUCTIONS:</b></p> <p>(1) Only bibliographic information may be contained in the references. No additional text or commentary is allowed.  (2) There is no page limit for the Bibliographic References Section, which is outside of the overall 30-page limit for Sections 1-5.</p>
<p><b>Each PQS limited to 3 pages in length, no cumulative page limit</b></p>	<p><b>PERSONAL QUALIFICATION SUMMARIES</b></p>	<p>A Personal Qualification Summary (PQS) is required for the PI and all other Key Personnel. Each PQS must include a description of the following only:</p> <ul style="list-style-type: none"> <li>• Education and training</li> <li>• Employment history</li> <li>• Awards and honors</li> <li>• A list of no more than 10 peer-reviewed publications related to the proposed project</li> <li>• A list of no more than 10 other peer-reviewed publications demonstrating capabilities in the broad field</li> </ul>

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

		<ul style="list-style-type: none"><li>• A list of no more than 10 non-peer-reviewed publications and patents demonstrating capabilities in the broad field</li></ul> <p><b>INSTRUCTIONS:</b></p> <p>(1) Each Personal Qualification Summary is limited to 3 pages in length and there is no page limit for this Section, which is outside of the 30-page limit for Sections 1-5.</p> <p>(2) Curriculum Vitae should not be submitted.</p>
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## 2. SECOND COMPONENT: SF-424

The SF-424 must be submitted in Adobe PDF format. This form is available on ARPA-E eXCHANGE at <https://arpa-e-foa.energy.gov>.

The SF-424 includes instructions for completing the form. Applicants are required to complete all required fields in accordance with the instructions.

Prime Recipients and Subrecipients are required to complete SF-LLL (Disclosure of Lobbying Activities), available at <http://www.whitehouse.gov/sites/default/files/omb/grants/sflllin.pdf>, if any non-Federal funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with your application or funding agreement. The completed SF-LLL must be appended to the SF-424.

ARPA-E provides the following supplemental guidance on completing the SF-424:

- Each Project Team should submit only one SF-424 (i.e., a Subrecipient should not submit a separate SF-424).
- Assume a project start date of July 2017, or as negotiated.
- The list of certifications and assurances in Block 21 can be found at <http://energy.gov/management/downloads/certifications-and-assurances-use-sf-424>.
- The dates and dollar amounts on the SF-424 are for the entire period of performance (from the project start date to the project end date), not a portion thereof.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).



- Applicants are responsible for ensuring that the proposed costs listed in eXCHANGE match those listed on forms SF-424 and SF-424A. Inconsistent submissions may impact ARPA-E's final award determination.

### **3. THIRD COMPONENT: BUDGET JUSTIFICATION WORKBOOK/SF-424A**

Applicants are required to complete the Budget Justification Workbook/SF-424A Excel spreadsheet. This form is available on ARPA-E eXCHANGE at <https://arpa-e-foa.energy.gov>. Prime Recipients must complete each tab of the Budget Justification Workbook for the project as a whole, including all work to be performed by the Prime Recipient and its Subrecipients and Contractors. The SF-424A form included with the Budget Justification Workbook will “auto-populate” as the Applicant enters information into the Workbook. Applicants should carefully read the “Instructions and Summary” tab provided within the Budget Justification Workbook.

Subrecipient information must be submitted as follows:

- Each Subrecipient incurring greater than or equal to 10% of the Total Project Cost must complete a separate Budget Justification workbook to justify its proposed budget. These worksheets must be inserted as additional sheets within in the Prime Recipient's Budget Justification.
- Subrecipients incurring less than 10% of the Total Project Cost are not required to complete a separate Budget Justification workbook. However, such Subrecipients are required to provide supporting documentation to justify their proposed budgets. At a minimum, the supporting documentation must show which tasks/subtasks are being performed, the purpose/need for the effort, and a sufficient basis for the estimated costs.

ARPA-E provides the following supplemental guidance on completing the Budget Justification Workbook/SF-424A:

- Applicants may request funds under the appropriate object class category tabs as long as the item and amount requested are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions described herein.
- If Patent costs are requested, they must be included in the Applicant's proposed budget (see Section IV.F.3 of the FOA for more information on Patent Costs).
- Unless a waiver is granted by ARPA-E, each Project Team must spend at least 5% of the Federal funding (i.e., the portion of the award that does not include the recipient's cost share) on Technology Transfer & Outreach (TT&O) activities to promote and further the development and deployment of ARPA-E-funded technologies.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

- All TT&O costs requested must be included in the Applicant’s proposed budget and identified as TT&O costs in the Budget Justification Workbook/SF-424A with the costs being requested under the “Other” budget category. All budgeted activities must relate to achieving specific objectives, technical milestones and deliverables outlined in Section 2.4 Task Descriptions of the Technical Volume.
- For pricing purposes, assume a project start date of July 2017, or as negotiated.
- For more information, please refer to the ARPA-E Budget Justification Guidance document at <https://arpa-e-foa.energy.gov>.

#### 4. FOURTH COMPONENT: SUMMARY FOR PUBLIC RELEASE

Applicants are required to provide a 250 word maximum Summary for Public Release. A Summary for Public Release template is available on ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov>). The Summary for Public Release must be submitted in Adobe PDF format. This summary should not include any confidential, proprietary, or privileged information. The summary should be written for a lay audience (e.g., general public, media, Congress) using plain English.

<p><b>250 Words</b></p>	<p><b>SUMMARY FOR PUBLIC RELEASE</b></p>	<p>Briefly describe the proposed effort, summarize its objective(s) and technical approach, describe its ability to achieve the “Program Objectives” (see Section I.C of the FOA), and indicate its potential impact on “ARPA-E Mission Areas” (see Section I.A of the FOA). The summary should be written at technical level suitable for a high-school science student and is designed for public release.</p> <p><b>INSTRUCTIONS:</b></p> <p>(1) The Summary for Public Release <u>shall not exceed 250 words and one paragraph</u>.</p> <p>(2) The Summary for Public Release <u>shall consist only of text</u>—no graphics, figures, or tables.</p> <p>(3) For applications selected for award negotiations, the Summary may be used as the basis for a public announcement by ARPA-E; therefore, <b><u>this Cover Page and Summary should not contain confidential or proprietary information</u></b>. See Section VIII.E of the FOA for additional information on marking confidential information</p>
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#### 5. FIFTH COMPONENT: SUMMARY SLIDE

Applicants are required to provide a single PowerPoint slide summarizing the proposed project. The slide must be submitted in Microsoft PowerPoint format. This slide will be used during

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

ARPA-E's evaluation of Full Applications. A summary slide template and a sample summary slide are available on ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov>).

Summary Slides must conform to the content requirements described below:

- A Technology Summary;
  - Bullet points that describe novel aspects of the proposed technology and technology approach;
- A description of the technology's impact;
  - Quantitative description (through text or graphic) of the impact the proposed project will provide to the market and ARPA-E mission areas;
- Proposed Targets;
  - Including any important technical performance metrics and/or impact categories;
  - Including quantitative description of the state of the art;
  - Including quantitative descriptions of the proposed targets;
- Any key graphics (illustrations, charts and/or tables) summarizing technology development and/or impact;
- The project's key idea/takeaway;
- Project title and Principal Investigator information; and
- Requested ARPA-E funds and proposed Applicant cost share.

## 6. SIXTH COMPONENT: BUSINESS ASSURANCES & DISCLOSURES FORM

Applicants are required to provide the information requested in the Business Assurances & Disclosures Form. The information must be submitted in Adobe PDF format. A fillable Business Assurances & Disclosures Form template is available on ARPA-E eXCHANGE at <https://arpa-e-foa.energy.gov>. A sample response to the Business Assurances & Disclosures Form is also available on ARPA-E eXCHANGE.

As described in the Business Assurances & Disclosures Form, the Applicant is required to:

- Disclose conditions bearing on responsibility, such as criminal convictions and Federal tax liability;
- Disclose potential conflicts of interest within the Project Team;
- If the Applicant is a FFRDC/DOE Lab, submit written authorization from the cognizant Federal agency; and
- If the Applicant is a DOE/NNSA FFRDC/DOE Lab, submit a Field Work Proposal.

In addition, ARPA-E is required by statute to "accelerat[e] transformational technological advances in areas that industry is by itself not likely to undertake because of technical and

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financial uncertainty.”<sup>40</sup> In accordance with ARPA-E’s statutory mandate, the Applicant is required to:

- Describe the additionality and risks associated with the proposed R&D project;
- Disclose any applications for the same project or related work currently pending with any Federal or non-Federal entities; and
- Disclose all funding for work in the same technology area as the proposed project received from any Federal or non-Federal entity within the last 5 years.

Finally, the Applicant may use the Business Assurances & Disclosures Form to:

- Request authorization to perform some work overseas; and
- Request a waiver of the TT&O spending requirement.

## 7. SEVENTH COMPONENT: U.S. MANUFACTURING PLAN

As part of the application, Applicants are required to submit a U.S. Manufacturing Plan that should not exceed one page in length. The U.S. Manufacturing Plan represents the Applicant’s measurable commitment to support U.S. manufacturing as a result of its award. U.S. Manufacturing Plans are a Program Policy Factor during the review and selection process. See Section V.B.1 of the FOA.

A U.S. Manufacturing Plan should contain the following or similar preamble: “If selected for funding, the Applicant agrees to the following commitments as a condition of that funding:” and, after the preamble, the plan should include one or more specific and measurable commitments. For example, an Applicant may commit particular types of products to be manufactured in the U.S. **These plans should not include requirements regarding the source of inputs<sup>41</sup> used during the manufacturing process.** In addition to or instead of making a commitment tied to a particular product, the Applicant may make other types of commitments still beneficial to U.S. manufacturing. An Applicant may commit to a particular investment in a new or existing U.S. manufacturing facility, keep certain activities based in the U.S. (i.e., final assembly) or support a certain number of jobs in the U.S. related to the technology and manufacturing. For an Applicant which is likely to license the technology to others, especially universities for which licensing may be the exclusive means of commercialization the

<sup>40</sup> America COMPETES Act, Pub. L. No. 110-69, § 5012 (2007), as amended (codified at 42 U.S.C. § 16538).

<sup>41</sup> For purposes of this FOA, an input refers to something which is used during the manufacturing process which (1) was in existence prior to or first produced outside of an ARPA-E award; (2) does not embody a subject invention, or technology which is developed or improved under an ARPA-E award; and (3) was not produced through the use of a subject invention, or technology which is developed or improved under an ARPA-E award.

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technology, the U.S. manufacturing plan may indicate the Applicant's plan and commitment to use a licensing strategy **for both exclusive and nonexclusive licensing** that would likely support U.S. manufacturing.

When an Applicant that is a domestic small business, domestic educational institution, or nonprofit organization is selected for an award, the U.S. Manufacturing Plan submitted by the Applicant may become part of the terms and conditions of the award **in addition to the requirements attaching to subject inventions described in VI.B.8 below**. See Section IV.B.8 of the FOA for U.S. Manufacturing Requirements applicable to large businesses. The Applicant/Awardee may request a waiver or modification of the U.S. Manufacturing Plan from DOE upon a showing that the original U.S. Manufacturing Plan is no longer economically feasible.

Class patent waivers usually apply to domestic large businesses as set forth in Section VIII.F of the FOA. Under this class patent waiver, domestic large businesses may elect title to their subject inventions similar to the right provided to the domestic small businesses, educational institutions, and nonprofits by law. In order to avail itself of the class patent waiver, a domestic large business must agree that any products embodying or produced through the use of an invention conceived or first actually reduced to practice under the award will be substantially manufactured in the United States, unless DOE agrees that the commitments proposed in the U.S. Manufacturing Plan are sufficient. The U.S. Manufacturing Plan submitted by the Applicant may become part of the terms and conditions of the award **in addition to the requirements attaching to subject inventions**.

#### **D. CONTENT AND FORM OF REPLIES TO REVIEWER COMMENTS**

Written feedback on Full Applications is made available to Applicants before the submission deadline for Replies to Reviewer Comments. Applicants have a brief opportunity to prepare a short Reply to Reviewer Comments responding to one or more comments or supplementing their Full Application. A fillable Reply to Reviewer Comments template is available on ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov>).

Replies to Reviewer Comments must conform to the following requirements:

- The Reply to Reviewer Comments must be submitted in Adobe PDF format.
  - The Reply to Reviewer Comments must be written in English.
1. All pages must be formatted to fit on 8-1/2 by 11 inch paper with margins not less than one inch on every side. Use Times New Roman typeface, a black font color, and a font size of 12 points or larger (except in figures and tables).

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

- The Control Number must be prominently displayed on the upper right corner of the header of every page. Page numbers must be included in the footer of every page.

ARPA-E may not review or consider noncompliant Replies to Reviewer Comments (see Section III.C.1 of the FOA). ARPA-E will review and consider each compliant and responsive Full Application, even if no Reply is submitted or if the Reply is found to be noncompliant.

Replies to Reviewer Comments must conform to the following content and form requirements, including maximum page lengths, described below. If a Reply to Reviewer Comments is more than three pages in length, ARPA-E will review only the first three pages and disregard any additional pages.

SECTION	PAGE LIMIT	DESCRIPTION
Text	2 pages maximum	<ul style="list-style-type: none"><li>• Applicants may respond to one or more reviewer comments or supplement their Full Application.</li></ul>
Images	1 page maximum	<ul style="list-style-type: none"><li>• Applicants may provide graphs, charts, or other data to respond to reviewer comments or supplement their Full Application.</li></ul>

## **E. INTERGOVERNMENTAL REVIEW**

This program is not subject to Executive Order 12372 (Intergovernmental Review of Federal Programs).

## **F. FUNDING RESTRICTIONS**

### **1. ALLOWABLE COSTS**

All expenditures must be allowable, allocable, and reasonable in accordance with the applicable Federal cost principles. ARPA-E has listed the Federal cost principles for different categories of Applicants at <http://arpa-e.energy.gov/arpa-e-site-page/post-award-guidance>.

### **2. PRE-AWARD COSTS**

ARPA-E will not reimburse any pre-award costs incurred by Applicants before they are selected for award negotiations. Please refer to Section VI.A of the FOA for guidance on award notices.

Upon selection for award negotiations, Applicants may incur pre-award costs at their own risk, consistent with the requirements in 2 C.F.R. Part 200, as modified by 2 C.F.R. Part 910, and other Federal laws and regulations. ARPA-E generally does not accept budgets as submitted with the Full Application. Budgets are typically reworked during award negotiations. ARPA-E is

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under no obligation to reimburse pre-award costs if, for any reason, the Applicant does not receive an award or the award is made for a lesser amount than the Applicant expected, or if the costs incurred are not allowable, allocable, or reasonable.

Pre-award costs expected to exceed \$100,000 or incurred more than 90 days before the date of the Award require the written authorization of the ARPA-E Contracting Officer.

Please refer to the “Applicants’ Guide to ARPA-E Award Negotiations” ([http://arpa-e.energy.gov/sites/default/files/Award\\_Negotiations\\_Guide%20%20March%202015.pdf](http://arpa-e.energy.gov/sites/default/files/Award_Negotiations_Guide%20%20March%202015.pdf)) for additional guidance on pre-award costs.

### **3. PATENT COSTS**

For Subject Inventions disclosed to DOE under an award, ARPA-E will reimburse the Prime Recipient – in addition to allowable costs associated with Subject Invention disclosures - up to \$30,000 of expenditures for filing and prosecution of United States patent applications, including international applications (“PCT application”) submitted to the USPTO.

The Prime Recipient may request a waiver of the \$30,000 cap. Because all patent costs are considered to be Technology Transfer & Outreach (TT&O) costs (see Section IV.G.8 of the FOA below), the waiver request is subject to approval by the ARPA-E Program Director and Contracting Officer.

### **4. CONSTRUCTION**

ARPA-E generally does not fund projects that involve major construction. Recipients are required to obtain written authorization from the Contracting Officer before incurring any major construction costs.

### **5. FOREIGN TRAVEL**

ARPA-E generally does not fund projects that involve foreign travel. Recipients are required to obtain written authorization from the Contracting Officer before incurring any foreign travel costs and provide trip reports with their reimbursement requests.

### **6. PERFORMANCE OF WORK IN THE UNITED STATES**

ARPA-E strongly encourages interdisciplinary and cross-sectoral collaboration spanning organizational boundaries. Such collaboration enables the achievement of scientific and technological outcomes that were previously viewed as extremely difficult, if not impossible.

ARPA-E requires all work under ARPA-E funding agreements to be performed in the United States – i.e., Prime Recipients must expend 100% of the Total Project Cost in the United States.

*Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).*



However, Applicants may request a waiver of this requirement where their project would materially benefit from, or otherwise requires, certain work to be performed overseas.

Applicants seeking a waiver of this requirement are required to include an explicit request in the Business Assurances & Disclosures Form, which is part of the Full Application submitted to ARPA-E. Such waivers are granted where there is a demonstrated need, as determined by ARPA-E.

## **7. PURCHASE OF NEW EQUIPMENT**

All equipment purchased under ARPA-E funding agreements must be made or manufactured in the United States, to the maximum extent practicable. This requirement does not apply to used or leased equipment. The Prime Recipients are required to notify the ARPA-E Contracting Officer reasonably in advance of purchasing any equipment that is not made or manufactured in the United States with an acquisition cost of \$25,000 or more per unit. The ARPA-E Contracting Officer will provide consent to purchase or reject within 30 calendar days of receipt of the Recipient's notification.

## **8. TECHNOLOGY TRANSFER AND OUTREACH**

ARPA-E is required to contribute a percentage of appropriated funds to Technology Transfer and Outreach (TT&O) activities. In order to meet this mandate every Project Team must spend at least 5% of the Federal funding (i.e., the portion of the award that does not include the recipient's cost share) provided by ARPA-E on TT&O activities to promote and further the development and deployment of ARPA-E-funded technologies. Project Teams must also seek a waiver from ARPA-E to spend less than the minimum 5% TT&O expenditure requirement.

All TT&O expenditures are subject to the applicable Federal cost principles (i.e., 2 C.F.R. 200 Subpart E and 48 C.F.R. Subpart 31). Examples of TT&O expenditures are as follows:

- Documented travel and registration for the ARPA-E Energy Innovation Summit and other energy-related conferences and events;
- Documented travel to meet with potential suppliers, partners, or customers;
- Documented work by salaried or contract personnel to develop technology-to-market models or plans;
- Documented costs of acquiring industry-accepted market research reports; and
- Approved patent costs.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

ARPA-E will not reimburse recipients for TT&O costs considered to be unallowable in accordance with the applicable cost principles. Examples of unallowable TT&O expenditures include:

- Meals or entertainment;
- Gifts to potential suppliers, partners, or customers;
- TT&O activities that do not relate to the ARPA-E-funded technologies;
- Undocumented TT&O activities; and
- TT&O activities unrelated and/or unallocable to the subject award.

Applicants may seek a waiver of the TT&O requirement by including an explicit request in the Business Assurances & Disclosures Form. Please refer to the Business Assurances & Disclosures Form for guidance on the content and form of the waiver request. ARPA-E may waive or modify the TT&O requirement, as appropriate.

For information regarding incorporation of TT&O costs into budget documentation, see Section IV.C.3 of the FOA.

Please refer to the “Applicants’ Guide to ARPA-E Award Negotiations” ([http://arpa-e.energy.gov/sites/default/files/Award\\_Negotiations\\_Guide%20%20March%202015.pdf](http://arpa-e.energy.gov/sites/default/files/Award_Negotiations_Guide%20%20March%202015.pdf)) for additional guidance on TT&O requirements.

## 9. LOBBYING

Prime Recipients and Subrecipients may not use any Federal funds, directly or indirectly, to influence or attempt to influence, directly or indirectly, congressional action on any legislative or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. § 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

Prime Recipients and Subrecipients are required to complete and submit SF-LLL, “Disclosure of Lobbying Activities” (<http://www.whitehouse.gov/sites/default/files/omb/grants/sflllin.pdf>) if any non-Federal funds have been paid or will be paid to any person for influencing or attempting to influence any of the following in connection with your application:

- An officer or employee of any Federal agency,
- A Member of Congress,

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- An officer or employee of Congress, or
- An employee of a Member of Congress.

## **10. CONFERENCE SPENDING**

Prime Recipients and Subrecipients may not use any Federal funds to:

- Defray the cost to the United States Government of a conference held by any Executive branch department, agency, board, commission, or office which is not directly and programmatically related to the purpose for which their ARPA-E award is made and for which the cost to the United States Government is more than \$20,000; or
- To circumvent the required notification by the head of any such Executive Branch department, agency, board, commission, or office to the Inspector General (or senior ethics official for any entity without an Inspector General), of the date, location, and number of employees attending such a conference.

## **11. INDEPENDENT RESEARCH AND DEVELOPMENT COSTS**

ARPA-E does not fund Independent Research and Development (IR&D) as part of an indirect cost rate under its financial assistance awards. IR&D, as defined at FAR 31.205-18(a), includes cost of effort that is not sponsored by an assistance agreement or required in performance of a contract, and that consists of projects falling within the four following areas: (i) basic research, (ii) applied research, (iii) development, and (iv) systems and other concept formulation studies.

ARPA-E's goals are to enhance the economic and energy security of the United States through the development of energy technologies and ensure that the United States maintains a technological lead in developing and deploying advanced energy technologies. ARPA-E accomplishes these goals by providing financial assistance for energy technology projects, and has well recognized and established procedures for supporting research through competitive financial assistance awards based on merit review of proposed projects. Reimbursement for independent research and development costs through the indirect cost mechanism could circumvent this competitive process.

To ensure that all projects receive similar and equal consideration, eligible organizations may compete for direct funding of independent research projects they consider worthy of support by submitting proposals for those projects to ARPA-E. Since proposals for these projects may be submitted for direct funding, costs for independent research and development projects are not allowable as indirect costs under ARPA-E awards. IR&D costs, however, would still be included in the direct cost base that is used to calculate the indirect rate so as to ensure an appropriate allocation of indirect costs to the organization's direct cost centers.

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## **G. OTHER SUBMISSION REQUIREMENTS**

### **1. USE OF ARPA-E eXCHANGE**

To apply to this FOA, Applicants must register with ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/Registration.aspx>). Full Applications and Replies to Reviewer Comments must be submitted through ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/login.aspx>). ARPA-E will not review or consider applications submitted through other means (e.g., fax, hand delivery, email, postal mail). For detailed guidance on using ARPA-E eXCHANGE, please refer to the “ARPA-E eXCHANGE User Guide” (<https://arpa-e-foa.energy.gov/Manuals.aspx>).

Upon creating an application submission in ARPA-E eXCHANGE, Applicants will be assigned a Control Number. If the Applicant creates more than one application submission, a different Control Number will be assigned for each application.

Once logged in to ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/login.aspx>), Applicants may access their submissions by clicking the “My Submissions” link in the navigation on the left side of the page. Every application that the Applicant has submitted to ARPA-E and the corresponding Control Number is displayed on that page. If the Applicant submits more than one application to a particular FOA, a different Control Number is shown for each application.

Applicants are responsible for meeting each submission deadline in ARPA-E eXCHANGE. **Applicants are strongly encouraged to submit their applications at least 48 hours in advance of the submission deadline.** Under normal conditions (i.e., at least 48 hours in advance of the submission deadline), Applicants should allow at least 1 hour to submit a Full Application. In addition, Applicants should allow at least 15 minutes to submit a Reply to Reviewer Comments. Once the application is submitted in ARPA-E eXCHANGE, Applicants may revise or update their application until the expiration of the applicable deadline.

**Applicants should not wait until the last minute to begin the submission process.** During the final hours before the submission deadline, Applicants may experience server/connection congestion that prevents them from completing the necessary steps in ARPA-E eXCHANGE to submit their applications. **ARPA-E will not extend the submission deadline for Applicants that fail to submit required information and documents due to server/connection congestion.**

**ARPA-E will not review or consider incomplete applications and applications received after the deadline stated in the FOA.** Such applications will be deemed noncompliant (see Section III.C.1 of the FOA). The following errors could cause an application to be deemed “incomplete” and thus noncompliant:

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- Failing to comply with the form and content requirements in Section IV of the FOA;
- Failing to enter required information in ARPA-E eXCHANGE;
- Failing to upload required document(s) to ARPA-E eXCHANGE;
- Failing to click the “Submit” button in ARPA-E eXCHANGE by the deadline stated in the FOA;
- Uploading the wrong document(s) or application(s) to ARPA-E eXCHANGE; and
- Uploading the same document twice, but labeling it as different documents. (In the latter scenario, the Applicant failed to submit a required document.)

ARPA-E urges Applicants to carefully review their applications and to allow sufficient time for the submission of required information and documents.

## **V. APPLICATION REVIEW INFORMATION**

### **A. CRITERIA**

ARPA-E performs a preliminary review of Full Applications to determine whether they are compliant and responsive (see Section III.C of the FOA). ARPA-E also performs a preliminary review of Replies to Reviewer Comments to determine whether they are compliant.

ARPA-E considers a mix of quantitative and qualitative criteria in determining whether to encourage the submission of a Full Application and whether to select a Full Application for award negotiations.

#### **1. CRITERIA FOR FULL APPLICATIONS**

Full Applications are evaluated based on the following criteria:

(1) *Impact of the Proposed Technology* (30%) - This criterion involves consideration of the following:

- The potential for a transformational and disruptive (not incremental) advancement in one or more energy-related fields;
- Thorough understanding of the current state-of-the-art and presentation of an

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innovative technical approach to significantly improve performance over the current state-of-the-art;

- Awareness of competing commercial and emerging technologies and identification of how the proposed concept/technology provides significant improvement over these other solutions; and
- A reasonable and effective strategy for transitioning the proposed technology from the laboratory to commercial deployment.

(2) *Overall Scientific and Technical Merit* (30%) - This criterion involves consideration of the following:

- Whether the proposed work is unique and innovative;
- Clearly defined project outcomes and final deliverables;
- Substantiation that the proposed project is likely to meet or exceed the technical performance targets identified in this FOA;
- Feasibility of the proposed work based upon preliminary data or other background information and sound scientific and engineering practices and principles;
- A sound technical approach, including appropriately defined technical tasks, to accomplish the proposed R&D objectives; and
- Management of risk, to include identifying major technical R&D risks and feasible, effective mitigation strategies.

(3) *Qualifications, Experience, and Capabilities of the Proposed Project Team* (30%) - This criterion involves consideration of the following:

- The PI and Project Team have the skill and expertise needed to successfully execute the project plan, evidenced by prior experience that demonstrates an ability to perform R&D of similar risk and complexity; and
- Access to the equipment and facilities necessary to accomplish the proposed R&D effort and/or a clear plan to obtain access to necessary equipment and facilities.

(4) *Soundness of Management Plan* (10%) - This criterion involves consideration of the following:

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- Plausibility of plan to manage people and resources;
- Allocation of appropriate levels of effort and resources to proposed tasks;
- Reasonableness of the proposed project schedule, including major milestones; and
- Reasonableness of the proposed budget to accomplish the proposed project.

Submissions will not be evaluated against each other since they are not submitted in accordance with a common work statement.

## **2. CRITERIA FOR REPLIES TO REVIEWER COMMENTS**

ARPA-E has not established separate criteria to evaluate Replies to Reviewer Comments. Instead, Replies to Reviewer Comments are evaluated as an extension of the Full Application.

### **B. REVIEW AND SELECTION PROCESS**

#### **1. PROGRAM POLICY FACTORS**

In addition to the above criteria, ARPA-E may consider the following program policy factors in determining which Full Applications to select for award negotiations:

- I. **ARPA-E Portfolio Balance.** Project balances ARPA-E portfolio in one or more of the following areas:
  - a. Diversity (including gender) of technical personnel in the proposed Project Team;
  - b. Technological diversity;
  - c. Organizational diversity;
  - d. Geographic diversity;
  - e. Technical or commercialization risk; or
  - f. Stage of technology development.
  
- II. **Relevance to ARPA-E Mission Advancement.** Project contributes to one or more of ARPA-E's key statutory goals:
  - a. Reduction of US dependence on foreign energy sources;
  - b. Stimulation of domestic manufacturing/U.S. Manufacturing Plan;
  - c. Reduction of energy-related emissions;
  - d. Increase in U.S. energy efficiency;
  - e. Enhancement of U.S. economic and energy security; or
  - f. Promotion of U.S. advanced energy technologies competitiveness.

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- III. **Synergy of Public and Private Efforts.**
  - a. Avoids duplication and overlap with other publicly or privately funded projects;
  - b. Promotes increased coordination with nongovernmental entities for demonstration of technologies and research applications to facilitate technology transfer; or
  - c. Increases unique research collaborations.
- IV. **Low likelihood of other sources of funding.** High technical and/or financial uncertainty that results in the non-availability of other public, private or internal funding or resources to support the project.
- V. **High-Leveraging of Federal Funds.** Project leverages Federal funds to optimize advancement of programmatic goals by proposing cost share above the required minimum or otherwise accessing scarce or unique resources.
- VI. **High Project Impact Relative to Project Cost.**

## 2. ARPA-E REVIEWERS

By submitting an application to ARPA-E, Applicants consent to ARPA-E's use of Federal employees, contractors, and experts from educational institutions, nonprofits, industry, and governmental and intergovernmental entities as reviewers. ARPA-E selects reviewers based on their knowledge and understanding of the relevant field and application, their experience and skills, and their ability to provide constructive feedback on applications.

ARPA-E requires all reviewers to complete a Conflict-of-Interest Certification and Nondisclosure Agreement through which they disclose their knowledge of any actual or apparent conflicts and agree to safeguard confidential information contained in Full Applications and Replies to Reviewer Comments. In addition, ARPA-E trains its reviewers in proper evaluation techniques and procedures.

Applicants are not permitted to nominate reviewers for their applications. Applicants may contact the Contracting Officer by email ([ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov)) if they have knowledge of a potential conflict of interest or a reasonable belief that a potential conflict exists.

## 3. ARPA-E SUPPORT CONTRACTOR

ARPA-E utilizes contractors to assist with the evaluation of applications and project management. To avoid actual and apparent conflicts of interest, ARPA-E prohibits its support contractors from submitting or participating in the preparation of applications to ARPA-E.

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By submitting an application to ARPA-E, Applicants represent that they are not performing support contractor services for ARPA-E in any capacity and did not obtain the assistance of ARPA-E's support contractor to prepare the application. ARPA-E will not consider any applications that are submitted by or prepared with the assistance of its support contractors.

**C. ANTICIPATED ANNOUNCEMENT AND AWARD DATES**

ARPA-E expects to announce selections for negotiations in approximately March 2017 and to execute funding agreements in approximately July 2017.

**VI. AWARD ADMINISTRATION INFORMATION**

**A. AWARD NOTICES**

**1. REJECTED SUBMISSIONS**

Noncompliant and nonresponsive Full Applications are rejected by the Contracting Officer and are not merit reviewed or considered for award. The Contracting Officer sends a notification letter by email to the technical and administrative points of contact designated by the Applicant in ARPA-E eXCHANGE. The notification letter states the basis upon which the Full Application was rejected.

**2. FULL APPLICATION NOTIFICATIONS**

ARPA-E promptly notifies Applicants of its determination. ARPA-E sends a notification letter by email to the technical and administrative points of contact designated by the Applicant in ARPA-E eXCHANGE. The notification letter may inform the Applicant that its Full Application was selected for award negotiations, or not selected. Alternatively, ARPA-E may notify one or more Applicants that a final selection determination on particular Full Applications will be made at a later date, subject to the availability of funds or other factors.

Written feedback on Full Applications is made available to Applicants before the submission deadline for Replies to Reviewer Comments. By providing feedback, ARPA-E intends to guide the further development of the proposed technology and to provide a brief opportunity to respond to reviewer comments.

**a. *SUCCESSFUL APPLICANTS***

ARPA-E has discretion to select all or part of a proposed project for negotiation of an award. A notification letter selecting a Full Application for award negotiations does not authorize the Applicant to commence performance of the project. **ARPA-E selects Full Applications for award negotiations, not for award.** Applicants do not receive an award until award

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negotiations are complete and the Contracting Officer executes the funding agreement. ARPA-E may terminate award negotiations at any time for any reason.

Please refer to Section IV.F.2 of the FOA for guidance on pre-award costs. Please also refer to the “Applicants’ Guide to ARPA-E Award Negotiations” ([http://www.arpa-e.energy.gov/sites/default/files/documents/files/Award\\_Negotiations\\_Guide081613.pdf](http://www.arpa-e.energy.gov/sites/default/files/documents/files/Award_Negotiations_Guide081613.pdf)) for guidance on the award negotiation process.

### ***b. POSTPONED SELECTION DETERMINATIONS***

A notification letter postponing a final selection determination until a later date does not authorize the Applicant to commence performance of the project. ARPA-E may ultimately determine to select or not select the Full Application for award negotiations.

Please refer to Section IV.F.2 of the FOA for guidance on pre-award costs.

### ***c. UNSUCCESSFUL APPLICANTS***

By not selecting a Full Application, ARPA-E intends to convey its lack of programmatic interest in the proposed project. Such assessments do not necessarily reflect judgments on the merits of the proposed project. ARPA-E hopes that unsuccessful Applicants will submit innovative ideas and concepts for future FOAs.

## **B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

The following administrative and national policy requirements apply to Prime Recipients. The Prime Recipient is the responsible authority regarding the settlement and satisfaction of all contractual and administrative issues, including but not limited to disputes and claims arising out of any agreement between the Prime Recipient and a FFRDC contractor. Prime Recipients are required to flow down these requirements to their Subrecipients through subawards or related agreements.

### **1. DUNS NUMBER AND SAM, FSRS, AND FEDCONNECT REGISTRATIONS**

Prime Recipients and Subrecipients are required to obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number at <http://fedgov.dnb.com/webform> and to register with the System for Award Management (SAM) at <https://www.sam.gov/portal/public/SAM/>.

Prime Recipients and Subrecipients should commence this process as soon as possible in order to expedite the execution of a funding agreement. Obtaining a DUNS number and registering with SAM could take several weeks.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

Prime Recipients are also required to register with the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS) at <https://www.fsrs.gov/>.<sup>42</sup> Prime Recipients are required to report to FSRS the names and total compensation of each of the Prime Recipient's five most highly compensated executives and the names and total compensation of each Subrecipient's five most highly compensated executives. Please refer to <https://www.fsrs.gov/> for guidance on reporting requirements.

ARPA-E may not execute a funding agreement with the Prime Recipient until it has obtained a DUNS number and completed its SAM and FSRS registrations. In addition, the Prime Recipient may not execute subawards with Subrecipients until they obtain a DUNS number and complete their SAM registration. Prime Recipients and Subrecipients are required to keep their SAM and FSRS data current throughout the duration of the project.

Finally, Prime Recipients are required to register with FedConnect in order to receive notification that their funding agreement has been executed by the Contracting Officer and to obtain a copy of the executed funding agreement. Please refer to <https://www.fedconnect.net/FedConnect/> for registration instructions.

## **2. NATIONAL POLICY ASSURANCES**

Project Teams, including Prime Recipients and Subrecipients, are required to comply with the National Policy Assurances attached to their funding agreement in accordance with 2 C.F.R. 200.300. Please refer to Attachment 6 of ARPA-E's Model Cooperative Agreement (<http://arpa-e.energy.gov/FundingAgreements/CooperativeAgreements.aspx>) for information on the National Policy Assurances.

## **3. PROOF OF COST SHARE COMMITMENT AND ALLOWABILITY**

Upon selection for award negotiations, the Prime Recipient must confirm in writing that the proposed cost share contribution is allowable in accordance with applicable Federal cost principles.

The Prime Recipient is also required to provide cost share commitment letters from Subrecipients or third parties that are providing cost share, whether cash or in-kind. Each Subrecipient or third party that is contributing cost share must provide a letter on appropriate letterhead that is signed by an authorized corporate representative. Please refer to the "Applicants' Guide to ARPA-E Award Negotiations" ([http://www.arpa-e.energy.gov/sites/default/files/documents/files/Award\\_Negotiations\\_Guide081613.pdf](http://www.arpa-e.energy.gov/sites/default/files/documents/files/Award_Negotiations_Guide081613.pdf)) for guidance on the contents of cost share commitment letters.

## **4. COST SHARE PAYMENTS<sup>43</sup>**

<sup>15</sup> The Federal Funding Accountability and Transparency Act, P.L. 109-282, 31 U.S.C. 6101 note.

<sup>16</sup> Please refer to Section III.B of the FOA for guidance on cost share requirements.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

All proposed cost share contributions must be reviewed in advance by the Contracting Officer and incorporated into the project budget before the expenditures are incurred.

The Prime Recipient is required to pay the “Cost Share” amount as a percentage of the total project costs in each invoice period for the duration of the period of performance. Small Businesses see Section III.B.3 of the FOA.

Please refer to the “Applicants’ Guide to ARPA-E Award Negotiations” ([http://www.arpa-e.energy.gov/sites/default/files/documents/files/Award\\_Negotiations\\_Guide081613.pdf](http://www.arpa-e.energy.gov/sites/default/files/documents/files/Award_Negotiations_Guide081613.pdf)) for additional guidance on cost share payment requirements.

ARPA-E may deny reimbursement requests, in whole or in part, or modify or terminate funding agreements where Prime Recipients (or Project Teams) fail to comply with ARPA-E’s cost share payment requirements.

## **5. ENVIRONMENTAL IMPACT QUESTIONNAIRE**

By law, ARPA-E is required to evaluate the potential environmental impact of projects that it is considering for funding. In particular, ARPA-E must determine before funding a project whether the project qualifies for a categorical exclusion under 10 C.F.R. § 1021.410 or whether it requires further environmental review (i.e., an environmental assessment or an environmental impact statement).

To facilitate and expedite ARPA-E’s environmental review, Prime Recipients are required to complete an Environmental Impact Questionnaire during award negotiations. This form is available on ARPA-E eXCHANGE at <https://arpa-e-foa.energy.gov>. The Environmental Impact Questionnaire is due within 21 calendar days of the selection announcement.

## **6. TECHNOLOGY-TO-MARKET PLAN**

During award negotiations, Prime Recipients are required to negotiate and submit an initial Technology-to-Market Plan to the ARPA-E Program Director, and obtain the ARPA-E Program Director’s approval prior to the execution of the award. Prime Recipients must show how budgeted Technology Transfer and Outreach (TT&O) costs relate to furthering elements of the Technology-to-Market Plan. During the period of performance, Prime Recipients are required to provide regular updates on the initial Technology-to-Market plan and report on implementation of Technology-to-Market activities. Prime Recipients may be required to perform other actions to further the commercialization of their respective technologies.

ARPA-E may waive or modify this requirement, as appropriate.

## **7. INTELLECTUAL PROPERTY AND DATA MANAGEMENT PLANS**

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

ARPA-E requires every Project Team to negotiate and establish an Intellectual Property Management Plan for the management and disposition of intellectual property arising from the project. The Prime Recipient must submit a completed and signed Intellectual Property Management plan to ARPA-E within six weeks of the effective date of the ARPA-E funding agreement. All Intellectual Property Management Plans are subject to the terms and conditions of the ARPA-E funding agreement and its intellectual property provisions, and applicable Federal laws, regulations, and policies, all of which take precedence over the terms of Intellectual Property Management Plans.

ARPA-E has developed a template for Intellectual Property Management Plans (<http://arpa-e.energy.gov/FundingAgreements/Overview.aspx>) so as to facilitate and expedite negotiations between Project Team members. ARPA-E does not mandate the use of this template. ARPA-E and DOE do not make any warranty (express or implied) or assume any liability or responsibility for the accuracy, completeness, or usefulness of the template. ARPA-E and DOE strongly encourage Project Teams to consult independent legal counsel before using the template.

Awardees are also required, post-award, to submit a Data Management Plan (DMP) that addresses how data generated in the course of the work performed under an ARPA-E award will be preserved and, as appropriate, shared publicly. The Prime Recipient must submit a completed and signed DMP - as part of the Team's Intellectual Property Management Plan - to ARPA-E within six weeks of the effective date of the ARPA-E funding agreement. The DMP must meet the minimum requirements set forth in ARPA-E's "Applicant Guide to Award Negotiations" available at the following website: <http://arpa-e.energy.gov/?q=arpa-e-site-page/pre-award-guidance>."

## **8. U.S. MANUFACTURING REQUIREMENT**

In addition to treatment of the U.S. Manufacturing Plan described above in Section IV.D.7 of the FOA, ARPA-E requires products embodying or produced through the use of subject inventions (i.e., inventions conceived or first actually reduced to practice under ARPA-E funding agreements) to be substantially manufactured in the United States by Project Teams and their licensees, as described below. The Applicant may request a modification or waiver of the U.S. Manufacturing Requirement.

### ***a. SMALL BUSINESSES***

Small businesses (including Small Business Concerns) that are Prime Recipients or Subrecipients under ARPA-E funding agreements are required to substantially manufacture the following products in the United States for any use or sale in the United States: (1) products embodying

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

subject inventions, and (2) products produced through the use of subject invention(s).<sup>44</sup> This requirement does not apply to products that are manufactured for use or sale outside the U.S. A.

Small businesses must apply the same U.S. Manufacturing requirements to their assignees, licensees, and entities acquiring a controlling interest in the small business. Small businesses must require their assignees and entities acquiring a controlling interest in the small business to apply the same U.S. Manufacturing requirements to their licensees.

### ***b. LARGE BUSINESSES AND FOREIGN ENTITIES***

Large businesses and foreign entities that are Prime Recipients or Subrecipients under ARPA-E funding agreements are required to substantially manufacture the following products in the United States: (1) products embodying subject inventions, and (2) products produced through the use of subject invention(s).<sup>45</sup> This requirement applies to products that are manufactured for use or sale in the United States and outside the United States.

Large businesses and foreign entities must apply the same U.S. Manufacturing requirements to their assignees, licensees, and entities acquiring a controlling interest in the large business or foreign entity. Large businesses and foreign entities must require their assignees and entities acquiring a controlling interest in the large business or foreign entity to apply the same U.S. Manufacturing requirements to their licensees.

### ***c. EDUCATIONAL INSTITUTIONS AND NONPROFITS***

Domestic educational institutions and nonprofits that are Prime Recipients or Subrecipients under ARPA-E funding agreements must require their exclusive licensees to substantially manufacture the following products in the United States for any use or sale in the United States: (1) articles embodying subject inventions, and (2) articles produced through the use of subject invention(s). This requirement does not apply to articles that are manufactured for use or sale overseas.

Educational institutions and nonprofits must require their assignees to apply the same U.S. Manufacturing requirements to their exclusive licensees.

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<sup>44</sup> Small businesses are generally defined as domestically incorporated entities that meet the criteria established by the U.S. Small Business Administration's "Table of Small Business Size Standards Matched to North American Industry Classification System Codes" (<http://www.sba.gov/content/small-business-size-standards>).

<sup>45</sup> Large businesses are generally defined as domestically incorporated entities that do not meet the criteria established by the U.S. Small Business Administration's "Table of Small Business Size Standards Matched to North American Industry Classification System Codes" (<http://www.sba.gov/content/small-business-size-standards>).



#### **d. FFRDCs/DOE Labs and State and Local Government Entities**

FFRDCs/DOE Labs that are GOCOs and state and local government entities are subject to the same U.S. Manufacturing requirements as domestic educational institutions and nonprofits. GOGOs are subject to the requirements in 37 CFR § 404.5(a)(2).

#### **9. CORPORATE FELONY CONVICTIONS AND FEDERAL TAX LIABILITY**

In submitting an application in response to this FOA, the Applicant represents that:

- It is not a corporation that has been convicted of a felony criminal violation under any Federal law within the preceding 24 months; and
- It is not a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

For purposes of these representations the following definitions apply: A Corporation includes any entity that has filed articles of incorporation in any of the 50 states, the District of Columbia, or the various territories of the United States [but not foreign corporations]. It includes both for-profit and non-profit organizations.

#### **10. APPLICANT RISK ANALYSIS**

If selected for award negotiations, ARPA-E may evaluate the risks posed by the Applicant using the criteria set forth at 2 CFR §200.205(c), subparagraphs (1) through (4). ARPA-E may require special award terms and conditions depending upon results of the risk analysis.

#### **11. RECIPIENT INTEGRITY AND PERFORMANCE MATTERS**

Prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold (presently \$150,000), ARPA-E is required to review and consider any information about Applicants that is contained in the Office of Management and Budget's designated integrity and performance system accessible through SAM (currently the Federal Awardee Performance and Integrity Information System or FAPIIS) (41 U.S.C. § 2313 and 2 C.F.R. 200.205).

Applicants may review information in FAPIIS and comment on any information about itself that a Federal awarding agency previously entered into FAPIIS.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

ARPA-E will consider any written comments provided by Applicants during award negotiations, in addition to the other information in FAPIIS, in making a judgment about an Applicant's integrity, business ethics, and record of performance under Federal awards when reviewing potential risk posed by Applicants as described in 2 C.F.R. §200.205.

## 12. NONDISCLOSURE AND CONFIDENTIALITY AGREEMENTS REPRESENTATIONS

In submitting an application in response to this FOA the Applicant represents that:

- (1) **It does not and will not** require its employees or contractors to sign internal nondisclosure or confidentiality agreements or statements prohibiting or otherwise restricting its employees or contractors from lawfully reporting waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.
- (2) **It does not and will not** use any Federal funds to implement or enforce any nondisclosure and/or confidentiality policy, form, or agreement it uses unless it contains the following provisions:
  - a. *“These provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling.”*
  - b. The limitation above shall not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.
  - c. Notwithstanding provision listed in paragraph (a), a nondisclosure confidentiality policy form or agreement that is to be executed by a person connected with the conduct of an intelligence or intelligence-related activity, other than an employee or officer of the United States Government, may contain provisions appropriate to the particular activity for which such document is to be used. Such form or agreement shall, at a minimum, require that the person will not disclose any classified information received in the course of such activity unless specifically authorized to do so by the United States Government. Such nondisclosure or confidentiality forms

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

shall also make it clear that they do not bar disclosure to congress, or to an authorized official of an executive agency or the Department of Justice, that are essential to reporting a substantial violation of law.

### **C. REPORTING**

Recipients are required to submit periodic, detailed reports on technical, financial, and other aspects of the project, as described in Attachment 4 to ARPA-E's Model Cooperative Agreement (<http://arpa-e.energy.gov/arpa-e-site-page/award-guidance>).

## **VII. AGENCY CONTACTS**

### **A. COMMUNICATIONS WITH ARPA-E**

Upon the issuance of a FOA, only the Contracting Officer may communicate with Applicants. ARPA-E personnel and our support contractors are prohibited from communicating (in writing or otherwise) with 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 are required to submit all questions regarding this FOA to [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov). Questions and Answers (Q&As) about ARPA-E and the FOA are available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, please send an email with the FOA name and number in the subject line to [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov). Due to the volume of questions received, ARPA-E will only answer pertinent questions that have not yet been answered and posted at the above link.

- ARPA-E will post responses on a weekly basis to any questions that are received. ARPA-E may re-phrase questions or consolidate similar questions for administrative purposes.
- 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.
- Responses are posted to "Questions and Answers" on ARPA-E's website (<http://arpa-e.energy.gov/faq>).

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

Applicants may submit questions regarding ARPA-E eXCHANGE, ARPA-E's online application portal, to [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov). ARPA-E will promptly respond to emails that raise legitimate, technical issues with ARPA-E eXCHANGE. ARPA-E will refer any questions regarding the FOA to [ARPA-E-CO@hq.doe.gov](mailto: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.

During the "quiet period," only the Contracting Officer may authorize communications between ARPA-E personnel and Applicants. The Contracting Officer may communicate with Applicants as necessary and appropriate. As described in Section IV.A of the FOA, the Contracting Officer may arrange pre-selection meetings and/or site visits during the "quiet period."

## **B. DEBRIEFINGS**

ARPA-E does not offer or provide debriefings. ARPA-E provides Applicants with reviewer comments on Full Applications before the submission deadline for Replies to Reviewer Comments.

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## **VIII. OTHER INFORMATION**

### **A. FOAs AND FOA MODIFICATIONS**

FOAs are posted on ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/>), Grants.gov (<http://www.grants.gov/>), and FedConnect (<https://www.fedconnect.net/FedConnect/>). Any modifications to the FOA are also posted to these websites. You can receive an e-mail when a modification is posted by registering with FedConnect as an interested party for this FOA. It is recommended that you register as soon as possible after release of the FOA to ensure that you receive timely notice of any modifications or other announcements. More information is available at <https://www.fedconnect.net>.

### **B. OBLIGATION OF PUBLIC FUNDS**

The Contracting Officer is the only individual who can make awards on behalf of ARPA-E or obligate ARPA-E to the expenditure of public funds. A commitment or obligation by any individual other than the Contracting Officer, either explicit or implied, is invalid.

ARPA-E awards may not be transferred, assigned, or assumed without the prior written consent of a Contracting Officer.

### **C. REQUIREMENT FOR FULL AND COMPLETE DISCLOSURE**

Applicants are required to make a full and complete disclosure of the information requested in the Business Assurances & Disclosures Form. Disclosure of the requested information is mandatory. Any failure to make a full and complete disclosure of the requested information may result in:

- The rejection of a Full Application and/or Reply to Reviewer Comments;
- The termination of award negotiations;
- The modification, suspension, and/or termination of a funding agreement;
- The initiation of debarment proceedings, debarment, and/or a declaration of ineligibility for receipt of Federal contracts, subcontracts, and financial assistance and benefits; and
- Civil and/or criminal penalties.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

**D. RETENTION OF SUBMISSIONS**

ARPA-E expects to retain copies of all Full Applications, Replies to Reviewer Comments, and other submissions. No submissions will be returned. By applying to ARPA-E for funding, Applicants consent to ARPA-E's retention of their submissions.

**E. MARKING OF CONFIDENTIAL INFORMATION**

ARPA-E will use data and other information contained in Full Applications and Replies to Reviewer Comments strictly for evaluation purposes.

Full Applications, Replies to Reviewer Comments, and other submissions containing confidential, proprietary, or privileged information must be marked as described below. Failure to comply with these marking requirements may result in the disclosure of the unmarked information under the Freedom of Information Act or otherwise. The U.S. Government is not liable for the disclosure or use of unmarked information, and may use or disclose such information for any purpose.

The cover sheet of the Full Application, Reply to Reviewer Comments, or other submission must be marked as follows and identify the specific pages containing confidential, proprietary, or privileged information:

Notice of Restriction on Disclosure and Use of Data:

Pages [\_\_\_] of this document may contain confidential, proprietary, or privileged information that is exempt from public disclosure. Such information shall be used or disclosed only for evaluation purposes or in accordance with a financial assistance or loan agreement between the submitter and the Government. The Government may use or disclose any information that is not appropriately marked or otherwise restricted, regardless of source.

The header and footer of every page that contains confidential, proprietary, or privileged information must be marked as follows: "Contains Confidential, Proprietary, or Privileged Information Exempt from Public Disclosure." In addition, every line and paragraph containing proprietary, privileged, or trade secret information must be clearly marked with double brackets or highlighting.

**F. TITLE TO SUBJECT INVENTIONS**

Ownership of subject inventions is governed pursuant to the authorities listed below. Typically, either by operation of law or under the authority of a patent waiver, Prime Recipients and Subrecipients may elect to retain title to their subject inventions under ARPA-E funding agreements.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

- Domestic Small Businesses, Educational Institutions, and Nonprofits: Under the Bayh-Dole Act (35 U.S.C. § 200 et seq.), domestic small businesses, educational institutions, and nonprofits may elect to retain title to their subject inventions. If they elect to retain title, they must file a patent application in a timely fashion.
- All other parties: The Federal Non-Nuclear Energy Act of 1974, 42 U.S.C. 5908, provides that the Government obtains title to new inventions unless a waiver is granted (*see below*).
- Class Waiver: Under 42 U.S.C. § 5908, title to subject inventions vests in the U.S. Government and large businesses and foreign entities do not have the automatic right to elect to retain title to subject inventions. However, ARPA-E typically issues “class patent waivers” under which large businesses and foreign entities that meet certain stated requirements, such as cost sharing of at least 20% may elect to retain title to their subject inventions. If a large business or foreign entity elects to retain title to its subject invention, it must file a patent application in a timely fashion. If the class waiver does not apply, a party may request a waiver in accordance with 10 C.F.R. §784.
- GOGOs are subject to the requirements of 37 CFR Part 501.
- Determination of Exceptional Circumstances (DEC): Each Applicant is required to submit a U.S. Manufacturing Plan as part of its Full Application. The U.S. manufacture provision included in Attachment 2 of an award is included as part of the U.S. Manufacturing Plan. If selected, the U.S. Manufacturing Plan may be incorporated into the award terms and conditions for domestic small businesses and nonprofit organizations. DOE has determined that exceptional circumstances exist that warrants the modification of the standard patent rights clause for small businesses and non-profit awardees under Bayh-Dole to the extent necessary to implement and enforce the U.S. Manufacturing Plan. For example, the commitments and enforcement of a U.S. Manufacturing Plan may be tied to subject inventions. Any Bayh-Dole entity (domestic small business or nonprofit organization) affected by this DEC has the right to appeal it. The DEC is dated September 9, 2013 and is available at the following link:  
<http://energy.gov/gc/downloads/determination-exceptional-circumstances-under-bayh-dole-act-energy-efficiency-renewable>.



## **G. GOVERNMENT RIGHTS IN SUBJECT INVENTIONS**

Where Prime Recipients and Subrecipients retain title to subject inventions, the U.S. Government retains certain rights.

### **1. GOVERNMENT USE LICENSE**

The U.S. Government retains a nonexclusive, nontransferable, irrevocable, paid-up license to practice or have practiced for or on behalf of the United States any subject invention throughout the world. This license extends to contractors doing work on behalf of the Government.

### **2. MARCH-IN RIGHTS**

The U.S. Government retains march-in rights with respect to all subject inventions. Through “march-in rights,” the Government may require a Prime Recipient or Subrecipient who has elected to retain title to a subject invention (or their assignees or exclusive licensees), to grant a license for use of the invention. In addition, the Government may grant licenses for use of the subject invention when Prime Recipients, Subrecipients, or their assignees and exclusive licensees refuse to do so.

The U.S. Government may exercise its march-in rights if it determines that such action is necessary under any of the four following conditions:

- The owner or licensee has not taken or is not expected to take effective steps to achieve practical application of the invention within a reasonable time;
- The owner or licensee has not taken action to alleviate health or safety needs in a reasonably satisfactory manner;
- The owner has not met public use requirements specified by Federal statutes in a reasonably satisfactory manner; or
- The U.S. Manufacturing requirement has not been met.

### **3. U.S. MANUFACTURING REQUIREMENT**

ARPA-E requires that awards address whether products embodying or produced through the use of subject inventions (i.e., inventions conceived or first actually reduced to practice under ARPA-E funding agreements) are to be substantially manufactured in the United States by Project Teams and their licensees. The requirement varies depending upon whether an awardee is a small business, University or other type of awardee. The Applicant may request a modification or waiver of the U.S. Manufacturing Requirement.

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## **H. RIGHTS IN TECHNICAL DATA**

Data rights differ based on whether data is first produced under an award or instead was developed at private expense outside the award.

- Background or “Limited Rights Data”: The U.S. Government will not normally require delivery of technical data developed solely at private expense prior to issuance of an award, except as necessary to monitor technical progress and evaluate the potential of proposed technologies to reach specific technical and cost metrics.
- Generated Data: The U.S. Government normally retains very broad rights in technical data produced under Government financial assistance awards, including the right to distribute to the public. However, pursuant to special statutory authority, certain categories of data generated under ARPA-E awards may be protected from public disclosure for up to five years in accordance with provisions that will be set forth in the award. In addition, invention disclosures may be protected from public disclosure for a reasonable time in order to allow for filing a patent application.

## **I. PROTECTED PERSONALLY IDENTIFIABLE INFORMATION**

Applicants may not include any Protected Personally Identifiable Information (Protected PII) in their submissions to ARPA-E. Protected PII is defined as data that, if compromised, could cause harm to an individual such as identity theft. Listed below are examples of Protected PII that Applicants must not include in their submissions.

- Social Security Numbers in any form;
- Place of Birth associated with an individual;
- Date of Birth associated with an individual;
- Mother’s maiden name associated with an individual;
- Biometric record associated with an individual;
- Fingerprint;
- Iris scan;
- DNA;
- Medical history information associated with an individual;
- Medical conditions, including history of disease;
- Metric information, e.g. weight, height, blood pressure;
- Criminal history associated with an individual;
- Ratings;
- Disciplinary actions;

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- Performance elements and standards (or work expectations) are PII when they are so intertwined with performance appraisals that their disclosure would reveal an individual's performance appraisal;
- Financial information associated with an individual;
- Credit card numbers;
- Bank account numbers; and
- Security clearance history or related information (not including actual clearances held).

## **J. COMPLIANCE AUDIT REQUIREMENT**

A prime recipient organized as a for-profit entity expending \$750,000 or more of DOE funds in the entity's fiscal year (including funds expended as a Subrecipient) must have an annual compliance audit performed at the completion of its fiscal year. For additional information, refer to Subpart F of: (i) 2 C.F.R. Part 200, and (ii) 2 C.F.R. Part 910.

If an educational institution, non-profit organization, or state/local government is either a Prime Recipient or a Subrecipient, and has expended \$750,000 or more of Federal funds in the entity's fiscal year, the entity must have an annual compliance audit performed at the completion of its fiscal year. For additional information refer to Subpart F of 2 C.F.R. Part 200.

## **IX. GLOSSARY**

**Applicant:** The entity that submits the application to ARPA-E. In the case of a Project Team, the Applicant is the lead organization listed on the application.

**Application:** The entire submission received by ARPA-E, including the Full Application and Reply to Reviewer Comments.

**ARPA-E:** is the Advanced Research Projects Agency – Energy, an agency within the U.S. Department of Energy.

**Cost Sharing:** is the portion of project costs from non-Federal sources that are borne by the Prime Recipient (or non-Federal third parties on behalf of the Prime Recipient), rather than by the Federal Government.

**Deliverable:** A deliverable is the quantifiable goods or services that will be provided upon the successful completion of a project task or sub-task.

**DOE:** U.S. Department of Energy.

**DOE/NNSA:** U.S. Department of Energy/National Nuclear Security Administration

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**FFRDCs:** Federally Funded Research and Development Centers.

**FOA:** Funding Opportunity Announcement.

**GOCOs:** U.S. Government Owned, Contractor Operated laboratories.

**GOGOs:** U.S. Government Owned, Government Operated laboratories.

**Milestone:** A milestone is the tangible, observable measurement that will be provided upon the successful completion of a project task or sub-task.

**Prime Recipient:** The signatory to the funding agreement with ARPA-E.

**PI:** Principal Investigator.

**Project Team:** A Project Team consists of the Prime Recipient, Subrecipients, and others performing inventive supportive work that is part of an ARPA-E project.

**Standalone Applicant:** An Applicant that applies for funding on its own, not as part of a Project Team.

**Subject Invention:** Any invention conceived or first actually reduced to practice under an ARPA-E funding agreement.

**Task:** A task is an operation or segment of the work plan that requires both effort and resources. Each task (or sub-task) is connected to the overall objective of the project, via the achievement of a milestone or a deliverable.

**Total Project Cost:** The sum of the Prime Recipient share and the Federal Government share of total allowable costs. The Federal Government share generally includes costs incurred by GOGOs, FFRDCs, and GOCOs.

**TT&O:** Technology Transfer and Outreach. (See Section IV.F.8 of the FOA for more information).

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).