

**FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY ANNOUNCEMENT**



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

***INNOVATIVE DEVELOPMENT IN  
ENERGY-RELATED APPLIED SCIENCE  
(IDEAS)***

Announcement Type: ~~Initial Announcement~~ **Modification 01**

**Funding Opportunity No. DE-FOA-0001428  
CFDA Number 81.135**

<b>Issue Date:</b>	October 6, 2015
<b>Application Due Date:</b>	Not applicable. This FOA will remain open until the close date or until replaced by a modified FOA, which is anticipated to occur on an annual basis, subject to the availability of appropriated funds. Applications will be accepted any time before the close date.
<b>Close Date:</b>	5 PM ET, Sep 30, 2016

- For eligibility criteria, see Section III.A.
- To apply to this FOA, Applicants must register with and submit application materials through ARPA-E's online application portal, ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/Registration.aspx>). For detailed guidance on using ARPA-E eXCHANGE, see Section IV.C.1.
- ARPA-E will not review or consider noncompliant or nonresponsive submissions. For detailed guidance on compliance and responsiveness criteria, see Sections III.C.1 and III.C.2.

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).

## **MODIFICATIONS**

All modifications to the Funding Opportunity Announcement (FOA) are highlighted in yellow in the body of the FOA.

<b>Mod. No.</b>	<b>Date</b>	<b>Description of Modifications</b>
01	02/16/2016	<ul style="list-style-type: none"><li>• Revised Preface to clarify optional Applicant contact with an ARPA-E Program Director or an ARPA-E Fellow prior to IDEAS Concept Paper Submission.</li><li>• Clarified Technical Inquiry process. See Section VII.A.3 of the FOA.</li></ul>

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## **REQUIRED DOCUMENTS CHECKLIST**

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

For guidance regarding the content and form of Concept Papers, see Section IV.B of the FOA and the Concept Paper template available in ARPA-E's online application portal, ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/>).

SUBMISSION	COMPONENTS	OPTIONAL/ MANDATORY	FOA SECTION
Concept Paper	<ul style="list-style-type: none"><li>Each Applicant must submit a Concept Paper in Adobe PDF format.</li></ul>	Mandatory	IV.A-IV.B

## **PREFACE**

This Funding Opportunity Announcement (FOA) provides a continuing opportunity for the rapid support of early-stage applied research to explore innovative new concepts with the potential for transformational and disruptive changes in energy technology. IDEAS awards are intended to be flexible and may take the form of analyses or exploratory research that provides the agency with information useful for the subsequent development of focused technology programs. IDEAS awards may also support proof-of-concept research to develop a unique technology concept, either in an area not currently supported by the agency or as a potential enhancement to an ongoing focused technology program. Applications must propose concepts that are *not* covered by open ARPA-E focused FOAs and that also do not represent incremental improvements over existing technology.<sup>1</sup>

IDEAS awards are defined as single-phase efforts of durations 12 months or less with a total project cost of \$500,000 or less and will be issued through Grants.<sup>2</sup>

This FOA is a continuation of the IDEAS Program initially announced in September 2013 and continued for a second year in September 2014. ARPA-E continues to view the IDEAS program as a success and therefore plans to extend this FOA on an annual basis, based on the availability of funds.

Applicants will submit brief Concept Papers (4 page maximum) as described below and selected Concept Paper Applicants will then be invited to submit Full Applications. This FOA addresses only the Concept Paper process. Applicants are encouraged to review current ARPA-E projects,

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<sup>1</sup> Information on current ARPA-E programs can be found at <http://arpa-e.energy.gov/?q=arpa-e-site-page/view-programs>, projects at <http://arpa-e.energy.gov/?q=arpa-e-site-page/projects>, and FOAs and RFIs at <http://arpa-e.energy.gov/?q=faq/current-funding-opportunities>.

<sup>2</sup> Except for funding provided to Federally Funded Research and Development Centers (FFRDCs) and other federal laboratories.

programs, FOAs, and RFIs prior to application.<sup>3</sup> The following are highlights of the Concept Paper submission process:

1. **Prior to Submission.** Prior to submitting a Concept Paper to this FOA, Applicants may communicate with ARPA-E to discuss their research concept and its potential responsiveness to this FOA. ARPA-E staff will respond to Applicant inquiries as their availability permits. **Communication with ARPA-E staff prior to submission is entirely optional and is NOT required prior to Concept Paper submission.** Furthermore, prior communication with ARPA-E staff, or the lack thereof, is not taken into consideration in the technical review of a submitted Concept Paper described below.

Prior to submitting a Concept Paper to this FOA, Applicants may contact an ARPA-E Program Director or an ARPA-E Fellow to discuss their research concept and its potential responsiveness to this FOA. Program Directors and Fellows will respond to Applicant inquiries as their availability permits. **Prior communication with an ARPA-E Program Director or an ARPA-E Fellow is entirely optional and is NOT required prior to Concept Paper submission.** Furthermore, prior communication with an ARPA-E Program Director or an ARPA-E Fellow, or the lack thereof, is not taken into consideration in the technical review of a submitted Concept Paper.

Once a Concept Paper is submitted to the FOA, any communications regarding that submission must be through the Contracting Officer, as specified below in Section VII.A of the FOA (Communications with ARPA-E).

***Note:** This FOA and the FOA selection process will control all ARPA-E IDEAS selection decisions. The Contracting Officer is the only individual authorized to 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 neither valid nor binding.*

2. **Concept Paper Submission.** Applicants may submit Concept Papers at any time during the open period of this FOA.
3. **Concept Paper Review.** Concept Papers determined compliant with application procedures and responsive to the FOA (see Section III.C) will be subject to technical review by ARPA-E technical experts under established ARPA-E merit review procedures. Only the most technically meritorious concepts may result in a subsequent invitation from ARPA-E to submit a Full Application.
4. **Full Application Invitation.** Selected Concept Paper Applicants will be invited to submit a Full Application via ARPA-E's online application portal, ARPA-E eXCHANGE. ARPA-E intends to

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<sup>3</sup> Information on ARPA-E's projects is available at <http://arpa-e.energy.gov/?q=projects>.

provide prompt notice of whether or not a Concept Paper Applicant is invited to submit a Full Application.

## **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 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 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>4</sup> Applicants interested in receiving financial assistance for basic research should contact the DOE’s Office of Science (<http://science.energy.gov/>). Similarly, 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://nuclear.energy.gov/>), and the Office of Electricity Delivery and Energy Reliability (<http://energy.gov/oe/office-electricity-delivery-and-energy-reliability>).

## **B. PROGRAM OVERVIEW**

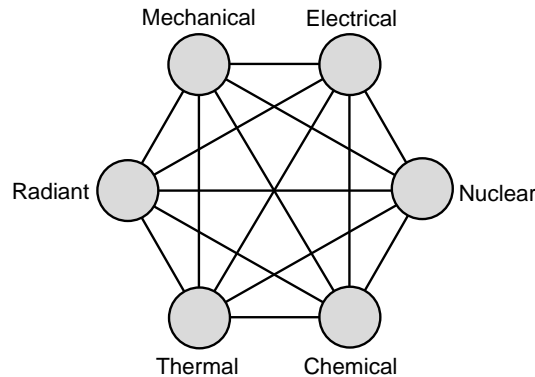
This announcement is purposely broad in scope to encourage the submission of the most innovative, out-of-the-box ideas in energy technology. Since the first law of thermodynamics states that energy is always conserved, i.e. it can never be created or destroyed, our principal concern is with the conversion of energy into useful energy or maximizing usable energy (exergy). Useful energy can take many forms including: radiant energy from lights, electrical energy for appliances, thermal energy to heat homes, mechanical energy for transportation, chemical energy in the form of food, and energy used to make products. From the second law of thermodynamics, the entropy of a system cannot decrease when converting energy from one form to another ( $\Delta S \geq 0$ ), the end effect being that all useful energy humans consume ultimately results in the production of heat that is radiated into space, except for a few exceptions such as the energy embedded in products. It is therefore our endeavor to identify technologies that enable the efficient and cost-effective conversion between or within the various different forms of energy (Figure 1) while minimizing exergy destruction. Within this general framework, ARPA-E seeks transformative ideas that enable the most efficient, economical, sustainable, and environmentally benign conversion of energy while minimizing exergy destruction.

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<sup>4</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.





**Figure 1.** Six primary energy forms of interest and possible pathways for conversion or other interaction.

### **C. PROGRAM OBJECTIVES**

The broad objective of this FOA is to identify disruptive concepts in energy-related technologies that challenge the status quo and represent a leap beyond today's technology. An innovative concept alone is not enough; the idea must also have the potential to be impactful—meaning that, if successful, it represents a fundamentally new paradigm in energy technology with the potential to make a significant impact on ARPA-E's Mission Areas (see Section I.A). Concepts of particular interest have the potential to achieve percentage-level reductions in U.S. energy consumption, energy-related imports, or greenhouse gas emissions.

Awards under this program may take the form of analyses or exploratory research that provides the agency with information useful for the subsequent development of focused technology programs. Alternatively, awards may support proof-of-concept research for a particular new technology, either in an area not currently supported by the agency or as a potential enhancement to an ongoing focused technology program.

### **D. AREAS OF INTEREST**

Applicants may propose any idea that addresses an *ARPA-E Mission Area* (see Section I.A) and falls within one or more *Areas of Interest* selected from the six forms of energy involved in the conversion or interaction of energy (Figure 2). Each Applicant must explain how the proposed concept represents a transformative approach to more efficiently, economically, or sustainably (including reduced use and conservation) utilize energy for useful work. Areas of Interest and some topical examples of conversions and interactions between and within these energy categories are shown in Figure 2. Technical Subcategories for the FOA are derived from these Areas of Interest. Concept Papers must identify one Technical Subcategory listed in Table 1 that is appropriate for the proposed concept topic area. (Note: each Technical Subcategory represents conversion/interaction in either direction. For example, Subcategory 1.3 includes concepts for converting mechanical to chemical energy and chemical to mechanical energy.)

**Figure 2.** A matrix providing representative examples of energy conversions within or between the six energy categories. Technical subcategories for submission are derived from these energy conversions (see Table 1).

1. Mechanical	2. Thermal	3. Chemical	4. Electrical	5. Radiant	6. Nuclear	
1.1 compressors, transmissions, hydraulics	1.2 turbines/engines, acoustic cooling, geothermal, tribology	1.3 pressure swing sorption, osmotic pumps	1.4 electromagnetic generators, flywheels, CAES	1.5 triboluminescence, photomechanical devices	1.6 centrifugal isotope enrichment, fusion ion propulsion	1. Mechanical
	2.2 heat pipes, thermal storage, heat exchangers, phase change materials	2.3 combustors, chemical cooling, thermochemical processing, desalinization	2.4 solid-state heat engines (thermionic or thermoelectric), HVAC, heat pumps	2.5 concentrated solar thermal, selective emitters, optical heat pumps	2.6 thermonuclear fusion, radioisotope thermoelectrics	2. Thermal
		3.3 gas-to-liquid technology, separations, extractions	3.4 electrochemical devices/storage, fuel cells, electrochemical processing	3.5 chemiluminescence, photochemical reactors, biofuels, solar fuels	3.6 chemonuclear reactors, nuclear fuel chemistry	3. Chemical
			4.4 smart grid, SMES, power electronics	4.5 light emitting diodes, lasers, photovoltaics	4.6 particle accelerators or accelerator-driven systems, betavoltaics	4. Electrical
				5.5 spectral splitters, concentrators, optically-pumped lasers, daylighting	5.6 optoelectric nuclear battery, radioisotope thermophotovoltaics, inertial confinement fusion	5. Radiant

	6.6 nuclear fuel cycles, hybrid fission-fusion reactors	6. Nuclear
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**Table 1.** Technical Subcategories spanning the Areas of Interest for this FOA, derived from Figure 2.

Technical Subcategories	
1.1 Mechanical-Mechanical 1.2 Mechanical-Thermal 1.3 Mechanical-Chemical 1.4 Mechanical-Electrical 1.5 Mechanical-Radiant 1.6 Mechanical-Nuclear	4.4 Electrical-Electrical 4.5 Electrical-Radiant 4.6 Electrical-Nuclear
2.2 Thermal-Thermal 2.3 Thermal-Chemical 2.4 Thermal-Electrical 2.5 Thermal-Radiant 2.6 Thermal-Nuclear	5.5 Radiant-Radiant 5.6 Radiant-Nuclear
3.3 Chemical-Chemical 3.4 Chemical-Electrical 3.5 Chemical-Radiant 3.6 Chemical-Nuclear	6.6 Nuclear-Nuclear

## II. AWARD INFORMATION

### A. AWARD OVERVIEW

ARPA-E expects to make \$10 million available for new awards under this FOA, subject to the availability of appropriated funds. Subject to the availability of appropriated funds, ARPA-E anticipates modifying the close date for this FOA on an annual basis. ARPA-E will provide up to

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\$500,000 per award. The period of performance for awards may not exceed 12 months.

## **B. FUNDING**

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>5</sup> Accordingly, ARPA-E is involved in the direction of every project, as described in Section II.C below.

### **1. GRANTS**

ARPA-E expects to award Grants<sup>6</sup> for research funded under this FOA, except in special cases as provided immediately below.

### **2. FUNDING AGREEMENTS WITH FFRDCs, GOGOs, AND FEDERAL INSTRUMENTALITIES<sup>7</sup>**

Any FFRDC involved as a member of a Project Team<sup>8</sup> will be required to complete the “FFRDC Authorization” and “Field Work Proposal” section of the Business Assurances & Disclosures Form, which is submitted with a Full Application.

When a FFRDC is the *lead organization* for a Project Team, ARPA-E executes a funding agreement directly with the FFRDC and a single, separate Grant with the rest of the Project Team. Notwithstanding the use of multiple agreements, the FFRDC is the lead organization for the entire project, including all work performed by the FFRDC and the rest of the Project Team.

When a FFRDC or non-DOE/National Nuclear Security Administration (NNSA) Government-Owned, Government-Operated laboratory (GOGO) is a *member* of a Project Team, ARPA-E executes a funding agreement directly with the FFRDC or non-DOE/NNSA GOGO and a single,

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<sup>5</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>6</sup> A Grant is an award instrument used by ARPA-E to accomplish research pursuant to ARPA-E’s statutory authority. ARPA-E’s participation in Grant research is not substantial compared with ARPA-E awards through Cooperative Agreements.

<sup>7</sup> DOE/NNSA GOGOs are not eligible to apply for funding, as described in Section III.A.

<sup>8</sup> A Project Team is 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 award.

separate Grant with the rest of the Project Team. Notwithstanding the use of multiple agreements, the Prime Recipient<sup>9</sup> under the Grant is the lead organization for the entire project, including all work performed by the FFRDC or non-DOE/NNSA GOGO 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, and Federal instrumentalities (e.g., Tennessee Valley Authority) generally take the form of Interagency Agreements. Any funding agreement with a FFRDC or non-DOE/NNSA GOGO will have substantially similar terms and conditions as ARPA-E's Model Grant (accessible at <http://arpa-e.energy.gov/arpa-e-site-page/award-guidance>) except for provisions indicating monitoring of the research effort by ARPA-E.

### **C. STATEMENT OF RESEARCH OVERSIGHT**

ARPA-E will conduct oversight of projects from inception to completion. For the purposes of an ARPA-E project funded through a Grant under this FOA, oversight means:

- ARPA-E may address the conduct or performance of project activities;
- During award negotiations, ARPA-E Program Directors and awardees establish a schedule of quarterly milestones and deliverables;
- Prime Recipients document the achievement of these milestones and deliverables in quarterly technical and financial progress reports, which are reviewed and evaluated by ARPA-E Program Directors;
- ARPA-E Program Directors visit each Prime Recipient at least twice per year, and hold periodic meetings, conference calls, and webinars with Project Teams;
- ARPA-E reviews reimbursement requests for compliance with applicable Federal cost principles. Upon request, Prime Recipients are required to provide additional information and documentation to support claimed expenditures;
- Prime Recipients are required to comply with agency-specific and programmatic requirements;
- As appropriate, ARPA-E works closely with Prime Recipients to facilitate and expedite the deployment of ARPA-E-funded technologies to market;

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<sup>9</sup> A Prime Recipient is the signatory to an ARPA-E Grant.

- ARPA-E works with other government agencies and nonprofits to provide mentoring and networking opportunities for Prime Recipients; and
- ARPA-E organizes and sponsors events to educate Prime Recipients about key barriers to the deployment of their ARPA-E-funded technologies. In addition, ARPA-E establishes collaborations with private and public entities to provide continued support for the development and deployment of ARPA-E-funded technologies.

### **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>10</sup> as the lead for a Project Team, or as a member of a Project Team.

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

For-profit entities, educational institutions, and nonprofits<sup>11</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 are eligible to apply for funding as the lead organization for a Project Team or as a member of a Project Team, but not as a Standalone Applicant.

DOE/NNSA GOGOs are not eligible to apply for funding.

Non-DOE/NNSA GOGOs 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.

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<sup>10</sup>A Standalone Applicant is an Applicant that applies for funding on its own, not as part of a Project Team.

<sup>11</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.

State and local 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. All work by foreign entities must be performed by subsidiaries or affiliates incorporated in the United States (including U.S. territories). The Applicant may request a waiver of this requirement in the Business Assurances & Disclosures Form, which is submitted with the Full Application. 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. 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 agreement binds the individual consortium members together and should discuss, among other things, 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**

Cost sharing requirements for IDEAS are as follows:

- Cost sharing will not be required for Full Applications submitted by domestic educational institutions, domestic nonprofits, domestic small businesses and/or FFRDCs submitted as a Standalone Applicant or a Project Team composed exclusively of these types of entities.
- For-profit entities qualifying as “large businesses” are required to provide 5% of the Total Project Cost as cost share as a Standalone Applicant or member of a Project Team.

If cost sharing is required, the funding agreement makes the Prime Recipient responsible for paying the entire cost share and enforcing cost share obligations assumed by Project Team members in subawards or related agreements.

## **C. OTHER**

### **1. COMPLIANT CRITERIA**

Concept Papers are deemed compliant if:

- The Applicant meets the eligibility requirements in Section III.A;
- The Concept Paper complies with the content and form requirements in Section IV.B; and
- The Applicant entered all required information, successfully uploaded all required documents, and clicked the “Submit” button through ARPA-E’s online application portal, ARPA-E eXCHANGE.

ARPA-E will not review or consider noncompliant Concept Papers, including Concept Papers submitted through other means, Concept Papers submitted after the applicable deadline, and incomplete Concept Papers. A Concept Paper is incomplete if it does not include required information (see Section IV.C.1).

### **2. RESPONSIVENESS CRITERIA**

ARPA-E performs a preliminary technical responsiveness review of Concept Papers. Concept Papers are deemed nonresponsive and are not reviewed or considered if they:



1. Are not scientifically distinct from other projects supported by Federal agencies and/or other sources; and/or
2. Present a concept in areas already being explored by current or planned ARPA-E FOAs.
  - Potential Applicants are highly encouraged to review the current ARPA-E FOAs at: <http://arpa-e.energy.gov/?q=faq/current-funding-opportunities>.
3. ARPA-E performs a preliminary technical review of Concept Papers and Full Applications. The following types of submissions will be deemed nonresponsive and will not be reviewed or considered (referred to herein as “Applications Specifically Not of Interest”):
  - Applications that have been submitted in response to other currently issued ARPA-E FOAs.
  - Applications that are not scientifically distinct from applications submitted in response to other currently issued ARPA-E FOAs.
  - Applications for basic research aimed solely at discovery and/or fundamental knowledge generation.
  - Applications for large-scale demonstration projects of existing technologies.
  - Applications for proposed technologies that represent incremental improvements to existing technologies.
  - Applications for proposed technologies that are not based on sound scientific principles (e.g., violates a law of thermodynamics).
  - Applications for proposed technologies that are not transformational, as described in Section I.A of the FOA.
  - Applications 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.
  - Applications that are not scientifically distinct from existing funded activities supported elsewhere, including within the Department of Energy.
  - Applications 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.

### **3. LIMITATION ON NUMBER OF CONCEPT PAPERS**

ARPA-E is not limiting the number of Concept Papers that may be submitted by Applicants. Applicants may submit more than one Concept Paper in response to this FOA, provided that each is scientifically distinct.

## **IV. CONCEPT PAPER SUBMISSION INFORMATION**

### **A. SUBMISSION PROCESS OVERVIEW**

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).

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

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

## **2. CONCEPT PAPERS**

Section IV.C provides instructions on submitting a Concept Paper.

ARPA-E performs a preliminary review of Concept Papers to determine whether they are compliant and responsive, as described in Section III.C. ARPA-E makes an independent assessment of each compliant and responsive Concept Paper based on the criteria in Section V.A.

## **3. FULL APPLICATIONS**

Only selected Concept Paper Applicants will be invited to submit Full Applications. Directions for submitting Full Applications will be provided to invited Applicants through ARPA-E's online application portal, ARPA-E eXCHANGE. Non-selected Concept Paper Applicants will receive written notice from ARPA-E.

### **B. CONTENT AND FORM OF CONCEPT PAPERS**

Submission of a Concept Paper is required for initial consideration under this FOA. Concept Papers must conform to the following requirements:

- Concept Papers must be submitted in Adobe PDF format, be written in English, be single spaced, use black 12 point Times New Roman font (except in Figures and Tables), and be formatted to fit on 8.5 inch by 11 inch paper with margins no less than 1 inch;
- Concept Papers shall not exceed four (4) pages in length including graphics, figures, and/or tables;

- Concept Papers must prominently display on each page the Principle Investigator's Last Name and assigned Control Number in the upper right corner and page numbers in the bottom right corner; and

ARPA-E strongly encourages Applicants to use the Concept Paper template provided under the header "Required Application Documents" for the IDEAS FOA on ARPA-E's online application portal, ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/>). Responding to each question in the template ensures that each Applicant's concept is presented in a manner that can be efficiently evaluated by ARPA-E. Applicants that use alternative Concept Paper formats should ensure that their submission includes responses for all requested information in the Concept Paper template and complies with the requirements listed above.

ARPA-E will not review or consider noncompliant and/or nonresponsive Concept Papers (see Section III.C).

## **C. OTHER SUBMISSION REQUIREMENTS**

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

To apply to this FOA, Applicants must register with ARPA-E's online application portal, ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/Registration.aspx>). Concept Papers must be submitted through ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/login.aspx>). ARPA-E will not review or consider Concept Papers 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 a Concept Paper submission in ARPA-E eXCHANGE, Applicants will be assigned a Control Number. If the Applicant creates more than one submission, a different Control Number will be assigned for each Concept Paper.

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 Concept Paper that the Applicant has submitted to ARPA-E and the corresponding Control Number is displayed on that page.

**ARPA-E will not review or consider incomplete Concept Papers.** Such Concept Papers will be deemed noncompliant (see Section III.C.1). The following errors could cause a Concept Paper to be deemed "incomplete" and thus noncompliant:

- Failing to comply with the form and content requirements in Section IV.B;
- Failing to enter required information in ARPA-E eXCHANGE;

- Failing to upload required document(s) to ARPA-E eXCHANGE; and
- Uploading the wrong document(s) to ARPA-E eXCHANGE.

## **V. CONCEPT PAPER REVIEW INFORMATION**

### **A. REVIEW CRITERIA**

ARPA-E performs a preliminary review of Concept Papers to determine whether they are compliant and responsive (see Section III.C).

The following merit review criteria are used to evaluate compliant and responsive Concept Papers. Submissions will not be evaluated against each other since they are not submitted in accordance with a common work statement.

#### **(1) Impact**

- The proposed approach is a transformational (not incremental) advancement over existing solutions;
- The proposed approach has the potential to be disruptive in nature, as described in Section I.A of the FOA; that is technologies that, if developed, could supplant existing technology and/or create entirely new marketplaces; and
- The proposed approach falls within this FOA's *Areas of Interest* (see Section I.D) and could significantly impact one or more of ARPA E's *Mission Areas* (see Section I.A).

#### **(2) Innovation**

- The proposed approach is unique and innovative;
- The proposed approach is technically sound; and
- The proposed approach is aimed at the development of technology, as opposed to basic research aimed at discovery and fundamental knowledge generation.

#### **(3) State of the Art**

- The applicant demonstrates an understanding of existing and other emerging solutions.

#### **(4) Risks and Challenges**

- The proposal clearly identifies the technical and techno-economic risks and challenges.

#### **(5) Project Plan**

- The proposal clearly outlines how the key risks and challenges will be addressed; and
- The proposed project objectives, if achieved, validate the proposed concept.

#### **(6) Team**

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 proposed team has the necessary expertise and resources to carry out the proposed work.

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

ARPA-E intends to promptly review Concept Papers and rapidly notify Applicants whether their Concept Papers have been selected for invitation to submit Full Applications.

### **1. ARPA-E 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 Concept Papers and Full Applications. In addition, ARPA-E trains its reviewers in proper evaluation techniques and procedures.

Applicants are not permitted to nominate reviewers for their Concept Papers. 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.

### **2. ARPA-E SUPPORT CONTRACTOR**

ARPA-E utilizes contractors to assist with the evaluation of Concept Papers 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 Concept Papers to ARPA-E.

By submitting a Concept Paper 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 Concept Paper. ARPA-E will not consider any Concept Papers that are submitted by or prepared with the assistance of its support contractors.

## **VI. SELECTION NOTICES**

### **A. REJECTED SUBMISSIONS**

Noncompliant and nonresponsive Concept Papers are rejected by the Contracting Officer and are not reviewed or considered. 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 Concept Paper was rejected.

### **B. CONCEPT PAPER NOTIFICATIONS**

ARPA-E promptly notifies Concept Paper Applicants of its determination to invite or not invite submission of a Full Application. ARPA-E sends a notification letter by email to the technical and administrative points of contact designated by the Applicant in ARPA-E eXCHANGE. Selected Concept Paper Applicants will be invited to submit a Full Application via a web portal provided to the selected Applicants.

## **VII. AGENCY CONTACTS**

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

<b>Communication</b>	<b>ARPA-E Contact</b>	<b>Email</b>
FOA Questions	Contracting Officer	<a href="mailto:ARPA-E-CO@hq.doe.gov">ARPA-E-CO@hq.doe.gov</a>
ARPA-E eXCHANGE Submission Help	eXCHANGE help desk	<a href="mailto:ExchangeHelp@hq.doe.gov">ExchangeHelp@hq.doe.gov</a>
Technical Inquiries (Pre-Submission Only)	Program Directors and Fellows	Available at: <a href="http://arpa-e.energy.gov/?q=about/arpa-e-team/program-directors">http://arpa-e.energy.gov/?q=about/arpa-e-team/program-directors</a> and <a href="http://arpa-e.energy.gov/?q=about/arpa-e-team/fellowsandscholars">http://arpa-e.energy.gov/?q=about/arpa-e-team/fellowsandscholars</a>

#### **1. FOA QUESTIONS**

Applicants are required to submit all questions regarding this FOA to [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov).

- ARPA-E will post responses periodically to any questions that are received. ARPA-E may re-phrase questions or consolidate similar questions for administrative purposes.
- Responses are posted to “Frequently Asked Questions” 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).

## 2. ONLINE SUBMISSION HELP

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.

## 3. TECHNICAL INQUIRIES

Prior to submitting a Concept Paper to this FOA, Applicants may contact an ARPA-E Program Director or an ARPA-E Fellow to discuss their research concept and its potential responsiveness to this FOA, subject to Program Director and Fellow availability. However, once a Concept Paper is submitted to the FOA, any communications regarding that submission must be through the Contracting Officer, as specified below. Program Directors and Fellows will respond to Applicant inquiries as their availability permits. **Prior communication with an ARPA-E Program Director or an ARPA-E Fellow is entirely optional and is NOT required prior to Concept Paper submission.** Furthermore, prior communication with an ARPA-E Program Director or an ARPA-E Fellow, or the lack thereof, is not taken into consideration in the technical review of a submitted Concept Paper. Program Director's and Fellow's biographies and email contact information can be accessed at <http://arpa-e.energy.gov/?q=about/arpa-e-team/program-directors> and <http://arpa-e.energy.gov/?q=about/arpa-e-team/fellowsandscholars>.

Once a Concept Paper is submitted to the FOA, any communications regarding that submission must be through the Contracting Officer, as specified above.

**Note:** *This FOA and the FOA selection process will control all ARPA-E selection decisions. The Contracting Officer is the only individual authorized to 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 neither valid nor binding.*

## B. DEBRIEFINGS

ARPA-E does not offer or provide debriefings. ARPA-E provides Applicants with a notification of its determination to invite or not invite submission of a Full Application based on ARPA-E's assessment of the Concept Paper.

## VIII. OTHER 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).

## **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. RETENTION OF SUBMISSIONS**

ARPA-E expects to retain copies of all Concept Papers. No submissions will be returned. By applying to ARPA-E for funding, Applicants consent to ARPA-E's retention of their submissions.

## **D. MARKING OF CONFIDENTIAL INFORMATION**

ARPA-E will use data and other information contained in Concept Papers strictly for evaluation purposes. Applicants should not include confidential, proprietary, or privileged information in their Concept Papers, unless such information is necessary to convey an understanding of the proposed project.

Concept Papers, 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 first page of the Concept Paper 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 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.

#### **E. 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;
- 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).

#### **F. INTELLECTUAL PROPERTY AND U.S. MANUFACTURING REQUIREMENTS**

Intellectual property and U.S. manufacturing requirements for awards resulting from this FOA may be found at <http://arpa-e.energy.gov/arpa-e-site-page/award-guidance>.

*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).*

## **APPENDIX : FUNDING RESTRICTIONS, ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS, AND REPORTING REQUIREMENTS**

Awards resulting from this FOA will be subject to programmatic funding restrictions, administrative and national policy requirements, and reporting requirements. Applicants may access information concerning ARPA-E funding restrictions, administrative and national policy requirements, and reporting requirements at the following:

### **1. ARPA-E Model Grant Agreement**

<http://arpa-e.energy.gov/?q=arpa-e-site-page/award-guidance>

#### **Attachment 1**

- Restrictions on Work Outside the United States
- Purchase of New Equipment
- Lobbying Restrictions
- NEPA Compliance/Environmental Impact Questionnaire

#### **Attachment 4**

- ARPA-E Reporting Requirements
- Intellectual Property Management Plan Requirement

#### **Attachment 6**

- National Policy Assurances

### **2. Applicants Guide to ARPA-E Award Negotiations**

<http://arpa-e.energy.gov/?q=arpa-e-site-page/pre-award-guidance>

- DUNS, SAM, FSRs, FedConnect Registrations
- Pre-Award Costs

### **3. Funding Agreements & Project Guidance**

<http://arpa-e.energy.gov/?q=arpa-e-site-page/funding-agreements-project-guidance>

- DUNS, SAM, FSRs, FedConnect Registrations
- NEPA Compliance/Environmental Impact Questionnaire
- Allowable Costs
- Intellectual Property Management Plan Requirement
- U.S. manufacturing Requirement

#### 4. Budget Justification Guidance

<http://arpa-e.energy.gov/?q=arpa-e-site-page/pre-award-guidance>

- Allowability of Patent Costs
- Allowability of Foreign Travel
- Technology Transfer and Outreach Costs