

# FUNDING OPPORTUNITY ANNOUNCEMENT



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

### **CONFERENCES, OUTREACH, AND NETWORKING FOR NEW ENERGY COMMUNITIES AND TECHNOLOGIES (CONNECT)**

**Funding Opportunity Number DE-FOA-0000475  
CFDA Number 81.135**

<b>FOA Issue Date:</b>	June 30, 2011
<b>Submission Deadlines:</b>	Applications will be accepted on a continuous, rolling basis. ARPA-E will evaluate applications on a quarterly basis. The quarterly deadlines for submitting an application are as follows: <ul style="list-style-type: none"><li>• First Deadline: 5 PM ET, September 1, 2011</li><li>• Second Deadline: 5 PM ET, December 1, 2011</li><li>• Third Deadline: 5 PM ET, March 1, 2012</li><li>• Fourth Deadline: 5 PM ET, June 1, 2012</li><li>• Fifth Deadline: 5 PM ET, September 3, 2012</li><li>• Sixth Deadline: 5 PM ET, December 4, 2012</li></ul>
<b>Expected Date for Awards:</b>	Approximately 6-8 weeks after each submission deadline

- To apply to this FOA, please register with ARPA-E's online application portal, ARPA-E eXCHANGE, at <https://arpa-e-foa.energy.gov/Registration.aspx>. Please see Appendix 1 of this FOA for guidance on registering and submitting an application through ARPA-E eXCHANGE. As noted in Section IV.B of the FOA, ARPA-E strongly encourages Applicants to submit their applications through ARPA-E eXCHANGE at least 24 hours in advance of the applicable quarterly deadline.
- See Section VII.A of the FOA for guidance on submitting questions to ARPA-E.

Questions about this FOA? 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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 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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**EXECUTIVE SUMMARY**

<b>Federal Agency</b>	Advanced Research Projects Agency – Energy (ARPA-E), U.S. Department of Energy
<b>FOA Title</b>	Conferences, Outreach, and Networking for New Energy Communities and Technologies (CONNECT)
<b>FOA Type</b>	Initial announcement
<b>FOA Number</b>	DE-FOA-0000475
<b>CFDA Number</b>	81.135
<b>FOA Issue Date:</b>	June 30, 2011
<b>Submission Deadline:</b>	Applications will be accepted on a continuous, rolling basis. ARPA-E will evaluate applications on a quarterly basis. The quarterly deadlines for submitting an application are as follows: <ul style="list-style-type: none"> <li>• First Deadline: 5 PM ET, September 1, 2011</li> <li>• Second Deadline: 5 PM ET, December 1, 2011</li> <li>• Third Deadline: 5 PM ET, March 1, 2012</li> <li>• Fourth Deadline: 5 PM ET, June 1, 2012</li> <li>• Fifth Deadline: 5 PM ET, September 3, 2012</li> <li>• Sixth Deadline: 5 PM ET, December 4, 2012</li> </ul>
<b>Expected Date for Awards:</b>	Approximately 6-8 weeks after each submission deadline
<b>Means of Submission</b>	All applications must be submitted through ARPA-E’s online application portal, ARPA-E eXCHANGE ( <a href="https://arpa-e-foa.energy.gov/login.aspx">https://arpa-e-foa.energy.gov/login.aspx</a> ). Please see Appendix 1 of this FOA for guidance on registering and submitting an application through ARPA-E eXCHANGE. Submissions received through other means will not be reviewed or considered. As noted in Section IV.B of the FOA, ARPA-E strongly encourages Applicants to submit their Applications through ARPA-E eXCHANGE at least 24 hours in advance of the submission deadline.
<b>Concise Program Description</b>	ARPA-E may fund various events and related activities that are consistent with its statutory mission.
<b>Total Amount to Be Awarded</b>	Approximately \$100,000 is expected to be available for new awards under this FOA, 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 \$5,000 and \$25,000.
<b>Types of Funded Agreements</b>	Firm Fixed Price Purchase Orders, Government Purchase Card, or similar instruments.
<b>Period of Performance</b>	Expected between 3 and 12 months.
<b>Eligibility – Individuals</b>	U.S. citizens and permanent residents are eligible to apply for funding. Foreign nationals are not eligible to apply for funding.
<b>Eligibility – Unincorporated Groups</b>	Unincorporated groups (e.g., university energy clubs) are eligible to apply for funding if a majority of their membership consists of U.S. citizens and permanent residents. Unincorporated groups must be based in the United States. Unincorporated groups must designate one member of the group as the group representative. The eligibility of the group will be determined by reference to the eligibility of the group representative under Section

Questions about this FOA? 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).

	III.A of the FOA.	
<b>Eligibility – Domestic Entities</b>	Educational institutions and nonprofits incorporated or otherwise based in the United States <sup>1</sup>	Eligible to apply for funding
	For-profit entities incorporated or otherwise based in the United States	Not eligible to apply for funding
	State and local government entities	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
	Federally Funded Research and Development Centers (FFRDCs)	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
	Government-Owned Government-Operated laboratories (GOGOs)	Not eligible to apply for funding
<b>Eligibility – Foreign Entities</b>	Not eligible to apply for funding	
<b>Eligibility – Consortium Entities</b>	Consortium entities, which may include only domestic entities, must designate one member of the consortium as the consortium representative to the Project Team. The consortium representative must be incorporated or otherwise headquartered 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.	
<b>Number of Applications</b>	Applicants may submit more than one application to this FOA, provided that each application is distinct.	
<b>Agency Contact</b>	<p>See Section VII.A of the FOA for guidance on submitting questions to ARPA-E. Applicants may contact ARPA-E through the following email addresses:</p> <ul style="list-style-type: none"> <li>• <a href="mailto:ARPA-E-CO@hq.doe.gov">ARPA-E-CO@hq.doe.gov</a> for questions regarding this FOA. Insert FOA title and number in subject line of emails.</li> <li>• <a href="mailto:ExchangeHelp@hq.doe.gov">ExchangeHelp@hq.doe.gov</a> for questions regarding ARPA-E eXCHANGE. Insert FOA title and number in subject line of emails.</li> </ul> <p>ARPA-E will not accept or respond to communications received by other means (e.g., telephone calls, faxes). Emails sent to other email addresses will be disregarded.</p>	

<sup>1</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.

Questions about this FOA? 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).

## **I. FUNDING OPPORTUNITY DESCRIPTION**

### **A. AGENCY OVERVIEW**

The Advanced Research Projects Agency – Energy (ARPA-E) is an agency within the Department of Energy (DOE) that has funded the development and deployment of transformational and disruptive energy technologies and systems since 2009. ARPA-E focuses on high-risk concepts with potentially high rewards.

When it established ARPA-E, Congress directed ARPA-E to:

- Enhance the economic and energy security of the United States through the development of energy technologies that result in reductions of imports of energy from foreign sources, reductions of energy-related emissions, and improvements in the energy efficiency of all economic sectors; and
- Ensure that the United States maintains a technological lead in developing and deploying advanced energy technologies.

ARPA-E seeks to accomplish its statutory mission by identifying and promoting revolutionary advances in fundamental sciences, by translating scientific discoveries and cutting-edge inventions into technological innovations, and by accelerating transformational technological advances in areas that industry by itself is not likely to support because of technical and financial uncertainty.

The first step in applying for funding under the FOA is the submission of a short application, which describes the proposed activities and provides a cost summary. Applications are accepted on a continuous, rolling basis. ARPA-E evaluates applications on a quarterly basis. ARPA-E expects to make selections and issue funded agreements approximately 6-8 weeks after each submission deadline.

### **B. PROGRAM OVERVIEW**

Congress directed ARPA-E to expend at least 5 percent of its appropriated funds on technology transfer and outreach activities. ARPA-E intends to fulfill this statutory mandate in part through this funding opportunity announcement (FOA): Conferences, Outreach, and Networking for New Energy Communities and Technologies (CONNECT), DE-FOA-0000475.

Questions about this FOA? 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. AREAS OF INTEREST

All activities funded under this FOA must be consistent with ARPA-E's statutory mission to

- Enhance our nation's economic and energy security through reductions of imports of energy from foreign sources, reductions of energy-related emissions, and/or improvements in the energy efficiency of all economic sectors; and
- Ensure that our nation maintains a technological lead in developing and deploying advanced energy technologies.

ARPA-E will consider applications for the following types of activities. ARPA-E may give preference to proposed activities involving or relating to ARPA-E-funded technologies.

### ***Category 1: Energy technology conferences, workshops, and other events<sup>2</sup>***

Proposed events must involve one or more of the following elements:

- The exchange or dissemination of technical data and information arising out of, or relating to, the development and demonstration of advanced energy technologies;
- The transfer of advanced energy technologies, including technical data and information relating thereto, from Government agencies, Federally Funded Research and Development Centers (FFRDCs), universities, and nonprofits to the private sector;
- Educating targeted audiences about advanced energy technologies and their potential impact(s), including reductions of imports of energy from foreign sources, reductions of energy-related emissions, and/or improvements in the energy efficiency of specific industrial or economic sectors;
- The formation of new partnerships, collaborations, and networks among energy researchers, technologists, entrepreneurs, investors, or others; and

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<sup>2</sup> Receipt of funded agreements for specific events does not constitute sponsorship of said events by the Department of Energy or ARPA-E. Organizers may not use the Department of Energy or ARPA-E logos without advance written authorization from the responsible Government officials.

- The promotion of investment, follow-on funding, or business opportunities for advanced energy technologies, such as meetings between potential investors and customers and entities developing advanced energy technologies.

***Category 2: Student participation in energy technology conferences, workshops, and other events<sup>3</sup>***

Proposed student participation in energy technology conferences, workshops, and other events must have one or more of the following objectives:

- Attracting researchers and technologists to energy-related fields and disciplines;
- Educating or training the next generation of energy researchers and technologists; and
- Connecting students with entities involved in the development and deployment of advanced energy technologies.

## **II. AWARD INFORMATION**

### **A. AWARD OVERVIEW**

Approximately \$100,000 is expected to be available for new awards under this FOA, subject to the availability of appropriated funds. ARPA-E may make additional funding available at a later date.

ARPA-E expects to issue approximately 10-20 awards under this FOA. ARPA-E may issue one, multiple, or no awards.

Individual awards may vary between \$5,000 and \$25,000.

The period of performance for the funded agreements may range between 3 and 12 months.

ARPA-E will accept applications on a continuous, rolling basis. ARPA-E will evaluate applications on a quarterly basis.

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<sup>3</sup> The term “student participation” is defined to include participation by high school, college, and/or graduate school students.

The quarterly deadlines for submitting an application are as follows:

- First Deadline: 5 PM ET, September 1, 2011
- Second Deadline: 5 PM ET, December 1, 2011
- Third Deadline: 5 PM ET, March 1, 2012
- Fourth Deadline: 5 PM ET, June 1, 2012
- Fifth Deadline: 5 PM ET, September 3, 2012
- Sixth Deadline: 5 PM ET, December 4, 2012

ARPA-E expects to make selections and issue funded agreements within approximately 6-8 weeks following the submission deadline.

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

**B. ARPA-E FUNDED AGREEMENTS**

ARPA-E intends to issue Firm Fixed Price Purchase Orders, Government Purchase Card, or similar instruments under this FOA.

### **III. ELIGIBILITY INFORMATION**

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

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

U.S. citizens and permanent residents are eligible to apply for funding.

Foreign nationals are not eligible to apply for funding.

##### **2. UNINCORPORATED GROUPS**

Unincorporated groups (e.g., university energy clubs) are eligible to apply for funding if a majority of their membership consists of U.S. citizens and permanent residents.

Unincorporated groups must be based in the United States. Unincorporated groups must designate one member of the group as the group representative. The eligibility of the group will be determined by reference to the eligibility of the group representative under Section III.A of the FOA.

##### **3. DOMESTIC ENTITIES**

Educational institutions and nonprofits<sup>4</sup> that are incorporated or otherwise headquartered in the United States are eligible to apply for funding as a Standalone Applicant,<sup>5</sup> as the lead organization for a Project Team,<sup>6</sup> or as a member of a Project Team.

For-profit entities that are incorporated or otherwise headquartered in the United States are not eligible to apply for funding.

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.

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<sup>4</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.

<sup>5</sup> A Standalone Applicant is an Applicant that applies for funding on its own, not as part of a Project Team.

<sup>6</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 funded agreement.

Government-Owned Government-Operated laboratories (GOGOs) are not eligible to apply for funding.

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.

#### **4. FOREIGN ENTITIES**

Foreign entities are not eligible to apply for funding.

#### **5. CONSORTIUM ENTITIES**

Consortium entities, which may include only domestic entities, must designate one member of the consortium as the consortium representative to the Project Team. The consortium representative must be incorporated or otherwise headquartered 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 entity 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 ARPA-E Contracting Officer ([ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov)).

#### **B. COST SHARING OR MATCHING**

Applicants are not required to provide cost sharing or matching under this FOA.

#### **C. OTHER**

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

ARPA-E performs a preliminary review of applications to determine whether:

- The Applicant meets the eligibility and compliance requirements in Sections III.A and III.C.3 of the FOA;
- The application conforms to the content and form requirements in Section IV.A of the FOA; and

Questions about this FOA? 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 application was timely submitted via ARPA-E eXCHANGE by the applicable quarterly deadline. See Section IV.B of the FOA for guidance on the timely submission of applications.

Applications that meet these requirements are deemed compliant. Noncompliant applications are not reviewed or considered.

Please refer to Section VI.A of the FOA for guidance on notifications of noncompliant applications.

## **2. RESPONSIVENESS CRITERIA**

ARPA-E performs a preliminary review of applications to determine whether the proposed project falls within the categories described in Section I.B of the FOA. Submissions that do not fall within the technical parameters described in Section I.B of the FOA are considered nonresponsive and will not be reviewed or considered.

Applications that were previously reviewed and rejected by ARPA-E will be deemed nonresponsive and will not be reviewed or considered.

Please refer to Section VI.A of the FOA for guidance on notifications of nonresponsive applications.

## **3. INELIGIBILITY FOR AWARD**

Applicants are required to disclose in their applications if any of the following conditions exist:

- The Applicant (or a member of the Project Team) is under investigation for or has been convicted of fraud or similar acts, violations of U.S. export controls laws and regulations, or violations of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701, et seq.);
- The Applicant (or a member of the Project Team) is debarred, suspended, proposed for debarment, or otherwise declared ineligible from receiving Federal contracts, subcontracts, financial assistance and benefits, or other similar instruments; and
- The Applicant (or a member of the Project Team) is insolvent.

The ARPA-E Contracting Officer may reject a submission if any of the above conditions exist. If the ARPA-E Contracting Officer rejects the submission, it will not be reviewed or considered.

Please refer to Sections IV.A and VIII.C of the FOA for guidance on submitting a full and complete disclosure of the requested information.

#### **4. LIMITATION ON NUMBER OF APPLICATIONS**

ARPA-E is not limiting the number of applications that may be submitted by Applicants. Applicants may submit more than one application to this FOA, provided that each application is distinct.

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

##### **A. CONTENT AND FORM OF APPLICATIONS**

The application must conform to the following requirements:

- The application must be submitted as an Adobe PDF.
- The 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. Use an Arial, Helvetica, Palatino Linotype, or Georgia typeface, a black font color, and a font size of 12 points or larger (except in figures and tables). (A Symbol font may be used to insert Greek letters or special characters; the font size requirement still applies.) Type density, including characters and spaces, must be no more than 12-15 characters per inch.
- The control number<sup>7</sup> 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.

Each application should be limited to a single proposal. Unrelated proposals should not be consolidated into a single submission.

Applications must conform to the following content and form requirements, including maximum page lengths, described below. If Applicants exceed the maximum page lengths indicated below, ARPA-E will review only the authorized number of pages and disregard any additional pages.

<b>SECTION</b>	<b>PAGE LIMIT</b>	<b>DESCRIPTION</b>
<b>Point of Contact(s)</b>	0.5 page	<ul style="list-style-type: none"><li>• Identify the primary point of contact(s) for the proposed activities, and provide his/her name, title, organization, address, telephone (work, cell), and email address.</li></ul>
<b>Description</b>	2 pages maximum	<ul style="list-style-type: none"><li>• Describe in detail:<ul style="list-style-type: none"><li>○ The proposed activities that will be conducted or supported in whole or in part with ARPA-E funding;</li><li>○ The prior history, current status, and future plans for the proposed activities (e.g., one-time event, annual conference);</li></ul></li></ul>

<sup>7</sup> Once you login to ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/login.aspx>), you may access your submissions to ARPA-E FOAs by clicking the "My Submissions" link in the navigation on the left side of the page. Every application that you have submitted to ARPA-E and the corresponding control number is displayed on this page. If you submit more than one application to this FOA, a unique control number is assigned to each application.

Questions about this FOA? 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>○ How the proposed activities and objective(s) are consistent with ARPA-E’s statutory mission to: <ul style="list-style-type: none"> <li>▪ Enhance our nation’s economic and energy security through reductions of imports of energy from foreign sources, reductions of energy-related emissions, and/or improvements in the energy efficiency of all economic sectors; and</li> <li>▪ Ensure that our nation maintains a technological lead in developing and deploying advanced energy technologies.</li> </ul> </li> <li>○ How the proposed activities satisfy the Category 1 or Category 2 requirements stated in Section I.B of the FOA;</li> <li>○ The key risks/issues associated with the proposed activities; and</li> <li>○ Why the Applicant or Project Team is uniquely suited to successfully execute the proposed activities.</li> </ul>
<b>Other Sources of Funding</b>	1.5 pages maximum	<ul style="list-style-type: none"> <li>• Describe succinctly: <ul style="list-style-type: none"> <li>○ Other sources of public or private funding that have been used, are presently being used, or will be used to conduct or support the proposed activities; and</li> <li>○ The impact that ARPA-E funding would have on the proposed activities. Applicants should specifically explain how ARPA-E funding, relative to prior, current, or anticipated funding from other public and private sources, is necessary to achieve the proposed activities.</li> </ul> </li> </ul>
<b>Cost Summary</b>	1 page maximum	<ul style="list-style-type: none"> <li>• Provide a breakdown by element of cost: Personnel, Fringe Benefits, Travel, Equipment, Supplies, Contractual, and Other.</li> <li>• If multiple entities will be receiving funding from ARPA-E, provide a breakdown of costs by entity.</li> <li>• For pricing purposes, assume a start date of approximately 8 weeks following each quarterly deadline.</li> </ul>
<b>Certification</b>	1 page maximum	<ul style="list-style-type: none"> <li>• Applicants are required to disclose if: <ul style="list-style-type: none"> <li>○ The Applicant (or a member of the Project Team) is under investigation for or has been convicted of fraud or similar acts, violations of U.S. export controls laws and regulations, or violations of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701, et seq.);</li> <li>○ The Applicant (or a member of the Project Team) is debarred, suspended, proposed for debarment, or otherwise declared ineligible from receiving Federal contracts, subcontracts, financial assistance and benefits, or other similar agreements; and/or</li> <li>○ The Applicant (or a member of the Project Team) is insolvent.</li> </ul> </li> </ul>
<b>Conference or Meeting Agenda</b>	No page limit	<ul style="list-style-type: none"> <li>• Applicants are required to provide a full agenda for the conference, workshop, or other event.</li> </ul>
<b>Field Work Proposal (DOE/NNSA FFRDCs only)</b>	No page limit	<ul style="list-style-type: none"> <li>• DOE/NNSA FFRDCs are required to submit a Field Work Proposal. The Field Work Proposal must conform to the instructions in DOE O 412.1, “Work Authorization System” (<a href="http://management.energy.gov/business_doe/business_forms.htm">http://management.energy.gov/business_doe/business_forms.htm</a>).</li> </ul>

Questions about this FOA? 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).

## **B. SUBMISSION REQUIREMENTS**

This FOA will remain open from the date of issuance until ARPA-E determines to close the FOA to new applications. Applications will be accepted on a continuous, rolling basis. ARPA-E will evaluate applications on a quarterly basis. Please see Section V.C of the FOA for guidance on submission dates and times.

Applications must be submitted through ARPA-E eXCHANGE. Please see Appendix 1 of this FOA for guidance on registering and submitting an application through ARPA-E eXCHANGE.

Applicants must complete the following actions before the applicable quarterly deadline in order for their application to be considered timely submitted:

- Applicants must provide the requested information in ARPA-E eXCHANGE;
- Applicants must upload their applications to ARPA-E eXCHANGE; and
- Applicants must click the “Submit” button under the “Upload and Submit” tab in ARPA-E eXCHANGE for this FOA.

Applications that are not timely submitted will not be reviewed and considered.

If Applicants miss a quarterly deadline, they are encouraged to submit an application before the next quarterly deadline. Please note that applications begun in ARPA-E eXCHANGE before a particular deadline may no longer be available after the expiration of that deadline. In such circumstances, the Applicant should begin a new application in ARPA-E eXCHANGE.

Applicants are responsible for meeting the submission deadlines. ARPA-E strongly encourages Applicants to submit their applications through ARPA-E eXCHANGE at least 24 hours in advance of the submission deadlines. Applicants should not wait until the last minute—Internet and data server traffic can be heavy in the last hours before the submission deadlines, which may affect Applicants’ ability to successfully submit their applications.

ARPA-E uses ARPA-E eXCHANGE to determine whether applications are timely submitted. Following the expiration of the applicable deadline, Applicants are no longer able to click the “Submit” button under the “Upload and Submit” tab in ARPA-E eXCHANGE.

**C. INTERGOVERNMENTAL REVIEW**

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

**D. FUNDING RESTRICTIONS**

**1. FOREIGN TRAVEL**

ARPA-E will not fund projects that involve major foreign travel (i.e., foreign travel costs in excess of \$2,500).

**2. LOBBYING**

Prime Recipients and Subrecipients may not use any Federal funds to influence or attempt to influence, directly or indirectly, congressional action on any legislative or appropriation matters<sup>8</sup>.

Prime Recipients and Subrecipients are required to complete and submit SF-LLL (Disclosure of Lobbying Activities), which is 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.

**E. OTHER SUBMISSION REQUIREMENTS**

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

To apply to this FOA, please register with ARPA-E's online application portal, ARPA-E eXCHANGE, at <https://arpa-e-foa.energy.gov/Registration.aspx>. Applications must be submitted to ARPA-E through ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/login.aspx>). Please see Appendix 1 of this FOA for guidance on registering and submitting an application through ARPA-E eXCHANGE.

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<sup>8</sup> 18 U.S.C. § 1913.

ARPA-E eXCHANGE is the exclusive means by which Applicants may submit applications for this FOA. Applications submitted through other means (e.g., email, fax, mail, hand delivery) are deemed noncompliant and are not reviewed or considered.

See Section IV.B of the FOA for guidance on application submission requirements.

*Questions about this FOA? 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).*

## V. APPLICATION REVIEW INFORMATION

### A. CRITERIA

#### 1. CRITERIA OVERVIEW

ARPA-E performs a preliminary review of applications to determine whether they are compliant and responsive, as described in Sections III.C.1 and III.C.2 of the FOA.

ARPA-E considers a mix of quantitative and qualitative criteria in determining whether to select an application 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 application based on the criteria and program policy factors in Sections V.A and V.B.1.

#### 2. QUANTITATIVE CRITERIA

Applications are evaluated based on the following quantitative criteria:

- (1) *Impact of the Proposed Activities Relative to ARPA-E's Statutory Mission (50%)* - This criterion involves consideration of the proposed activities relative to ARPA-E's statutory mission to
  - Enhance our nation's economic and energy security through reductions of imports of energy from foreign sources, reductions of energy-related emissions, and/or improvements in the energy efficiency of all economic sectors; and
  - Ensure that our nation maintains a technological lead in developing and deploying advanced energy technologies.
- (2) *Overall Merit (50%)* - This criterion involves consideration of the following factors:
  - Whether the Applicant or Project Team meets the Category 1 or Category 2 requirements stated in Section I.B of the FOA;
  - Whether the Applicant or Project Team proposes activities that are unique and innovative;

- Whether the Applicant or Project Team proposes activities that are feasible;
- Whether the Applicant or Project Team demonstrates a sound approach to accomplish the proposed activities;
- Whether the Applicant or Project Team envisions activity outcome and deliverables that are clearly defined;
- Whether the Applicant or Project Team presents an activity plan that demonstrates credible and well-justified potential to meet or exceed the activity objectives; and
- Whether the Applicant or Project Team is uniquely suited to successfully execute the proposed activities.

Applications will not be evaluated against each other since they are not submitted in accordance with a common work statement. The above criteria will be weighted as follows:

Impact of the Proposed Activities Relative to ARPA-E's Statutory Mission	50%
Overall Merit	50%

## **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 applications to select for award negotiations.

- The degree to which the proposed project optimizes use of available ARPA-E funding to achieve agency and programmatic objectives;
- Availability of funding from public and private sources to support the proposed activities;
- The cost of and budget for the proposed project;
- The financial and other resources of the Applicant or Project Team;
- The risks and issues associated with the proposed activities; and

Questions about this FOA? 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).

- Whether the proposed activities involve or relate to ARPA-E-funded technologies.

## **2. PRE-SELECTION COMMUNICATIONS**

The ARPA-E Contracting Officer may contact Applicants if he/she determines that pre-selection communications are necessary and appropriate. The ARPA-E Contracting Officer has exclusive authority to make this determination. The ARPA-E Contracting Officer may contact one, multiple, or no Applicants at his/her discretion.

The ARPA-E Contracting Officer may communicate with Applicants by telephone, email, or otherwise at his/her discretion.

This policy represents a limited exception to ARPA-E's prohibition on communication with Applicants while this FOA is ongoing, as described in Section VII.A of the FOA.

## **3. SELECTION**

ARPA-E carefully considers all of the information obtained through the application process and makes an independent assessment of each compliant and responsive application based on the criteria and program policy factors in Sections V.A and V.B.1. ARPA-E may select or not select an application for award negotiations. ARPA-E may also postpone a final selection determination on one or more applications until a later date, subject to the availability of funds or other factors.

Applicants are promptly notified of ARPA-E's determination. Please refer to Section VI.A of the FOA for guidance on award notices.

## **4. 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 requires all Reviewers to complete a Conflict-of-Interest Certificate and Nondisclosure Agreement by which they disclose any actual or apparent conflicts and agree to safeguard confidential information contained in applications. 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 ARPA-E Contracting Officer by email ([ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov)) if they have evidence of a potential conflict of interest.

## **5. 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.

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**

Applications will be accepted on a continuous, rolling basis. ARPA-E will evaluate applications on a quarterly basis. The quarterly deadlines for submitting an application are as follows:

- First Deadline: 5 PM ET, September 1, 2011
- Second Deadline: 5 PM ET, December 1, 2011
- Third Deadline: 5 PM ET, March 1, 2012
- Fourth Deadline: 5 PM ET, June 1, 2012
- Fifth Deadline: 5 PM ET, September 3, 2012
- Sixth Deadline: 5 PM ET, December 4, 2012

ARPA-E expects to make selections and issue funded agreements within approximately 6-8 weeks following each quarterly deadline.

## **VI. AWARD ADMINISTRATION INFORMATION**

### **A. AWARD NOTICES**

#### **1. REJECTED APPLICATIONS**

Noncompliant and nonresponsive applications are rejected by the ARPA-E Contracting Officer and are not reviewed or considered. The ARPA-E Contracting Officer sends a notification letter by email to the point(s) of contact designated by the Applicant in ARPA-E eXCHANGE. The notification letter states the basis upon which the application was rejected.

#### **2. OTHER NOTIFICATIONS**

Applicants are promptly notified of ARPA-E's determination. ARPA-E sends a notification letter by email to the point(s) of contact designated by the Applicant in ARPA-E eXCHANGE. The notification letter may inform the Applicant that its 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 applications will be made at a later date, subject to the availability of funds or other factors.

ARPA-E expects to make selections and issue funded agreements within approximately 6-8 weeks following each quarterly deadline.

##### ***a. SUCCESSFUL APPLICANTS***

A notification letter selecting an application for award negotiations does not authorize the Applicant to commence performance of the project. ARPA-E selects applications for award negotiations, not for award. Applicants do not receive an award until award negotiations are complete and the ARPA-E Contracting Officer executes the funded agreement. ARPA-E may terminate award negotiations at any time for any reason.

##### ***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 application for award negotiations.

### ***C. UNSUCCESSFUL APPLICANTS***

By not selecting an 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 discourages Applicants from submitting the same application multiple times. Applications that were previously reviewed and rejected by ARPA-E will be deemed nonresponsive and will not be reviewed or considered.

## **B. AWARD ADMINISTRATION**

### **1. DOE/ARPA-E SPONSORSHIP OF EVENTS**

Receipt of funded agreements for specific events does not constitute sponsorship of said events by the Department of Energy or ARPA-E. Organizers may not use the Department of Energy or ARPA-E logos without advance written authorization from the responsible Government officials.

### **2. DUNS NUMBER AND CCR, AND FEDCONNECT REGISTRATIONS**

Upon selection for award negotiations, Prime Recipients and Subrecipients are required to obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number at <http://fedgov.dnb.com/webform>. In addition, Prime Recipients and Subrecipients are required to register with the Central Contractor Registry (CCR) at <https://www.bpn.gov/ccr/default.aspx>.

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

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

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

**C. REPORTING**

Within 60 days of the conclusion of the proposed activities, Prime Recipients are required to submit a detailed report with the following information:

SECTION	PAGE LIMIT	DESCRIPTION
<b>Description</b>	3 pages maximum	<ul style="list-style-type: none"><li>• Describe in detail:<ul style="list-style-type: none"><li>○ The specific activities that were conducted or supported in whole or in part with ARPA-E funding;</li><li>○ How the ARPA-E-funded activities fulfilled the Category 1 or Category 2 requirements stated in Section I.B of the FOA;</li><li>○ Whether the activities achieved the desired objectives;</li><li>○ The total number of attendees for the activities and a list of the persons and entities that attended or participated in the event;</li><li>○ Any survey results from attendees or participants with respect to the activities;</li><li>○ Future plans for the activities (e.g., one-time event, recurring on annual basis); and</li><li>○ Any concrete outcomes of the activities (e.g., publication of activity content or results in a journal or website). If activity content or results are or will be published in any form, provide the following information: name of publication(s) or website(s); hyperlink, if applicable; author(s), if applicable; and date of publication.</li></ul></li></ul>

Questions about this FOA? 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).

## **VII. AGENCY CONTACTS**

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

Upon the issuance of this FOA, ARPA-E personnel are prohibited from communicating (in writing or otherwise) with Applicants regarding the FOA.

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

- Every Friday, ARPA-E will post responses to any questions that were received by Wednesday at 12 PM ET. (Questions received after Wednesday at 12 PM ET will be answered the following week.) Responses may be posted at a later date by reason of Federal holidays or similar events. ARPA-E may consolidate similar questions for administrative purposes.
- Responses are posted to “Frequently Asked Questions” on ARPA-E’s website (<http://arpa-e.energy.gov/About/FAQs.aspx>).

Applicants may submit questions regarding ARPA-E’s online application portal, ARPA-E eXCHANGE, 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 FOAs 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.

Only the ARPA-E Contracting Officer may authorize communications between the ARPA-E Personnel and Applicants. As described in Section V.B.2 of the FOA, the ARPA-E Contracting Officer may contact Applicants during this FOA to engage in pre-selection communications.

### **B. DEBRIEFINGS**

ARPA-E does not offer or provide debriefings to unsuccessful Applicants.

Questions about this FOA? 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).

## **VIII. OTHER INFORMATION**

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

FOAs are posted on ARPA-E's website (<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.

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

The ARPA-E 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 ARPA-E Contracting Officer, either explicit or implied, is invalid.

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

Applicants are required to make a full and complete disclosure of the information identified in Section III.C.3 of the FOA. 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 an application;
- The termination of award negotiations;
- The modification, suspension, and/or termination of a funded agreement;
- The initiation of debarment proceedings, debarment, and/or a declaration of ineligibility for receipt of Federal contracts, subcontracts, and financial assistance and benefits, or other similar agreements; and
- Civil and/or criminal penalties.

### **D. RETENTION OF APPLICATIONS**

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

Questions about this FOA? 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).

## **E. MARKING OF CONFIDENTIAL INFORMATION**

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

Applications 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 application 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. PROTECTED PERSONALLY IDENTIFIABLE INFORMATION**

Applicants may not include any Protected Personally Identifiable Information (Protected PII) in their applications 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 applications.

Questions about this FOA? 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).

- 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).

## **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.

**ARPA-E:** Advanced Research Projects Agency-Energy.

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

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

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

**FOA:** Funding Opportunity Announcement.

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

**Key Participant:** Any individual who would contribute in a substantive, measurable way to the execution of the proposed project.

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

**Project Team:** 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 funded agreement.

**RD&D:** Research, Development, and Demonstration.

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

## APPENDIX 1

### **REGISTERING AND SUBMITTING APPLICATIONS THROUGH ARPA-E eXCHANGE**

Please note that these instructions are specific to this FOA. Applicants seeking to apply to other FOAs must review the “ARPA-E eXCHANGE User Guide” at <https://arpa-e-foa.energy.gov/Manuals.aspx> for guidance on registering and submitting an application through ARPA-E eXCHANGE.

#### **1.0 BASIC INFORMATION**

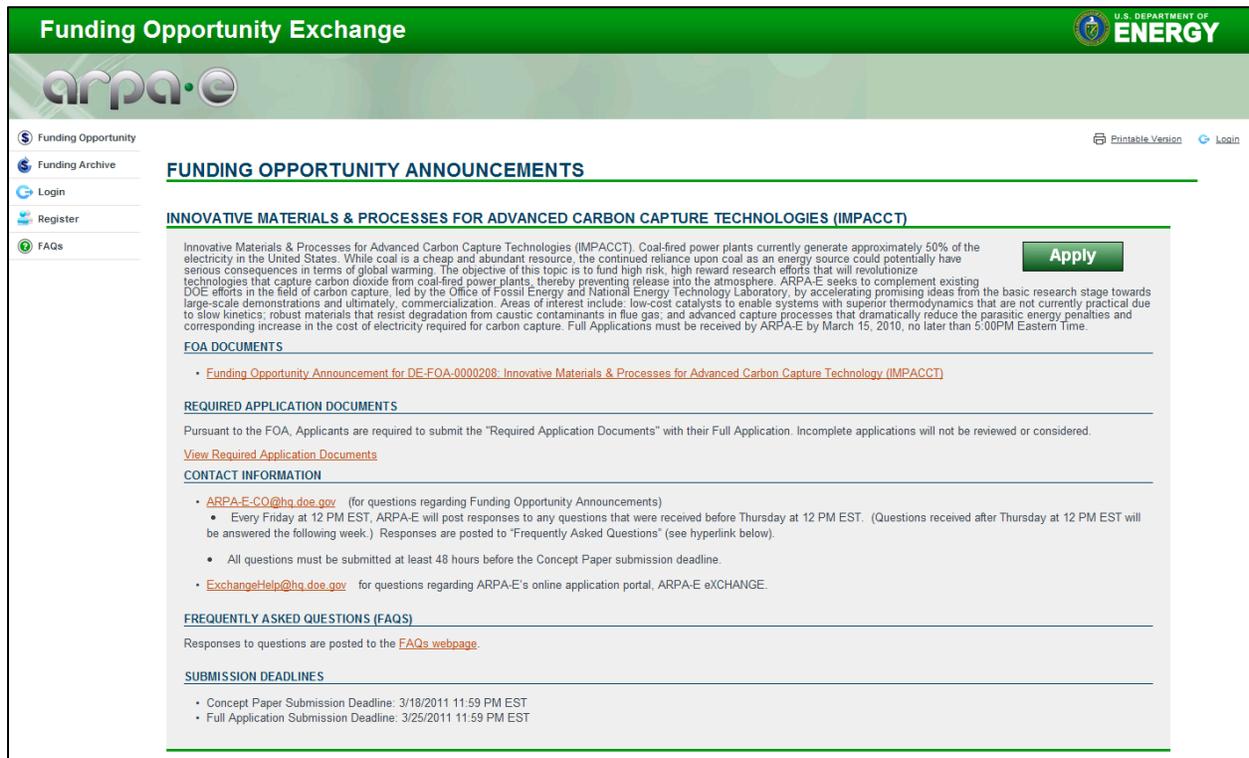
##### **1.1 ARPA-E eXCHANGE HOME**

To reach the ARPA-E eXCHANGE homepage from any page within the site click the



Funding Opportunity link in the left navigation, as seen below in Figure 1, or navigate directly to <https://arpa-e-foa.energy.gov>.

Figure 1. ARPA-E eXCHANGE homepage

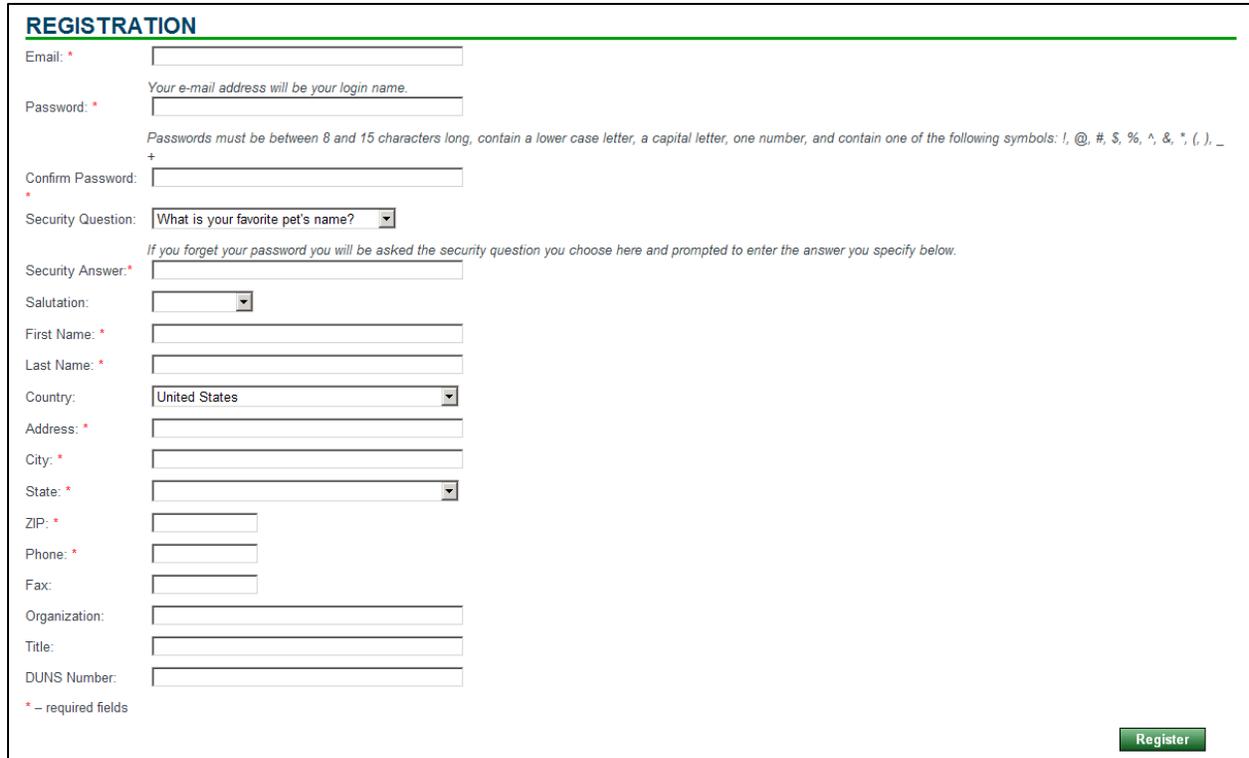


Questions about this FOA? Email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

## 1.2 REGISTER/LOGIN

In order to apply for funding, Applicants must register and create an account in ARPA-E eXCHANGE by clicking on the  **Register** link in the left navigation or the top right corner. Applicants will need to provide the requested information, as illustrated in Figure 2.

Figure 2. Applicant Registration Page



**REGISTRATION**

Email: \*

Your e-mail address will be your login name.

Password: \*

Passwords must be between 8 and 15 characters long, contain a lower case letter, a capital letter, one number, and contain one of the following symbols: !, @, #, \$, %, ^, &, \*, (, ), \_

Confirm Password: \*

Security Question:

If you forget your password you will be asked the security question you choose here and prompted to enter the answer you specify below.

Security Answer: \*

Salutation:

First Name: \*

Last Name: \*

Country:

Address: \*

City: \*

State: \*

ZIP: \*

Phone: \*

Fax:

Organization:

Title:

DUNS Number:

\* - required fields

**Note:** It is imperative the Applicant's email address is entered correctly – please double-check this address before completing the registration process.

**Note:** A Dun and Bradstreet Data Universal Numbering System (DUNS) number is requested but is not required.

To submit an application after registering, the Applicant must be logged in. To log in click the  **Login** link, which appears in the top right corner of the page and above the  **Register** link in the left navigation

Questions about this FOA? 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).

Figure 3. Log in Page

**LOG IN**

Not registered? Register [here](#)

User Name (Email Address):

Password:

[Forgot your Username?](#)

[Forgot your Password?](#)

If you have login problems or any questions, please contact [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov).

**Note:** Your e-mail address will be your login name, and passwords must be between 8 and 15 characters long, contain a lower case letter, a capital letter, one number, and contain one of the following symbols: !, @, #, \$, %, ^, &, \*, (, ), \_ +

### 1.3 REGISTER/LOGIN

Once logged in, the Applicant may update account information by clicking the  [My Account](#) link on the navigation on the left side of the page. To update information, provide the requested information and click the  button. From this page the Applicant may also change passwords by clicking the  button and providing the requested information.

Figure 4. Account Details page

**MY ACCOUNT**

User Name:

Salutation:

First Name:

Last Name:

Country:

Address:

City:

State:

ZIP:

Phone:

Fax:

Organization:

Title:

DUNS Number:

Questions about this FOA? 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).

## 1.4 FUNDING OPPORTUNITY ANNOUNCEMENTS

The details of a FOA appear on the  [Funding Opportunity](#) page, which can be accessed by clicking the link in the left navigation. The FOA overview outlines the following:

- Funding Opportunity Announcement title
- Description of the funding opportunity
- FOA Documents
- Contact information for the FOA
- Frequently Asked Questions (FAQs)
- Submission Deadlines

To apply to the FOA click the  button in the top right of the desired FOA.

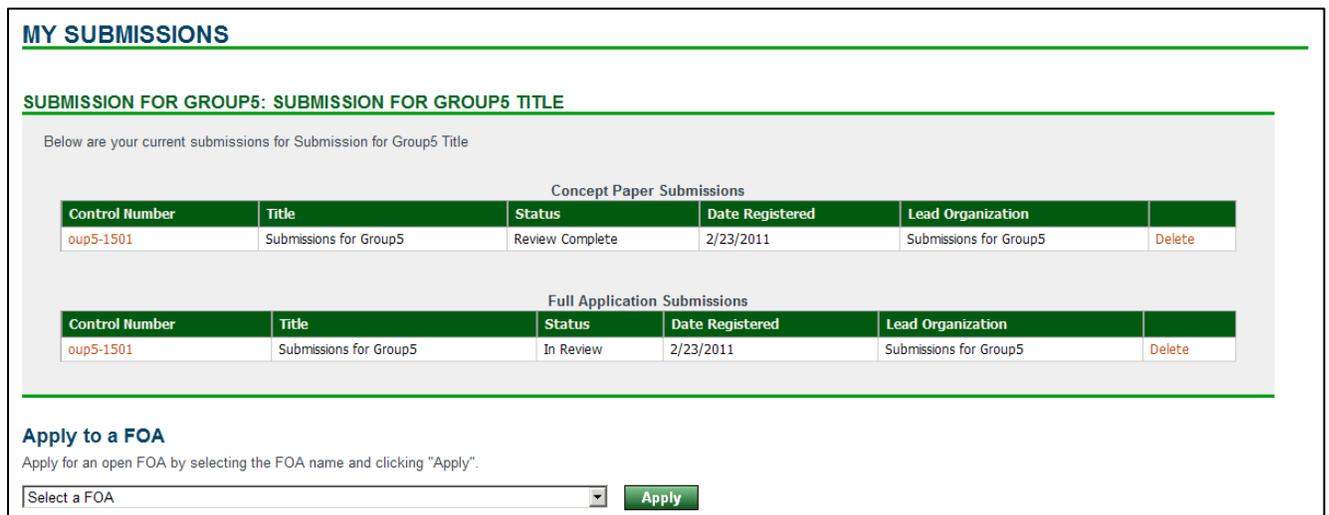
## 1.5 MY SUBMISSIONS

To view your submissions click the  [My Submissions](#) link in the left navigation. Every submission that you have made to an ARPA-E FOA will be displayed on this page.

The  [My Submissions](#) tab outlines the following for each submission:

- Control number
- Title
- Status
- Date registered
- Lead organization

Figure 5. My Submissions page



**MY SUBMISSIONS**

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**SUBMISSION FOR GROUP5: SUBMISSION FOR GROUP5 TITLE**

Below are your current submissions for Submission for Group5 Title

Concept Paper Submissions

Control Number	Title	Status	Date Registered	Lead Organization	
oup5-1501	Submissions for Group5	Review Complete	2/23/2011	Submissions for Group5	Delete

Full Application Submissions

Control Number	Title	Status	Date Registered	Lead Organization	
oup5-1501	Submissions for Group5	In Review	2/23/2011	Submissions for Group5	Delete

**Apply to a FOA**

Apply for an open FOA by selecting the FOA name and clicking "Apply".

Select a FOA  

Questions about this FOA? 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).

Applications can be modified or deleted from the application process with the [Edit](#) or [Delete](#) links in the right column of the table. Applicants are advised to use caution to avoid deleting submission materials accidentally.

To create a new submission from the My Submissions page: Select the desired FOA from the drop down menu and click the [Apply](#) button, as shown in Figure 5, which will bring you to the ARPA-E eXCHANGE homepage. Click the [Apply](#) button here to create a new submission and provide the requested information.

## 2.0 APPLICATIONS

To submit an application and supporting information, Applicants should access the [My Submissions](#) page and click the control number of the associated application. The Applicant should then click the [Create a full application for this FOA](#) button to begin a new application.

The Applicant must provide the requested information in the seven tabs as outlined in this section, and shown in Figure 6: (1) General, (2) Team Members, (3) Location(s) of Work, (4) Funds and Costs, (5) Contact Information, (6) TRL, and (7) Upload and Submit.

Figure 6. Application Details with General Tab Highlighted

**FULL APPLICATION DETAILS FOR FOA #DE-FOA-000028 INNOVATIVE MATERIALS & PROCESSES FOR ADVANCED CARBON CAPTURE TECHNOLOGIES (IMPACCT)**

**General** | Team Members | Location(s) of Work | Funds and Costs | Contact Information | TRL | Upload and Submit

Full Application General Info.

Submission Status: Not Submitted  
Control Number: 0208-1780  
Project Title: \*  250 Max Characters  
Abstract: \*  4000 Max Characters  
*Please ensure that this Abstract matches the Abstract in your main Full Application document*  
Lead Organization: \*  150 Max Characters  
Organization Type: \*   
Lead Organization Percent Effort (1-100): \*  %

[Save and Continue](#) [Clear](#) [Go To FOA Details](#)

To move to the next tab and save work, click on the [Save and Continue](#) button.

**Note:** The [Go To FOA Details](#) button will take the Applicant back to the FOA details. Please save information before returning to FOA or open FOA details in another window.

Questions about this FOA? 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).

## 2.1 GENERAL

The General tab lists information that the Applicant already provided during the initial registration for a particular FOA. This information is shown above in Figure 6.

On this tab, a control number will be assigned to your application. It is very important to record this control number because you are required to display the control number on the upper right corner of the header of every page of your application.

## 2.2 TEAM MEMBERS

To add a new team member, click the [Add New Team Member](#) link. Continue to add all team members by repeating the process before proceeding the next tab. Team member details for a new team member are to be filled out and saved by clicking the **Save and Continue** button.

Figure 7. Team Members Tab

General | **Team Members** | Location(s) of Work | Funds and Costs | Contact Information | TRL | Upload and Submit

Please list each organization that you will be teamed with to perform the proposed research and development project. The contact information for the lead technical point of contact at each organization is required.

Team Members have not been assigned to this submission.

[Add New Team Member](#)

Lead Organization Percent Effort: 100%  
Team Member Percent of Project: 0%  
Total Percent Effort: 100%

**Previous Tab** **Save and Continue** **Clear** **Go To FOA Details**

## 2.3 LOCATIONS OF WORK

Within the “Location(s) of Work” tab, you are required to identify the locations at which the conference, workshop, or other event will take place work will be performed under the funded agreement. To add a work location, click the **Add Location** button at the center of the page, as shown in Figure 8. Applicants can add multiple locations, but only one location can be designated as the “primary” location. Then click the **Save and Continue** button and continue to the next tab. An Applicant may add multiple work locations through this process.

Figure 8. Location(s) of Work Tab

General | Team Members | **Location(s) of Work** | Funds and Costs | Contact Information | TRL | Upload and Submit

Where will the work in this project be performed?

Primary Location\*  
No primary locations.

Other Locations  
No other locations.  
**Add Location**

Total Percentage: 0%

You can **add** multiple other locations.  
Only one Primary Location can exist for this submission.  
All percents must add up to 100%.

**Previous Tab** **Save and Continue** **Clear** **Go To FOA Details**

Location(s) of Work Details are requested as follows:

Figure 9. Location(s) of Work Details

**LOCATIONS OF WORK**

Primary Location?:  Check for Yes

City:

State:

Zip:

Percentage (1-100):  %

**Save** **Cancel**

## 2.4 FUNDS AND COSTS

Within the “Funds and Costs” tab, you are required to provide the financial information displayed in Figure 10 below.

- Under “Federal Share,” please enter the total amount of funding sought from ARPA-E.
- Under “Non-Federal Share,” please enter “0”.
- Please check the box next to the following statement: “I certify that I have reviewed the Funding Opportunity Announcement, and this concept paper or full application is eligible for a reduced cost share obligation.”
- Under “Proposed Period of Performance,” please enter the number of months during which the conference, workshop, or other event(s) will take place. Most Applicants will enter “1” in this space.

Figure 10. Funds and Costs Tab

General | Team Members | Location(s) of Work | **Funds and Costs** | Contact Information | TRL | Upload and Submit

ARPA-E requires applicants to contribute at least 20% of the total project cost. Certain applicants may be eligible for a reduced cost share obligation. Please refer to the Funding Opportunity Announcement and the ARPA-E Program Guide for more information on ARPA-E's cost share policy.

Federal Share (DOE) (in whole dollars): \* \$1,000

Non-federal Share (in whole dollars): \* \$1,000

Proposed Cost Share Percentage: 50.0%

I certify that I have reviewed the Funding Opportunity Announcement and the ARPA-E Program Guide, and this concept paper or full application is eligible for a reduced cost share obligation.

Total Projected Costs: \$2,000

Proposed Period of Performance (months): \* 24

Previous Tab | Save and Continue | Clear | Go To FOA Details

## 2.5 CONTACT INFORMATION

Applicants are required to provide one Business Point of Contact as well as one Technical Point of Contact. Applicants may use the same person as the Business Point of Contact and Technical Point of Contact. This information may be updated later, prior to the applicable quarterly deadline. Click **Save and Continue** to move to the next tab.

Figure 11. Contact Information Tab

General | Team Members | Location(s) of Work | Funds and Costs | **Contact Information** | TRL | Upload and Submit

Please provide one point of contact for both the Business Point of Contact as well as Technical Point of Contact. The Technical Point of Contact should be the Principal Investigator for the research & development work to be performed. This information may be updated later, prior to the registration date.

**Technical Point of Contact**

Name: [Dropdown]  
First Name: [Text]  
Last Name: [Text]  
Title: [Text]  
Email: [Text]  
Country: [Dropdown]  
Address: [Text]  
City: [Text]  
State: [Dropdown]  
ZIP: [Text]  
Phone: [Text]  
Fax: [Text]

Comments: [Rich Text Editor]

**Business Point of Contact**

Name: [Dropdown]  
First Name: [Text]  
Last Name: [Text]  
Title: [Text]  
Email: [Text]  
Country: [Dropdown]  
Address: [Text]  
City: [Text]  
State: [Dropdown]  
ZIP: [Text]  
Phone: [Text]  
Fax: [Text]

Comments: [Rich Text Editor]

Previous Tab | Save and Continue | Clear | Go To FOA Details

Questions about this FOA? 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).

## 2.6 UPLOAD AND SUBMIT

Within the “Upload and Submit” tab, you are required to upload your application to ARPA-E eXCHANGE. The application must be uploaded in **the specified file format** – files not matching the specified type will not be uploaded. Revisions to uploaded documents can be made prior to the applicable quarterly deadline by removing the desired document and replacing it with an updated version.

To upload the documents, click  next to each description of the document, then select the file to be uploaded and click the  button. This process is repeated until all fields are complete. To upload additional files, click the  button.

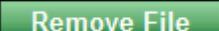
Before submitting the application, check the box certifying that the Applicant has reviewed and agreed to the terms and conditions of the FOA.

Prior to submitting the application, the Applicant should double-check to ensure that all required documents have been selected to be uploaded. When all information is complete and files attached, the Applicant should click  to submit the application. A successful submission of an application to the ARPA-E eXCHANGE portal is acknowledged by a message on the screen stating, “Your application has been successfully submitted”, as well as by an automatically generated email notification containing the date/time stamp to the Applicant.

## 2.7 REQUIRED INFORMATION

If required information is outstanding or needs modification, an explanation in red text will appear on the Upload and Submit tab for the application. These items must be corrected before the application can be successfully submitted for a FOA.

## 2.8 OTHER INFORMATION

Applications can be modified or deleted from the application process with the **Edit** or **Delete** button on the  **My Submissions** tab. After the application is submitted, the Applicant can replace previously uploaded Application documents by clicking the  button under the **Upload and Submit** tab of the Application submission. If the application does not need modification, the application is complete.

Successful submittal of an application will be specified on the **Upload and Submit** tab for the FOA.

Questions about this FOA? 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).

Reference the  **My Submissions** tab for a FOA to reference the status of an application.

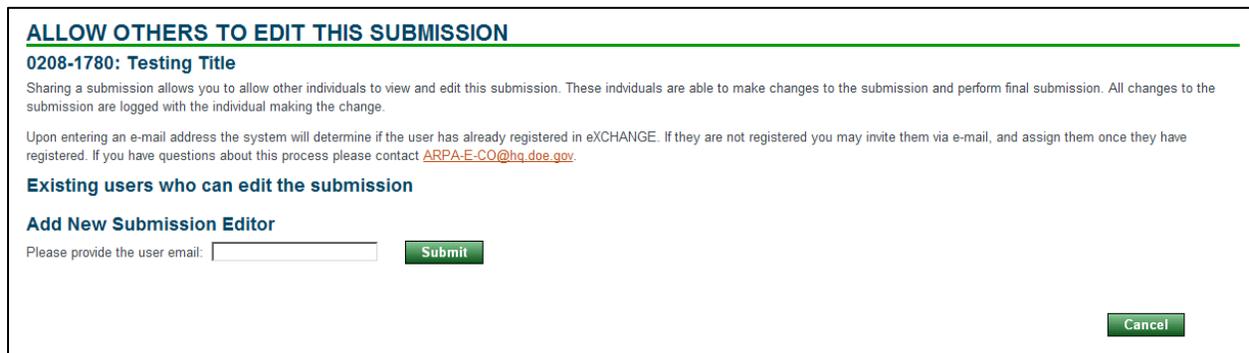
The  **Logout** button in the top right and in the left navigation of all webpage's logs the Applicant out of ARPA-E eXCHANGE. This ensures the security of the application and its contents.

### 3.0 SHARE SUBMISSION

At any point in the application process, Applicants will have the opportunity to share their submission with additional contributors. To do so, Applicants must log in to their ARPA-E eXCHANGE account and select the  **My Submissions** button in the left navigation. Applicants must then click the control number of the submission they wish to share, which opens the "Concept Paper Details" or "Application Details" page in a new window, as in Figure 5.

At the bottom of this page Applicants must click the  button, which opens the "Submission Share" page, as in Figure 14.

Figure 12. Submission Share



**ALLOW OTHERS TO EDIT THIS SUBMISSION**

**0208-1780: Testing Title**

Sharing a submission allows you to allow other individuals to view and edit this submission. These individuals are able to make changes to the submission and perform final submission. All changes to the submission are logged with the individual making the change.

Upon entering an e-mail address the system will determine if the user has already registered in eXCHANGE. If they are not registered you may invite them via e-mail, and assign them once they have registered. If you have questions about this process please contact [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov).

**Existing users who can edit the submission**

**Add New Submission Editor**

Please provide the user email:  



Here, Applicants can view their existing shares and add new shares. To add a new share, the Applicant must enter the email address of the individual with which they wish to share in the   
Please provide the user email:  field and click the  button.

If the user is already registered in ARPA-E eXCHANGE, users will be prompted to  their new share. If the user is not registered in ARPA-E eXCHANGE, users will be given the option to send an automated email inviting the user to join eXCHANGE and view their submission. Users can also add a personal message to the individual with which they are sharing the submission, as shown in Figure 13.

Questions about this FOA? 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).

Figure 13. Send Message to New Share

**ALLOW OTHERS TO EDIT THIS SUBMISSION**

**0208-1780: Testing Title**

test is not currently a user of eXCHANGE  
Select Send to send an email requesting that they register for an account.  
Sharing a submission allows you to allow other individuals to view and edit this submission. These individuals are able to make changes to the submission and perform final submission. All changes to the submission are logged with the individual making the change.

Upon entering an e-mail address the system will determine if the user has already registered in eXCHANGE. If they are not registered you may invite them via e-mail, and assign them once they have registered. If you have questions about this process please contact [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov).

**Add New Submission Editor**

Please provide the user email:

Message text:

Applicant5 Test at Applicant5@test.com would like to make you a contributor for a submission in the DOE eXCHANGE System. Please register at <http://exchange.arpae.info/Registration.aspx> and notify Applicant5@test.com to be assigned to the submission.

Add a personal message below:

Questions about this FOA? 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).