FINANCIAL ASSISTANCE
FUNDING OPPORTUNITY ANNOUNCEMENT

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

SUBMARINE HYDROKINETIC AND RIVERINE KILO-MEGAWATT SYSTEMS (SHARKS) SBIR/STTR

Announcement Type: Modification 01
Funding Opportunity No. DE-FOA-0002335
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Funding Opportunity Announcement (FOA) Issue Date:	April 9, 2020
First Deadline for Questions to ARPA-E-CO@hq.doe.gov:	5 PM ET, May 15, 2020
Submission Deadline for Concept Papers:	9:30 AM ET, May 27, 2020
Second Deadline for Questions to ARPA-E-CO@hq.doe.gov:	5 PM ET, ~~TBD~~ August 18, 2020
Submission Deadline for Full Applications:	9:30 AM ET, ~~TBD~~ August 28, 2020
Submission Deadline for Replies to Reviewer Comments:	5 PM ET, ~~TBD~~ October 9, 2020
Expected Date for Selection Notifications:	November 2020
Total Amount to Be Awarded	Approximately $38 million, subject to the availability of appropriated funds, to be shared between FOAs DE-FOA-0002334 and DE-FOA-0002335.
Anticipated Awards	ARPA-E may issue one, multiple, or no awards under this FOA. Awards may vary between $256,580 and $3,677,642.

- For eligibility criteria, see Section III.A – III.D of the FOA.
- For cost share requirements under this FOA, see Section III.E of the FOA.
- To apply to this FOA, Applicants must register with and submit application materials through ARPA-E eXCHANGE (https://arpa-e-foa.energy.gov/Registration.aspx). For detailed guidance on using ARPA-E eXCHANGE, see Section IV.H.1 of the FOA.
- Applicants are responsible for meeting each submission deadline. Applicants are strongly encouraged to submit their applications at least 48 hours in advance of the submission deadline.
- For detailed guidance on compliance and responsiveness criteria, see Sections III.F.1 through III.F.4 of the FOA.

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

Mod. No.	Date	Description of Modifications
01	7/14/2020	• Inserted certain deadlines, including the deadlines for submitting questions and Full Applications. See Cover Page and Required Documents Checklist. • Inserted clarification on Technical Tasks. See Section I.D.4 of the FOA. • Inserted clarification on Approach and Design Philosophy. See Section I.E of the FOA. • Revised the following sections of the FOA to provide guidance on required application forms and the content and form of Full Applications and Replies to Reviewer Comments: Required Documents Checklist and Sections IV.D, IV.E, and IV.G of the FOA. Applicants are strongly encouraged to use the templates provided on ARPA-E eXCHANGE (https://arpa-e-foa.energy.gov). • Inserted criteria that ARPA-E will use to evaluate Full Applications, see Section V.A.2 of the FOA. • Inserted criteria that ARPA-E will use to evaluate Replies to Reviewer Comments in Section V.A.3 of the FOA. • Inserted information on the anticipated announcement and award dates, see Section V.C of the FOA. • Inserted information concerning Full Application Notifications, see Section VI.A.3 of the FOA. • Inserted Administrative and National Policy Requirements, see Section VI.B of the FOA. • Inserted Reporting Requirements, see Section VI.C of the FOA.

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REQUIRED DOCUMENTS CHECKLIST

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

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

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

SUBMISSION	COMPONENTS	OPTIONAL/ MANDATORY	FOA SECTION	DEADLINE
Concept Paper	• Each Applicant must submit a Concept Paper in Adobe PDF format by the stated deadline. The Concept Paper must not exceed 4 pages in length including graphics, figures, and/or tables. Concept Papers are allowed an Appendix with maximum length equal to 1 page per case study (S1 to S4) for which the design meets the LCOE targets. Each page of the Appendix may contain a plot of the Metric Space for the new design, and the descriptions and justifications for the parameters used to calculate the M1 and M2 metrics and LCOE isoline for the particular case study. The Concept Paper must include the following: ○ Concept Summary ○ Innovation and Impact ○ Proposed Work ○ Team Organization and Capabilities ○ Appendix • Each Applicant must fill out and submit a Metric Space Workbook for each application (S1 to S4) that the project is claiming the new device meets the LCOE targets for. Applicants are strongly encouraged to use the SHARKS Metric Space Workbooks named *S1_SHARKS_MetricSpaceWorkbook.xlsx*, *S2_SHARKS_MetricSpaceWorkbook.xlsx*, *S3_SHARKS_MetricSpaceWorkbook.xlsx*, and *S4_SHARKS_MetricSpaceWorkbook.xlsx* that are available on ARPA-E eXCHANGE (https://arpa-e-foa.energy.gov).	Mandatory	IV.C	9:30 AM ET, May 27 2020
Full Application	~~[TO BE INSERTED BY FOA MODIFICATION IN JULY 2020]~~ • Each Applicant must submit a Technical Volume in Adobe PDF format by the stated deadline. The Technical Volume must include the following: ○ Executive Summary (1 page max.) ○ Sections 1-5 (20 pages max.) • 1. Innovation and Impact • 2. Proposed Work • 3. Team Organization and Capabilities • 4. Technology to Market • 5. Budget	Mandatory	IV.D	9:30 AM ET, ~~TBD~~ August 28, 2020

	○ Bibliographic References (no page limit) ○ Personal Qualification Summaries (each PQS limited to 3 pages in length, no cumulative page limit) • The Technical Volume must be accompanied by: ○ A Metric Space Workbook for each application (S1 to S4) that the project is claiming the new device meets the LCOE targets for. Applicants are strongly encouraged to use the SHARKS Metric Space Workbooks named *S1_SHARKS_MetricSpaceWorkbook.xlsx*, *S2_SHARKS_MetricSpaceWorkbook.xlsx*, *S3_SHARKS_MetricSpaceWorkbook.xlsx*, and *S4_SHARKS_MetricSpaceWorkbook.xlsx* that are available on ARPA-E eXCHANGE (https://arpa-e-foa.energy.gov). ○ SF-424 (no page limit, Adobe PDF format); ○ Budget Justification Workbook/SF424A (no page limit, Microsoft Excel format) ○ Summary for Public Release (250 words max., Adobe PDF format); ○ SBA Company Registration Certificate generated in the SBA Company Registry (http://sbir.gov/registration) (Adobe PDF format); ~~○~~ If applicable, Certification for Applicants Majority-Owned by Multiple Venture Capital Operating Companies, Hedge Funds, or Private Equity Firms (Adobe PDF format); ○ Summary Slide (1 page limit, Microsoft PowerPoint format); and ○ Completed and signed Business Assurances & Disclosures Form (no page limit, Adobe PDF format). U.S. Manufacturing Plan (1 page limit, Adobe PDF format)			
Reply to Reviewer Comments	~~[TO BE INSERTED BY FOA MODIFICATION IN JULY 2020]~~ • Each Applicant may submit a Reply to Reviewer Comments in Adobe PDF format. This submission is optional. The Reply may include: ~~○~~ Up to 2 pages of text; and ~~○~~ Up to 1 page of images.	Optional	IV.E	5 PM ET, ~~TBD~~ October 9, 2020

I. FUNDING OPPORTUNITY DESCRIPTION

A. AGENCY OVERVIEW

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

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

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

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

ARPA-E funds transformational research. Existing energy technologies generally progress on established "learning curves" where refinements to a technology and the economies of scale that accrue as manufacturing and distribution to 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 an "original investigation undertaken in order to acquire new knowledge…directed primarily towards a specific practical aim or objective" and defines "experimental development" as "creative and systematic work, drawing on knowledge gained from research and practical experience, which is directed at producing new products or processes or improving existing products or processes."[1] Applicants interested in receiving financial assistance for basic research should contact the DOE's Office of Science (http://science.energy.gov/). Office of Science national scientific user facilities (http://science.energy.gov/user-facilities/) are open to all researchers, including ARPA-E Applicants and awardees. These facilities provide advanced tools of modern science including accelerators, colliders, supercomputers, light sources and neutron sources, as well as facilities for studying the nanoworld, the environment, and the atmosphere. Projects focused on early-stage R&D for the improvement of technology along defined roadmaps may be more appropriate for support through the DOE applied energy offices including: the Office of Energy Efficiency and Renewable Energy (http://www.eere.energy.gov/), the Office of Fossil Energy (http://fossil.energy.gov/), the Office of Nuclear Energy (http://www.energy.gov/ne/office-nuclear-energy), and the Office of Electricity Delivery and Energy Reliability (http://energy.gov/oe/office-electricity-delivery-and-energy-reliability).

B. SBIR/STTR PROGRAM OVERVIEW

The Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs are Government-wide programs authorized under Section 9 of the Small Business Act (15 U.S.C. § 638). The objectives of the SBIR program are to (1) stimulate technological innovation in the private sector, (2) strengthen the role of Small Business Concerns in meeting Federal R&D needs, (3) increase private sector commercialization of innovations derived from Federal R&D activities, (4) foster and encourage participation by socially and economically disadvantaged and women-owned Small Business Concerns, and (5) improve the return on investment from Federally funded research and economic benefits to the Nation. The objective of the STTR program is to stimulate cooperative partnerships of ideas and technologies between Small Business Concerns and partnering Research Institutions through Federally funded R&D activities.[2]

[1] OMB Circular A-11 (https://www.whitehouse.gov/wp-content/uploads/2018/06/a11_web_toc.pdf), Section 84, pg. 3.

[2] Research Institutions include FFRDCs, nonprofit educational institutions, and other nonprofit research organizations owned and operated exclusively for scientific purposes. Eligible Research Institutions must maintain a place of business in the United States, operate primarily in the United States, or make a significant contribution to the U.S. economy through the payment of taxes or use of American products, materials, or labor.

ARPA-E administers a joint SBIR/STTR program in accordance with the Small Business Act and the SBIR and STTR Policy Directive issued by the U.S. Small Business Administration (SBA).[3] ARPA-E provides SBIR/STTR funding in three phases (Phase I, Phase II, and Phase IIS).

C. PROGRAM OVERVIEW

1. SUMMARY

The SHARKS[4] Program seeks to develop new designs for economically attractive Hydrokinetic Turbines (HKT) for tidal and riverine currents. Tidal and riverine energy resources are renewable, have the advantage of being highly reliable and predictable, and are often co-located with demand centers, while HKT devices can be designed with low visual profiles and minimal environmental impact. These energy-producing devices are also uniquely suited for micro-grid applications, supplying energy to remote communities and other "blue economy" or utility-scale applications. This Program is aimed at applying Control Co-Design (CCD), Co-Design (CD) and Designing-for-OpEx (DFO) methodologies to HKT design. These three design methodologies require the concurrent (rather than sequential) application of a wide range of disciplines, starting at the conceptual design stage. The technical challenges that inhibit the development of highly efficient HKT designs are mutually dependent, and require expertise from a range of scientific and engineering fields for optimization. These codependent technical challenges make HKT design a perfect candidate for CCD, CD and DFO, and will necessitate the formation of multi-disciplinary teams to resolve their inherently coupled design considerations.

This Program seeks to fund the development of new HKT designs that include, but are not limited to, hydrodynamics, mechanical structures, materials, hydro-structural interactions, electrical energy conversion systems, control systems, numerical simulations and experimental validations. Simultaneous consideration of the full problem can result in operational designs that are optimal, and suitable for deployment in a wide variety of tidal and riverine energy environments. The SHARKS Program seeks new HKT designs that are optimized within a *Metric Space* that quantifies the swept rotor area per unit of equivalent mass and the water-to-electron power generation efficiency, while navigating across LCOE (*Levelized Cost of Energy*) contours of constant value or isolines. Projects in this Program will develop radically new HKT designs that offer a significant reduction in LCOE (~60%) compared to the current state-of-the-art –see Table 9. These designs will need to reduce the LCOE through a multi-faceted approach that includes increasing generation efficiency, increasing rotor area per unit of equivalent system mass, lowering operating and maintenance costs, and minimizing potential negative impacts on the surrounding environment, among other considerations. It is expected that projects will include physical testing of the critical systems and sub-systems in the water to prove the assumptions underlying the device's design.

[3] See 84 Fed. Reg. 12794 (Apr. 2, 2019).
[4] SHARKS is the acronym for "*Submarine Hydrokinetic And Riverine Kilo-megawatt Systems.*"

2. MOTIVATION

Hydrokinetic energy is a renewable energy resource whose characteristics present unique opportunities and benefits. It is forecastable over long time periods and in many cases co-located with existing electrical loads. The short- and long-term variations in power (daily and seasonal) of hydrokinetic systems are not typically time-correlated with other sources of renewable energy. This allows them to complement other renewable energy generation systems that are already integrated into grids. The distribution of the resource, including its proximity to population centers of various sizes, gives it the potential to be used in grids that range from micro-grids in remote areas that lack economically attractive sources of power to utility scale applications.

The scale of the hydrokinetic energy resource is also considerable. The theoretical amount of energy available in tidal streams, ocean currents, and riverine currents is estimated at 2051 TWh/yr (7 Quad/yr in Table 1). Even when conservative estimates are made to determine the amount of the resource that is practically extractable (i.e., once areas with environmental, social and economic conflicts are removed), there is 615 TWh/yr (2.1 Quad/yr in Table 1) of harvestable energy. It is important to note that the full scale of this resource is difficult to accurately quantify. There are limitations to the computational models that are used to analyze it, such as the characterization of the tidal zones (with significant variation in site-to-site bathymetry) and the assumed characteristics of riverbeds. There are fewer accessible observation sites compared to other renewable sources such as wind energy, which makes it difficult to correlate and validate numerical models with field data. Finally, some assumptions made to estimate the amount of power that is practically extractable, such as the possibility of sharing the water for different needs, or the minimum current velocities needed for HKTs to operate, can be improved via technological innovation, expanding the percentage of power that can be practically harvested. This indicates that the actual size of these theoretical and practical resources is likely larger than current estimations.

***Table 1**: Hydrokinetic Energy Resources in the U.S., both Theoretically Extractable and Practically Extractable (once areas with environmental and social conflicts are removed)*[5]

	Quads of Energy (Theoretical)	Quads of Energy (Practical)
Tidal Streams	1.5	1.1
Riverine Currents	4.7	0.4
Ocean Currents	0.7	0.6
Total	**7.0**	**2.1**

Hydrokinetic energy also has the potential to serve a market larger than just providing power to conventional utility scale electrical grids. The Organization for Economic Co-operation and Development (OECD) predicts that the international "Blue Economy" will grow into a three

[5] Quadrennial Energy Review 2015: Marine and Hydrokinetic Energy, U.S. Department of Energy, Washington, DC.

trillion dollar industry by 2030[6]. The World Bank defines the Blue Economy as "*the sustainable use of ocean resources for economic growth, improved livelihoods, and jobs while preserving the health of ocean ecosystems*." This industry captures technology integrated into expanding ocean-based infrastructure for needs ranging from climatological observation, aquaculture, desalination, ocean floor and seawater mining, disaster recovery, powering isolated communities, and autonomous underwater vehicle support. The nature of these markets means they are co-located with marine energy sources. This rapidly expanding market sector will require power, and hydrokinetic energy is uniquely suited to fill that need.

Despite the attractive qualities of marine and hydrokinetic energy, it remains a largely untapped resource. This is primarily due to a high *levelized cost of energy* (LCOE) for current hydrokinetic energy conversion systems. State of the art technology ranges from about $0.17/kWh and $0.10/kWh for riverine and tidal stream systems at utility scale respectively, to $0.21/kWh and $0.25/kWh for riverine and tidal stream systems in remote areas respectively (all without submarine electrical lines and substations) –see Section I.D.2. This high cost of energy is driven by technical challenges and harsh environmental conditions that have prevented designs from maturing and converging within the industry. Hydrokinetic energy systems must work to accomplish the technical feats that helped reduce the cost of more mature systems, such as wind turbines, including increasing their efficiency and their swept-area-to-mass ratio; however, they also need to operate in harsh aquatic environments where they may encounter marine and riverine debris, ice, and wildlife, requiring expensive installation and maintenance. This is made more difficult given that these systems need to harvest energy from a variety of flow average speeds and distributions.

Overcoming these challenges requires a multi-disciplinary approach. The low technical readiness of hydrokinetic energy systems means that it is necessary to consider the holistic problem space, including hydrodynamics, structural dynamics, control systems, power electronics, grid connections, and the optimization of performance alongside the minimization of negative effects on the environment, all with a system-level approach. Currently the industry lacks computer tools that facilitate these multi-disciplinary CCD, CD and DFO methodologies. Moreover, many proposed systems have not moved beyond the "paper study" phase of design. Consequently, this program aims to make a transformational change in the LCOE of hydrokinetic energy systems by addressing these industry-wide limitations. ARPA-E seeks to fund the development of new system designs, optimized for deployment in tidal streams, riverine currents, or both, that represent a radical improvement over the state-of-the art, along with experimental validation of key novel components as detailed later in this document. To this end, it is necessary that HKT designs work to address the following challenges:

1) An increase in the turbine and/or array generation efficiency.
2) Maximized rotor area per unit of equivalent mass.

[6] Organization for Economic Co-Operation and Development, (2016). The Ocean Economy in 2030. OCED Publishing.

3) A drastic reduction in the operation and maintenance, installation and decommissioning costs, possibly including but not limited to autonomous methods of installation, predictive maintenance and/or remote diagnostics, and debris avoidance measures.
4) Approaches to minimize the environmental impact of the systems, possibly including but not limited to autonomous sensing of aquatic wildlife presence, reduction of effects on sediment transport in the local ecosystem, minimization of likelihood of collisions with marine species, minimization of acoustic noise and prevention of water pollution.
5) Testing *in water*, to prove their underlying performance and operational assumptions.

D. METRIC SPACE DEFINITION, CASE STUDIES AND PERFORMANCE TARGETS

1. METRIC SPACE DEFINITION

The SHARKS Program uses the *LCOE Metric Space*[7,8] developed for the ARPA-E's ATLANTIS Program. This two-dimensional *Metric Space* considers the power generation efficiency and the swept-rotor-area per equivalent mass of the system (m^2/kg), which are internal properties of the machine, and guides the research to navigate across resulting LCOE isolines –see Figs. 1 and 3 to 7. This *Metric Space*, detailed in this Section, facilitates the application of CCD, CD and DFO paradigms and will help ARPA-E evaluate new design concepts. All the variables and parameters of this Section are expressed in the Metric System.

Metric M1

The first metric (M1) represents the ratio between the powers P_{e1} and P_{w1}, both below rated – see eq.(1). P_{e1} is the electrical power generation at the point of interconnection of the hydrokinetic turbine to the internal grid of the system array (output of the hydrokinetic turbine) in Watts –see eq.(2). P_{w1} is the power of the water in Watts –see eq.(3). Both powers, P_{e1} and P_{w1}, are calculated at the same below-rated water flow speed V_1 (e.g., V_1 = 1.4 m/s), which is selected so that the maximum power point tracking (MPPT) control strategy is keeping the hydrodynamic power coefficient C_p at the maximum value C_{pmax}, and with a constant pitch angle β –see eq.(4). The efficiency μ includes the generator losses L_g, drive-train losses L_{dt} (gearbox and power electronics), wake effect losses L_w due to the hydrodynamic interaction of turbines in the array, electrical losses L_e (substation and electrical lines, intra-array and array-to-shore), hydrokinetic turbine availability A_v and other losses L_o –see eq.(5). In summary, the main equations for M1 are:

$$M_1 = \left.\frac{P_{e1}}{P_{w1}}\right|_{at\ V_1} = C_p\ \mu \qquad (1)$$

[7] Garcia-Sanz, M., (2020). A Metric Space with LCOE Isolines for Research Guidance in wind and hydrokinetic energy systems. Wind Energy, Vol.23, No.2, pp.291-311, Wiley.
[8] ARPA-E ATLANTIS Program for Floating Offshore Wind Turbines, Founding Opportunity Announcement. https://arpa-e.energy.gov/?q=arpa-e-programs/atlantis

$$P_{e1} = \frac{1}{2}\,\rho\,A_r\,C_p\,\mu\,V_1^3 \tag{2}$$

$$P_{w1} = \frac{1}{2}\,\rho\,A_r\,V_1^3 \tag{3}$$

$$C_p = C_{pmax} \tag{4}$$

$$\mu = \left(1 - L_g\right)\left(1 - L_{dt}\right)\left(1 - L_w\right)\left(1 - L_e\right)\left(1 - L_o\right)A_v \tag{5}$$

where:

→ ρ = 1000 or 1025 kg/m^3 is the density of the water in the river or sea, respectively

→ A_r = swept area of the rotor (in m^2) [9]

→ V_1 is the selected undisturbed upstream below-rated water velocity (for example = 1.4 m/s)

→ μ is the efficiency of the system, including (all in per unit):

- L_g: generator losses,
- L_{dt}: drive-train (gearbox and power electronics) losses,
- L_w: wake effect losses due to the hydrodynamic interaction of turbines in the array,
- L_e: electrical losses (substation and electrical lines, intra-array and array-to-shore),
- L_o: other losses, including cavitation effects and other aspects,
- A_v: availability, which also considers the months per year the HKT is in the water.

Physically speaking, M1 represents the power generation efficiency of the hydrokinetic turbine ($C_p\,\mu$), from the upstream-undisturbed water to the electrical output of the turbine. Also, M1 is proportional to the electrical power per unit area of the rotor (W/m^2) at the selected below rated water speed V_1: i.e., M1 = $k\,(P_{e1}/A_r)$, with $k = 1/(0.5\,\rho\,V_1^3)$. [10]

<u>Metric M2</u>

The second metric (M2) represents the ratio between the swept area A_r of the rotor and the equivalent mass M_{eq} of the HKT –see eq.(6). M_{eq} is the equivalent mass of steel (*steel-of-reference* type) of the HKT in kilograms –see eqs.(7) and (8),

$$M_2 = \frac{A_r}{M_{eq}} \tag{6}$$

$$M_{eq} = \sum_{j=1}^{z} m_j \tag{7}$$

$$m_j = f_{tj}\left(1 + f_{mj} + f_{ij}\right) m_{cj} \tag{8}$$

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[9] For both, Parallel-Axis Hydrokinetic Turbines (PAHKT) and Orthogonal-Axis Hydrokinetic Turbines (OAHKT), A_r is the area of the cross-section of the rotor, perpendicular to the water direction. For Kite-type Energy Systems, A_r is the area of the annular path described by the tethered system.

[10] In case of arrays or farms, eqs. (1) to (5) are: $M_1 = \left.\frac{\sum_{k=1}^{n} P_{e1}(k)}{\sum_{k=1}^{n} P_{w1}(k)}\right|_{at\,V_1} = \frac{1}{n}\,\sum_{k=1}^{n} C_p(k)\,\mu(k) = \overline{C_p\,\mu}$;

$P_{e1}(k) = \frac{1}{2}\,\rho\,A_r\,C_p(k)\,\mu(k)\,V_1^3$; $P_{w1}(k) = \frac{1}{2}\,\rho\,A_r\,V_1^3$; $C_p(k) = C_{pmax}(k)$;
$\mu(k) = \left(1 - L_g(k)\right)\left(1 - L_{dt}(k)\right)\left(1 - L_w(k)\right)\left(1 - L_e(k)\right)\left(1 - L_o(k)\right)A_v(k)$,
with n the number of HKTs in the array, and A_r the same area for all HKTs.

where: f_t is the material factor, f_m is the manufacturing factor, f_i is the installation factor, m_c is the mass of the component in kg, and z is the number of main components for the HKT.[11]

The equivalent mass M_{eq} is typically composed of six elements, $z = 6$, m_j with $j = 1$ to z, which represent each major component of the HKT from the water flow to the electrical output: m_1 = rotor (blades, hub), m_2 = nacelle (generator, drive-train, PTO, yaw, bearings, pitch, …), m_3 = structure (tower, cross-arm, columns, ...), m_4 = floating system (floaters, ballast, …), m_5 = mooring system (ropes, connection, …), and m_6 = anchoring/foundation system, all in kg (note that the machine could be composed of other elements). Each element m_j denotes the equivalent mass of the component j as made of *steel-of-reference*. In other words, by multiplying the equivalent mass (kg) of each component m_j by the cost of the *steel-of-reference* ($/kg), we obtain the cost of each component j ($), regardless of the type of material it is made of, and including all the manufacturing and installation costs. The *steel-of-reference* for this program is defined as a high corrosion resistant austenitic stainless steel.

The actual mass of each component, made of its original material, is represented by m_c and is expressed in kg. The material factor f_t is non-dimensional, and represents the ratio between the cost of one kilogram of the original material ($/kg) divided by the cost of one kilogram of *steel-of-reference* C_{sref} ($/kg). The manufacturing factor f_m is also non-dimensional, and represents the ratio between the cost per kilogram of the manufacturing of the component ($/kg) divided by the cost of one kilogram of the original material of the component ($/kg). Finally, the installation factor f_i, also non-dimensional, represents the ratio between the cost per kilogram of the installation of the component ($/kg) divided by the cost of one kilogram of the original material of the component ($/kg). Excluding the financial costs, the equivalent mass M_{eq} can also be calculated by dividing the CapEx ($) by the cost of one kilogram of *steel-of-reference* C_{sref} ($/kg). See values in Tables 3 to 8.

<u>LCOE Isolines</u>

LCOE is a function of the internal properties of the machine (M1 and M2) and additional external factors (site, flow velocity distribution, economic rates and costs, etc.). The LCOE expression depends on the capital expenditures CapEx ($), the fixed charge rate FCR (1/year), the operation and maintenance expenditures OpEx ($/year), and the annual energy production AEP (kWh) –see eq.(9).

$$LCOE = \frac{FCR\ CapEx + OpEx}{AEP} \tag{9}$$

[11] In case of arrays or farms, eqs. (6) to (8) are: $M_2 = \frac{n\,A_r}{\sum_{k=1}^{n} M_{eq}(k)}$; $M_{eq}(k) = \sum_{j=1}^{z} m_j(k)$ and $m_j(k) = f_{tj}\left(1 + f_{mj} + f_{ij}\right) m_{cj}\big|_k$ with z = 6 for the HKT system (see Tables 3-6) and n the number of turbines.

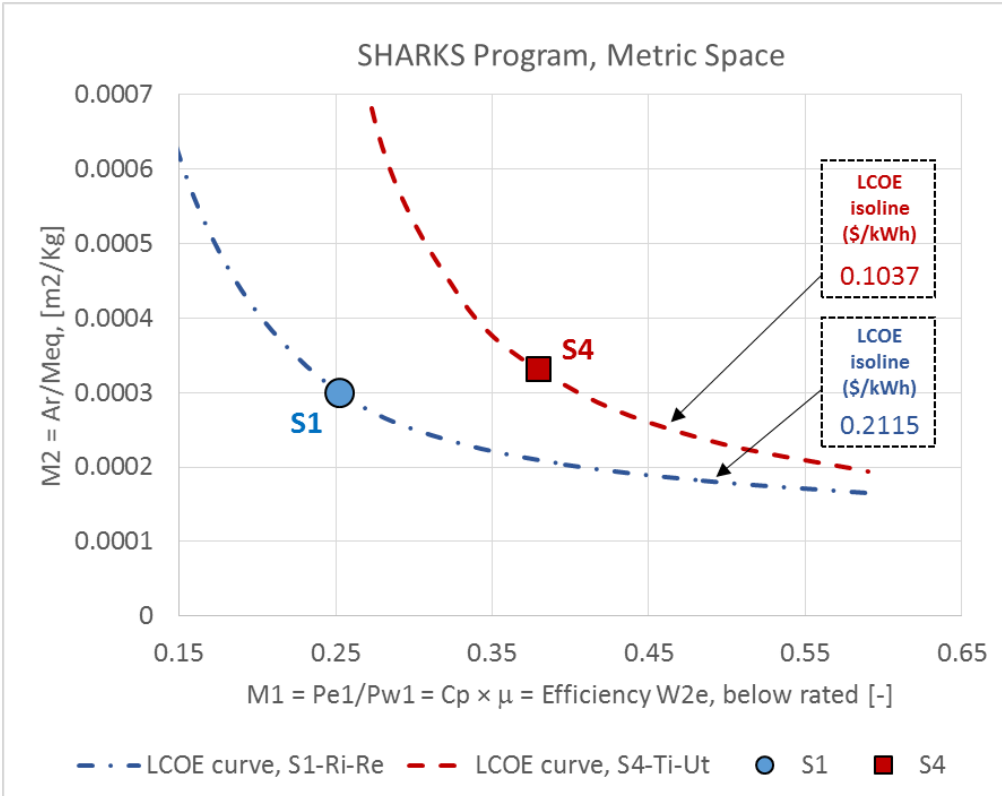

Fig. 1. Metric Space example.

M1 affects the annual energy production. As M1 increases, AEP also increases, and LCOE decreases ($M_1 \uparrow \rightarrow AEP \uparrow \rightarrow LCOE \downarrow$). At the same time, M2 affects CapEx. As M2 increases for a fixed swept area, CapEx decreases, and LCOE decreases ($M_2 \uparrow \rightarrow CapEx \downarrow \rightarrow LCOE \downarrow$).

Putting the two metrics M1 and M2 together in a two-dimension orthogonal space, we can identify LCOE contours of constant value or isolines for each case study. Figure 1 shows the Metric Space with the LCOE isolines of two systems, a riverine energy system in a remote area (S1) and a tidal energy system at utility scale (S4), both in Alaska. In these two examples, the calculations exclude the substation costs and the electrical line costs (intra-array or array -to-shore lines). More details are provided in the next Sections.

2. Case Studies

The SHARKS Program defines four case studies, as shown in Table 2. They include small HKTs in remote areas without grid connection, both for Riverine (S1) and Tidal (S2) currents, and large utility scale HKTs for grid connection, both for Riverine (S3) and Tidal (S4) currents.

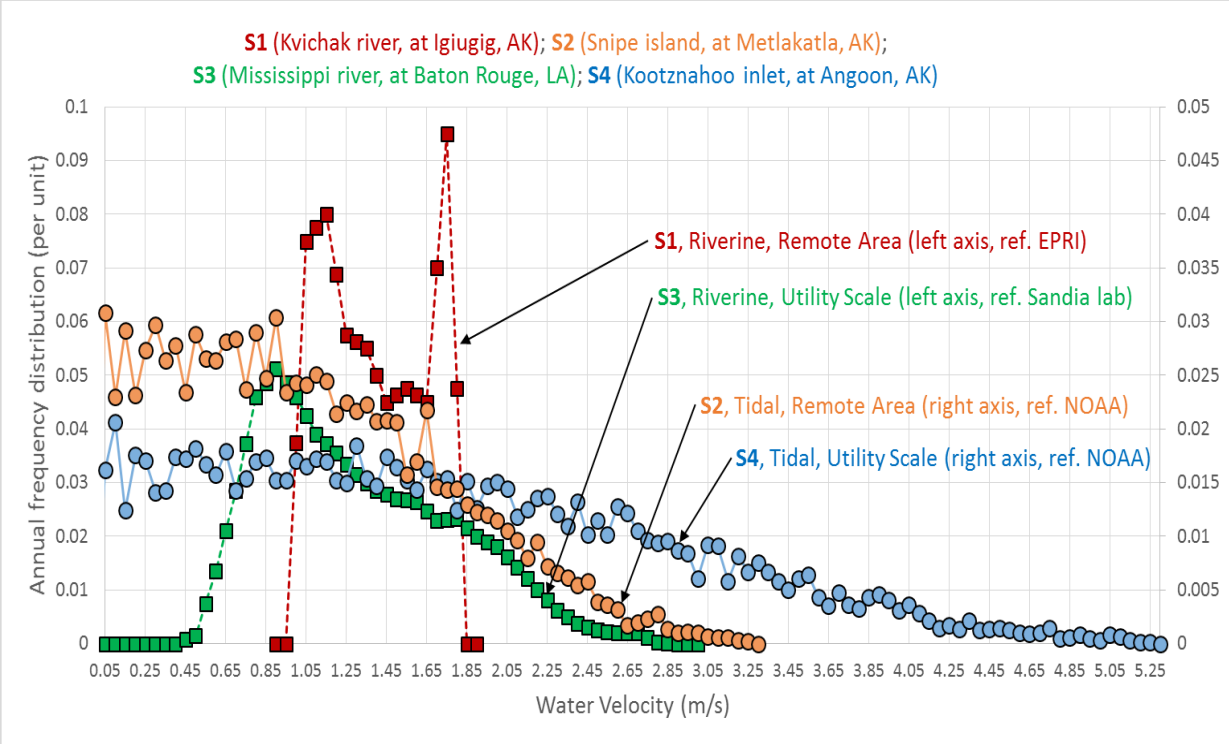

Fig. 2. Annual frequency distribution of water velocity for sites in the four case studies.

***Table 2**: Case studies*

	Riverine Currents	Tidal Streams
Remote areas (for micro-grid)	**S1**	**S2**
Utility scale (connected to the grid)	**S3**	**S4**

The selected sites for the analysis are: the Kvichak river at Igiugig, in Alaska[12], for S1; the Snipe island at Metlakatla, in Alaska[13], for S2; the Mississippi river at Baton Rouge, in Louisiana[14], for S3; and the Kootznahoo inlet at Angoon, in Alaska[15], for S4. Figure 2 shows the annual frequency distribution of the water velocity for these four sites.

<u>System S1.</u> (*Riverine energy system for a remote area*)

[12] Kvichak river at Igiugig, in Alaska. Frequency distribution from reference: Previsic M., Bedard, R., Polagye B. (2008). *System Level Design, Performance, Cost and Economic Assessment – Alaska River In-Stream Power Plants*. EPRI RP 006 Alaska.
[13] Snipe island at Metlakatla, in Alaska. Frequency distribution from reference: https://tidesandcurrents.noaa.gov/noaacurrents/Regions
[14] Mississippi river at Baton Rouge, in Louisiana. Frequency distribution from reference: Neary V., Previsic M., Jepsen R. et al. (2014). Methodology for Design and Economic Analysis of Marine Energy Conversion (MEC) Technologies. Sandia National Laboratories. Technical Report SAND2014-9040.
[15] Kootznahoo inlet at Angoon, in Alaska. Frequency distribution from reference: https://tidesandcurrents.noaa.gov/noaacurrents/Regions

The Metric Space for a riverine energy system in a remote area in Alaska is shown in Fig.3. Details of the calculations are in the document "S1_SHARKS_MetricSpaceWorkbook.xlxs". The metrics M1 and M2 (circle) and the associated LCOE (solid line) are calculated next.

- *Metric M1*:
  The HKT of this example has a hydrodynamic coefficient of C_{pmax} = 0.45, efficiency losses of L_g = 0.03, L_{dt} = 0.035, L_w = 0, L_e = 0 and L_o = 0.0298, and an availability of A_v = 0.6192, which includes the limitation that the machine is in the water only 8 months/year due to potential harsh conditions during the ice melting season. Applying eqs.(4) and (5) gives C_p = 0.45 and μ = 0.5623, which in eq.(1) gives M1 = $C_p\ \mu$ = 0.2530.

- *Metric M2*:
  In addition, the turbine has a swept area of A_r = 7.07 m^2, and the masses and factors shown in Table 3 –see also Tables 7, 8. Applying eqs.(7) and (8) results in M_{eq} = 23,621 kg, which with the swept area A_r = 7.07 m^2 gives a metric M2 = 0.0299×10^{-2} m^2/kg.

Table 3. Information for M_{eq}, System S1

j	Component	m_j	f_{tj}	f_{mj}	f_{ij}	m_{cj}
1	Rotor (blades, hub)	3849	4.0	2.80	0.06	249
2	Nacelle (generator, drive-train, PTO, yaw, bearings, pitch…)	3461	1.0	2.80	0.06	896
3	Structure (tower, cross-arm, columns...)	3992	1.0	8.03	0.06	439
4	Floating system (floaters, ballast…)	4751	1.0	7.84	0.06	534
5	Mooring system (ropes, connection…)	244	1.0	1.72	0.12	86
6	Anchoring/foundation system	7324	0.3	1.72	0.12	8598

- *Associated LCOE calculation* (not needed for M1, M2):
  A pair of metrics (M1, M2) can give different LCOE results. The LCOE depends on other external parameters related to the site and economic factors. In this example, choosing the parameters given below, the associated CapEx, AEP and LCOE are: CapEx = 47,242 $/kWe, AEP = 23,254 kWh/yr (CF = 50.09 %), and LCOE = $0.2115/kWh (the substation and the electrical line costs are not included). The parameters are:

  → Rated electrical power per turbine, P_{er} = 5.3 kWe, at Rated water velocity V_r = 1.85 m/s
  → Number of turbines in array = 1
  → Site: Kvichak river at Igiugig, in Alaska, with water velocities of $V_{average}$ = 1.39 m/s, $V_{cut\text{-}in}$ = 1 m/s, and $V_{cut\text{-}out}$ = 1.8 m/s, and average depth of 2.4 m and width of 152 m.
  → OpEx = 197 $/kWe/yr
  → Fixed charge rate, FCR = 8.2%
  → Project number of years = 20 years
  → Cost of *steel-of-reference* = $2.0 /kg (high corrosion resistant austenitic stainless steel)

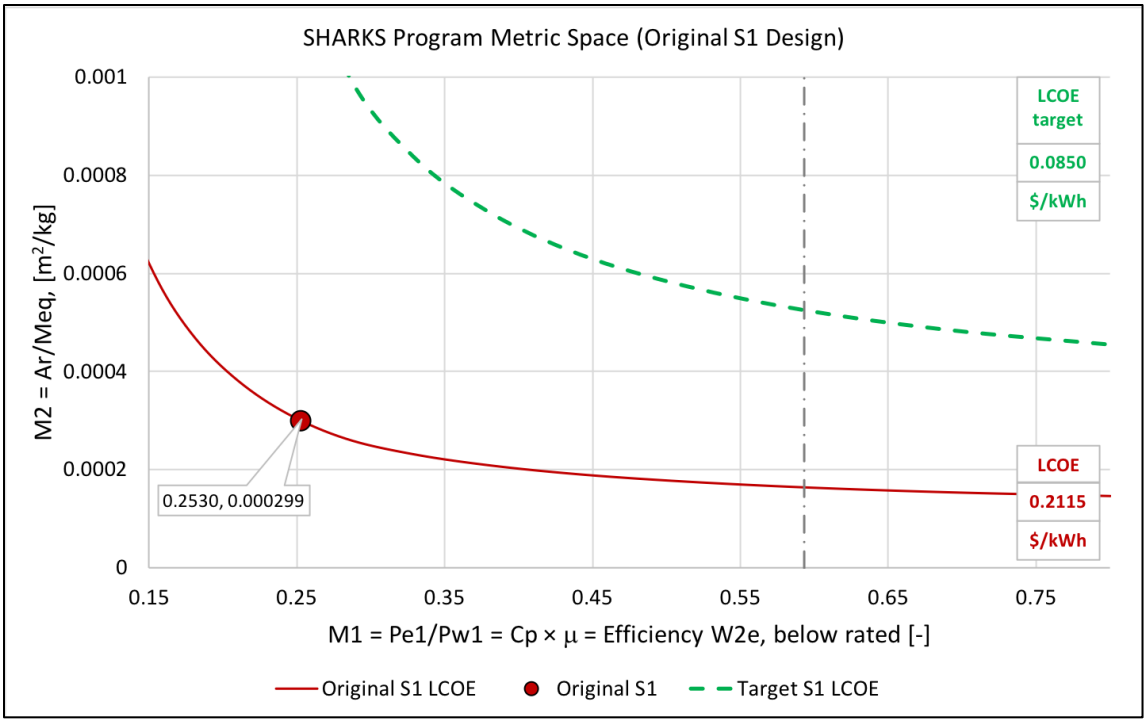

Fig. 3. System S1. A riverine energy system for a remote area.
Kvichak river at Igiugig, Alaska.

<u>System S2.</u> (*Tidal energy system for a remote area*)

The Metric Space for a tidal energy system in a remote area in Alaska is shown in Fig.4. Details of the calculations are in the document "S2_SHARKS_MetricSpaceWorkbook.xlxs". The metrics M1 and M2 (circle) and the associated LCOE (solid line) are calculated next.

- *<u>Metric M1</u>*:
  The HKT of this example has a hydrodynamic coefficient of C_{pmax} = 0.45, efficiency losses of L_g = 0.03, L_{dt} = 0.035, L_w = 0, L_e = 0 and L_o = 0.0298, and availability of A_v = 0.9288. Applying eqs.(4) and (5) gives C_p = 0.45 and μ = 0.8435, which in eq.(1) gives M1 = $C_p\ \mu$ = 0.3796.

- *<u>Metric M2</u>*:
  In addition, the turbine has a swept area of A_r = 21.21 m^2, and the masses and factors shown in Table 4 –see also Tables 7, 8. Applying eqs.(7) and (8) results in M_{eq} = 70,619 kg, which with the swept area A_r = 21.21 m^2 gives a metric M2 = 0.0300×10^{-2} m^2/kg.

- *<u>Associated LCOE calculation</u>* (not needed for M1, M2):
  A pair of metrics (M1, M2) can give different LCOE results. The LCOE depends on other external parameters related to the site and economic factors. In this example, choosing the parameters given below, the associated CapEx, AEP and LCOE are: CapEx = 141,238 $/kWe, AEP = 62,655 kWh/yr (CF = 35.76 %), and LCOE = $0.2477/kWh (the substation and the electrical line costs are not included). The parameters are:

→ Rated electrical power per turbine, P_{er} = 20 kWe, at Rated water velocity V_r = 1.70 m/s
→ Number of turbines in array = 1
→ Site: Snipe Island at Metlakatla, in Alaska, with water velocities of $V_{average}$ = 1.04 m/s, $V_{cut\text{-}in}$ = 0.55 m/s, and $V_{cut\text{-}out}$ = 3.1 m/s, and low-tide depth of 60 m and width of 3500 m.
→ OpEx = 197 $/kWe/yr
→ Fixed charge rate, FCR = 8.2%
→ Project number of years = 20 years
→ Cost of *steel-of-reference* = $2.0 /kg (high corrosion resistant austenitic stainless steel)

Table 4. Information for M_{eq}, System S2

j	Component	m_j	f_{tj}	f_{mj}	f_{ij}	m_{cj}
1	Rotor (blades, hub)	11546	4.0	2.80	0.06	747
2	Nacelle (generator, drive-train, PTO, yaw, bearings, pitch…)	10383	1.0	2.80	0.06	2687
3	Structure (tower, cross-arm, columns...)	11975	1.0	8.03	0.06	1317
4	Floating system (floaters, ballast…)	14254	1.0	7.84	0.06	1601
5	Mooring system (ropes, connection…)	488	1.0	1.72	0.12	172
6	Anchoring/foundation system	21973	0.3	1.72	0.12	25794

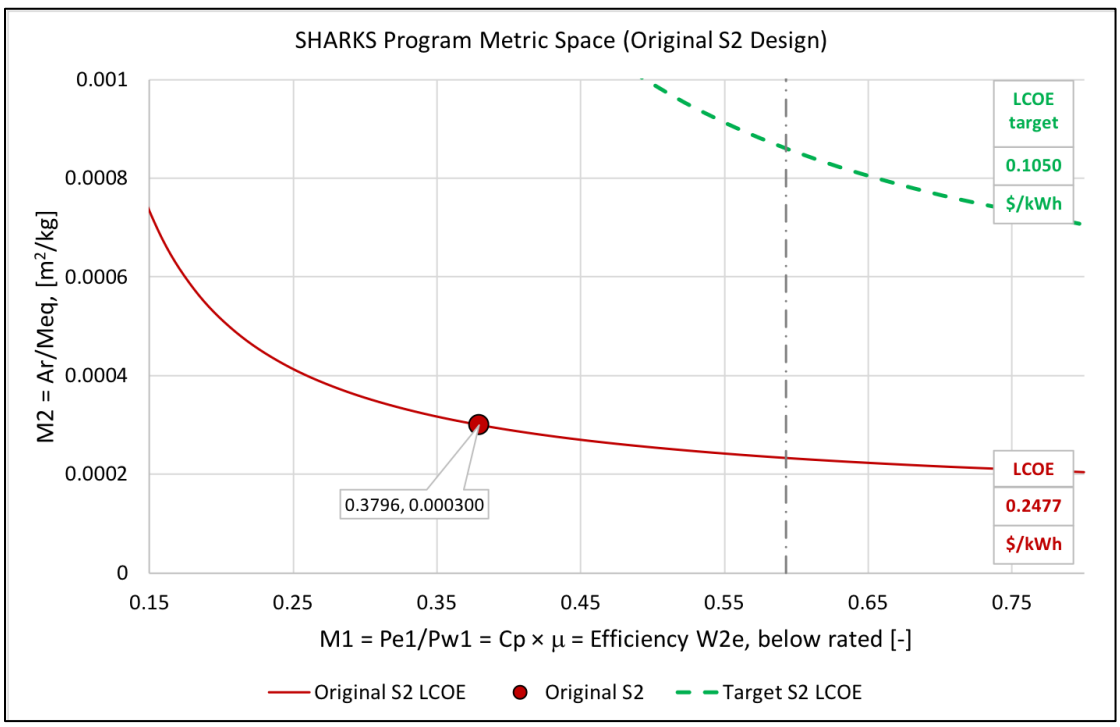

Fig. 4. System S2. A tidal energy system for a remote area.
Snipe Island at Metlakatla, Alaska.

System S3. (*Riverine energy system at utility scale*)

The Metric Space for a riverine energy system at utility scale in Louisiana is shown in Fig.5. Details of the calculations are in the document "S3_SHARKS_MetricSpaceWorkbook.xlxs". The metrics M1 and M2 (circle) and the associated LCOE (solid line) are calculated next.

- *Metric M1*:
  The HKT of this example has a hydrodynamic coefficient of C_{pmax} = 0.45, efficiency losses of L_g = 0.03, L_{dt} = 0.035, L_w = 0, L_e = 0 and L_o = 0.0298, and availability of A_v = 0.9288. Applying eqs.(4) and (5) gives C_p = 0.45 and μ = 0.8435, which in eq.(1) gives M1 = $C_p\ \mu$ = 0.3796.

- *Metric M2*:
  In addition, the turbine has a swept area of A_r = 61.44 m^2, and the masses and factors shown in Table 5 –see also Tables 7, 8. Applying eqs.(7) and (8) results in M_{eq} = 184,473 kg, which with the swept area A_r = 61.44 m^2 gives a metric M2 = 0.0333×10^{-2} m^2/kg.

Table 5. Information for M_{eq}, System S3

j	Component	m_j	f_{tj}	f_{mj}	f_{ij}	m_{cj}
1	Rotor (blades, hub)	30056	4.0	2.80	0.06	1944
2	Nacelle (generator, drive-train, PTO, yaw, bearings, pitch…)	27029	1.0	2.80	0.06	6995
3	Structure (tower, cross-arm, columns...)	31175	1.0	8.03	0.06	3427
4	Floating system (floaters, ballast…)	37106	1.0	7.84	0.06	4169
5	Mooring system (ropes, connection…)	1907	1.0	1.72	0.12	671
6	Anchoring/foundation system	57200	0.3	1.72	0.12	67148

- *Associated LCOE calculation* (not needed for M1, M2):
  A pair of metrics (M1, M2) can give different LCOE results. The LCOE depends on other external parameters related to the site and economic factors. In this example, choosing the parameters given below, the associated CapEx, AEP and LCOE are: CapEx = 368,946 $/kWe, AEP = 298,962 kWh/yr (CF = 34.13 %), and LCOE = $0.1671/kWh (the substation and the electrical line costs are not included). The parameters are:

  → Rated electrical power per turbine, P_{er} = 100 kWe, at Rated water velocity V_r = 2.05 m/s
  → Number of turbines in array = 1
  → Site: Mississippi river at Baton Rouge, in Louisiana, with water velocities of $V_{average}$ = 1.31 m/s, $V_{cut\text{-}in}$ = 0.5 m/s, and $V_{cut\text{-}out}$ = 2.85 m/s, average depth of 12 m and width of 800 m.
  → OpEx = 197 $/kWe/yr
  → Fixed charge rate, FCR = 8.2%
  → Project number of years = 20 years
  → Cost of *steel-of-reference* = $2.0 /kg (high corrosion resistant austenitic stainless steel)

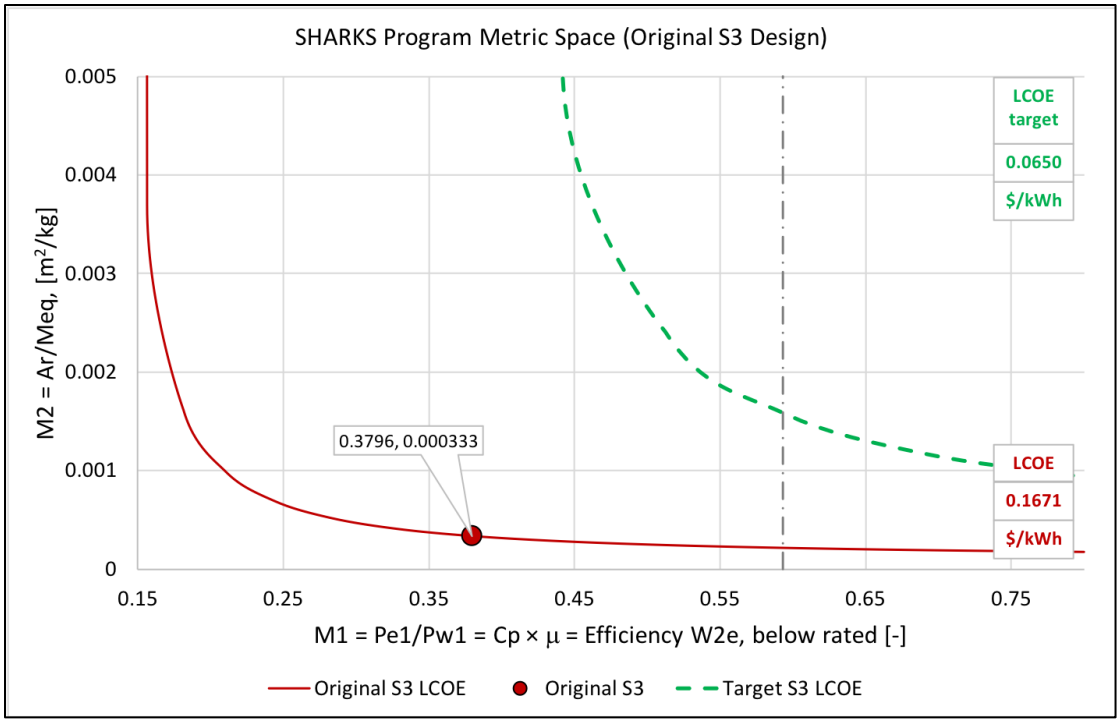

Fig. 5. System S3. A riverine energy system at utility scale.
Mississippi river at Baton Rouge, Louisiana.

<u>System S4.</u> (*Tidal energy system* at utility scale)

The Metric Space for a tidal energy system at utility scale in Alaska is shown in Fig.6. Details of the calculations are in the document "S4_SHARKS_MetricSpaceWorkbook.xlxs". The metrics M1 and M2 (circle) and the associated LCOE (solid line) are calculated next.

- *<u>Metric M1</u>*:
  The HKT of this example has a hydrodynamic coefficient of C_{pmax} = 0.45, efficiency losses of L_g = 0.03, L_{dt} = 0.035, L_w = 0, L_e = 0 and L_o = 0.0298, and availability of A_v = 0.9288. Applying eqs.(4) and (5) gives C_p = 0.45 and μ = 0.8435, which in eq.(1) gives M1 = $C_p\ \mu$ = 0.3796.

- *<u>Metric M2</u>*:
  In addition, the turbine has a swept area of A_r = 100 m^2, and the masses and factors shown in Table 6 –see also Tables 7, 8. Applying eqs.(7) and (8) results in M_{eq} = 300,737 kg, which with the swept area A_r = 100 m^2 gives a metric M2 = 0.0333×10^{-2} m^2/kg.

- *<u>Associated LCOE calculation</u>* (not needed for M1, M2):
  A pair of metrics (M1, M2) can give different LCOE results. The LCOE depends on other external parameters related to the site and economic factors. In this example, choosing the parameters given below, the associated CapEx, AEP and LCOE are: CapEx = 601,474 $/kWe, AEP = 1,424,888 kWh/yr (CF = 32.53 %), and LCOE = $0.1037/kWh (the substation and the electrical line costs are not included). The parameters are:

→ Rated electrical power per turbine, P_{er} = 500 kWe, at Rated water velocity V_r = 3.00 m/s
→ Number of turbines in array = 1
→ Site: Kootznahoo Inlet in Angoon, in Alaska, with water velocities of $V_{average}$ = 1.71 m/s, $V_{cut\text{-}in}$ = 0.50 m/s, $V_{cut\text{-}out}$ = 5.00 m/s, and low-tide depth of 11 m and width of 300 m.
→ OpEx = 197 $/kWe/yr
→ Fixed charge rate, FCR = 8.2%
→ Project number of years = 20 years
→ Cost of *steel-of-reference* = $2.0 /kg (high corrosion resistant austenitic stainless steel)

Table 6. Information for M_{eq}, System S4

j	Component	m_j	f_{tj}	f_{mj}	f_{ij}	m_{cj}
1	Rotor (blades, hub)	47492	4.0	2.80	0.06	3073
2	Nacelle (generator, drive-train, PTO, yaw, bearings, pitch…)	51958	1.0	2.80	0.06	13446
3	Structure (tower, cross-arm, columns...)	49260	1.0	8.03	0.06	5416
4	Floating system (floaters, ballast…)	58631	1.0	7.84	0.06	6587
5	Mooring system (ropes, connection…)	3013	1.0	1.72	0.12	1061
6	Anchoring/foundation system	90383	0.3	1.72	0.12	106101

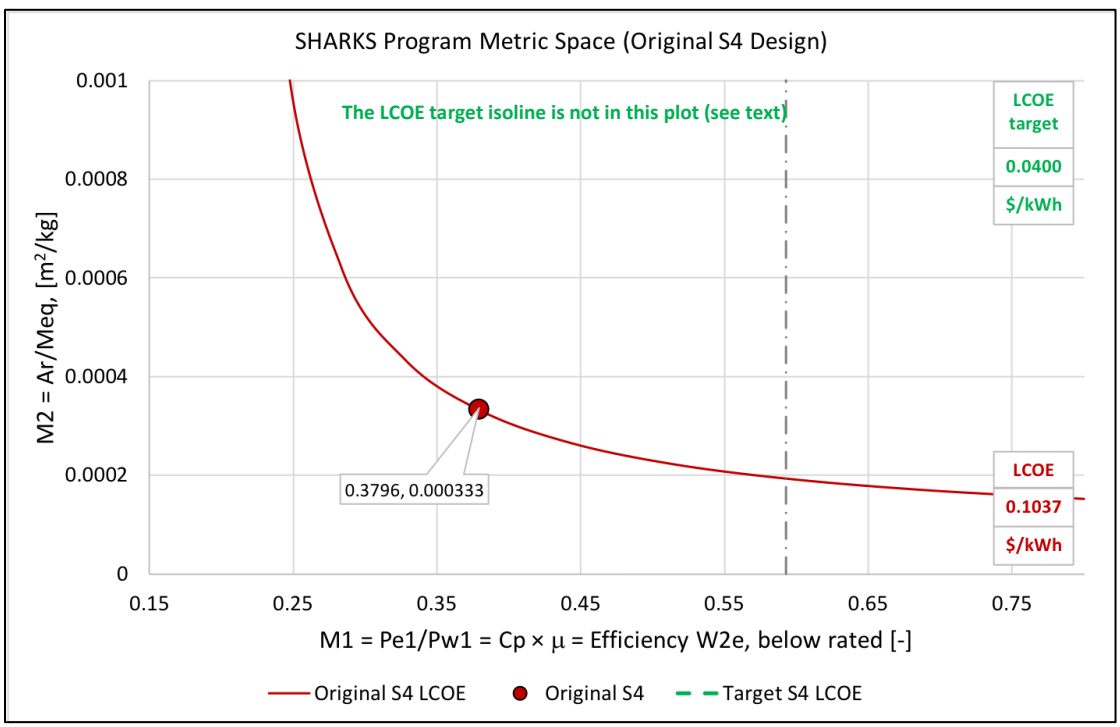

Fig. 6. System S4. A tidal energy system at utility scale.
Kootznahoo Inlet at Angoon, Alaska.

Factors

The material factors used in the previous case studies are shown in Table 7. The manufacturing and installation factors are shown in Table 8.

Table 7. Material factors (raw materials)[16]
f_t = cost original material ($/kg) / cost *steel-of-reference* ($/kg)

Material	Material factor f_t
Aluminum alloys	4.0
Brass (70Cu30Zn, annealed)	1.1
CFRP Laminate (carbon fiber reinforced polymer)	80.0
Copper alloys	1.5
GFRP Laminate (glass-fiber reinforced plastic or fiberglass)	4.0
Lead alloys	0.6
Nickel alloys	3.0
Pre-stressed concrete	0.3
Titanium alloys	22.5
Steel-of-reference, to calculate f_t factors	**1.0**

Table 8. Manufacturing and installation factors[17]
f_m = cost manufacturing of component ($/kg) / cost original material of the component ($/kg)
f_i = cost installation of component ($/kg) / cost original material of the component ($/kg)

j	Component (j = 1 to 7)	Manufacturing factor f_{mj}	Installation factor f_{ij}
1	Rotor (blades, hub)	2.80	0.06
2	Nacelle (generator, drive-train, PTO, yaw, bearings, pitch…)	2.80	0.06
3	Structure (tower, cross-arm, columns...)	8.03	0.06
4	Floating system (floaters, ballast…)	7.84	0.06
5	Mooring system (ropes, connection…)	1.72	0.12
6	Anchoring/foundation system	1.72	0.12

3. Program Performance Targets

[16] Price of stainless steel 304, 316. https://www.vishalsteel.net/stainless-steel/stainless-steel-304/stainless-steel-304/. Price of aluminum, copper and nickel alloys. High Performance Conductors Inc. (2018). http://www.iwghpc.com/pricing/Copper%20Query%202.pdf. Price of CFRP (carbon fiber reinforced polymer) laminate. https://www.compositesworld.com/blog/post/the-vexing-economics-of-carbon-fiber-manufacturing. Price of GFRP (glass fiber reinforced polymer) laminate. https://www.compositesworld.com/articles/wind-turbine-blades-glass-vs-carbon-fiber. Price of pre-stressed concrete. http://ijstc.shirazu.ac.ir/article_948_4270c00657d8397cf331af742e43ec93.pdf. Price of brass, lead and titanium alloys. http://web.mit.edu/course/3/3.11/www/modules/props.pdf

[17] Factors based on several references, including: (1) López A., Morán J. L., Núñez L. R., & Somolinos J. A. (2020). *Study of a cost model of tidal energy farms in early design phases with parametrization and numerical values. Application to a second-generation device*. Renewable and Sustainable Energy Reviews, 117, 109497; (2) Segura E., Morales R., Somolinos J.A. (2017). *Cost Assessment Methodology and Economic Viability of Tidal Energy Projects*. Energies, MDPI, 10, 1806, pp. 1-27; (3) Neary V., Previsic M., Jepsen R. et al. (2014). *Methodology for Design and Economic Analysis of Marine Energy Conversion (MEC) Technologies*. Sandia National Laboratories. Technical Report SAND2014-9040; (4) Previsic M., Bedard, R., Polagye B. (2008). *System Level Design, Performance, Cost and Economic Assessment – Alaska River In-Stream Power Plants*. EPRI RP 006 Alaska.

The State-Of-the-Art LCOE for the four case studies (S1 to S4) discussed in the previous sections are summarized in the second column of Table 9. The corresponding LCOE Program Targets for these cases are shown in the third column, and in Figures 3 to 6 (dashed green lines). Note that if a LCOE target isoline is not visible, as in Figure 6, it is because there is no mathematical solution for that isoline for a system with physically meaningful parameters (in Figure 6, the 0.040 $/kWh LCOE target cannot be achieved with an OpEx = 197 $/kW/yr. A smaller OpEx is needed in this case). Applicants to this SHARKS Program should propose new systems that achieve an LCOE equal or less than the values of the third column, or be above the corresponding LCOE isoline (Figures 3 to 6, dashed green lines), for at least one selected case study (S1 to S4). If a proposal claims a technology is applicable in multiple case studies, they must show how it meets the target LCOE in each scenario. Proposals that show an ability to achieve the target LCOE for more than one application (S1 to S4) are of special interest.

Table 9. Current and Program Targets, LCOE

System (Case studies)	Current LCOE ($/kWh)	LCOE Targets ($/kWh)
S1. *River, Remote area*	0.2115	**0.0850**
S2. *Tidal, Remote area*	0.2477	**0.1050**
S3. *River, Utility scale*	0.1671	**0.0650**
S4. *Tidal, Utility scale*	0.1037	**0.0400**

4. Technical Tasks

The Program LCOE targets outlined above (Table 9, third column) require radically new HKT designs with new technical innovations and breakthroughs. The specific impact of these innovations on LCOE can be easily seen in the Metric Space. Figure 7 shows three different Tasks (T1, T2 and T3) that can be applied to improve the LCOE of these HKT systems. Starting at the initial point or State-Of-The-Art device, with a given $M1_i$, $M2_i$ and $LCOE_i$, the T1-T2-T3 Tasks represent a series of translations in the Metric Space that moves the device closer to the target performance metric, which is the area above the final LCOE isoline, or $LCOE_f$.

Task 1 includes technological innovations that increase M1, which is the total efficiency from the kinetic energy of water to the electrical energy at the output of the turbine. Task 2 focuses on increasing M2, which is the swept area of the rotor normalized by the equivalent mass of the system. Task 3 are innovations that move down the $LCOE_f$ isolines by decreasing operation and maintenance expenses, OpEx, from $OpEx_1$ to $OpEx_2$, with $OpEx_2 < OpEx_1$. Note that improvements in each Task affect the needed improvements in the other two Tasks to achieve a given LCOE Target: e.g., a large improvement in T3 will relax the needed improvements in T1 and T2, etc. Table 10 summarizes the effect of each of these Tasks in the Metric Space.

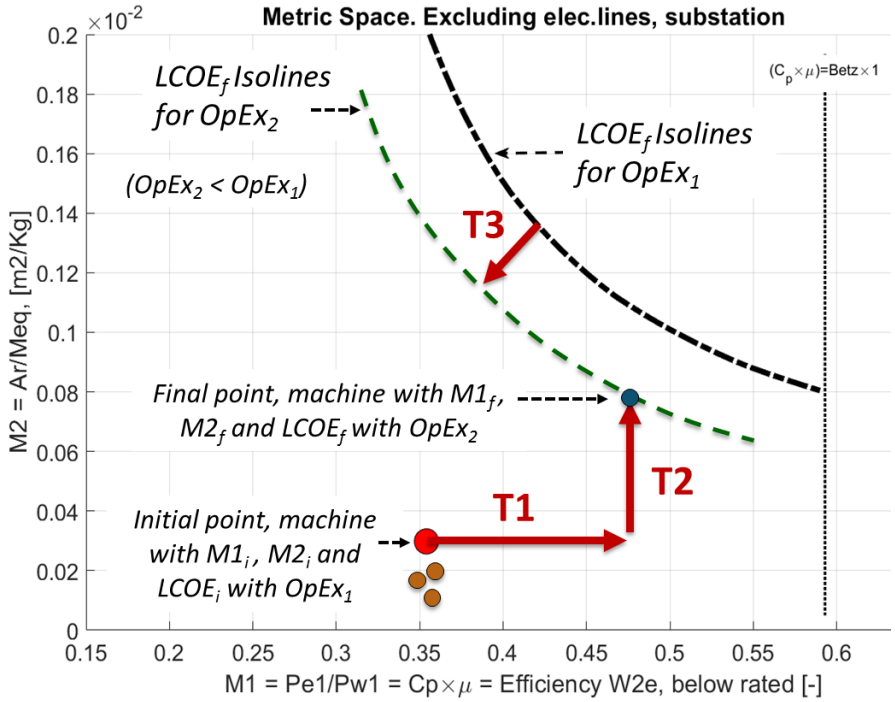

Fig. 7. Metric Space: a path example from initial (*i*) to final point (*f*), with Tasks T1, T2, T3.

The Program LCOE targets shown in Table 9 and Figures 3 to 6 can be achieved in many different ways. Following the discussion above and as an example, an improvement of about ×1.25 in M1 (Task T1), with an improvement of about ×2.0 in M2 (Task T2), and a reduction of about ×0.4 of the operation and maintenance expenses (Task T3) achieve these LCOE targets. Other combinations of improvement factors, with a different trajectory in the Metric Space, can also put the system above the corresponding $LCOE_f$ isoline and achieve these LCOE targets. The following paragraphs describe the elements that affect the T1, T2 and T3 Tasks.

Table 10. Tasks T1, T2 and T3

T1	• Increase in hydrodynamic efficiency and turbine availability • Decrease in generator, drive-train, wake and other losses → **Increase in M1**
T2	• Increase in swept area • Decrease in rotor, nacelle, cross-arm, tower, and foundation masses • Decrease in material cost, installation cost, manufacturing cost → **Increase in M2**
T3	• Decrease in OpEx → **Shift down LCOE isoline**

Task T1

Innovations in Task T1 focus on the M1 metric and result in a horizontal translation in the Metric Space. Equation (10) shows the definition of the metric M1. According to this expression, there are a number of fundamental approaches to innovations in Task T1:

1) Increase the hydrodynamic efficiency, or power coefficient C_p of the rotor.
2) Increase the turbine availability A_v, either by reducing the annual time for maintenance, or by increasing the number of months the machine is in the water, which is especially relevant for rivers that freeze or suffer harsh conditions during the melting season, or rivers that experience drastic variations in flow between seasons.
3) Decrease the losses in the electrical generator L_g, drive-train (gearbox, power electronics) L_{dt}, wake L_w, electrical lines and transformers L_e, or other losses L_o, like cavitation effects, etc.

$$\boldsymbol{M_1} = C_p\,\mu = C_p\left(1 - L_g\right)\left(1 - L_{dt}\right)\ \left(1 - L_w\right)\left(1 - L_e\right)\left(1 - L_o\right) A_v \qquad (10)$$

This Task T1 could include advanced turbine blade design to increase efficiency or avoid cavitation, novel drive-train or electrical generators that reduce system losses, methods to increase the system availability, or a combination of multiple innovations in these spaces. Another approaches to this Task could include optimizing an array or group of devices to take advantage of local blockage effects,[18] and improved maximum power point tracking (MPPT) control algorithms that can increase the hydrodynamic efficiency of the system.

Task T2

Task T2 works towards increasing the M2 metric to translate a design vertically in the Metric Space. In order to improve M2, projects must increase the ratio between the swept area A_r of the rotor to the equivalent mass M_{eq} of the system –see eq.(11). As explained in previous sections, *equivalent mass* includes the mass m_c of each component, and factors that represent the cost of specific materials f_t used in the device, manufacturing costs f_m, and installation costs f_i. Innovations in this Task focus on either increasing the swept area of the rotor, reducing the equivalent mass of the device, or both. This could include advanced materials that are resistant to marine/river environments, novel manufacturing techniques that reduce fabrication costs, or direct reductions in mass through approaches such as control co-design.

$$\boldsymbol{M_2} = \frac{A_r}{M_{eq}} = \frac{A_r}{\sum_{j=1}^{z} f_{tj}\left(1 + f_{mj} + f_{ij}\right) m_{cj}} \qquad (11)$$

Task T2 also encompasses innovations in the installation method of hydrokinetic turbines. Installation costs for these devices remain high due to difficulties in working in aquatic environments, and a small or nonexistent window with low flow speeds. Approaches to

[18] Nishino, T and Willden R., (2012). The Efficiency of an Array of Tidal Turbines Blocking a Wide Channel. Journal of Fluid Mechanics, Vol.708, pp.596-606.

minimize installation costs could include automatic installation systems, advanced bottom-fixing or mooring techniques, or systems designed to allow for installation within active flows.

Task T3

Technical innovations in Task T3 do not translate the device within the Metric Space, instead they move the LCOE isoline down and make the target performance metrics easier to achieve. The primary method to shift down the LCOE Isoline is to develop a system designed to reduce operation and maintenance expenditures (OpEx) –see eq.(12). OpEx is a major cost contributor for hydrokinetic turbines, and prohibitively high OpEx is a critical barrier to the growth of the industry.

$$\boldsymbol{LCOE} = \frac{FCR\ CapEx + OpEx}{AEP} \tag{12}$$

Approaches to reducing OpEx include, but are not limited to, designing systems that are easy to access or remove from the environment for maintenance, systems that are reinforced for robust operation in harsh environments, intelligent condition monitoring and predictive maintenance approaches, and autonomous systems to transit to a maintenance facility, re-deploy after routine maintenance, or other autonomous solutions to reduce operational costs. A critical OpEx concern for systems deployed in aquatic environments is degradation of structure or performance due to corrosion and biofouling. The approaches described above can be used to mitigate these issues; through the design of the HKT or by comprehensive system-health monitoring.

The case studies outlined in the previous sections, and the associated Metric Space workbooks, show that the OpEx is a critical factor in reducing LCOE for these devices (Task T3). Due to this fact, applicants in that space will need to address OpEx to achieve the cost targets. The concept of designing for OpEx is also core to the philosophy of the program, both because of the need to reduce it in order to achieve cost competitiveness and the importance of reliability to systems deployed in remote areas.

Table 11. Tasks T0, including requirements (T0a) and recommendations (T0b)

	Tasks T0	*Description*
Requirements T0a	**T0a.1**	Minimum environmental impact: animals, sediments, noise, oil, blades
	T0a.2	Designs ready for micro-grid connection: voltage and frequency control
	T0a.3	Designs with a high level of resiliency/reliability
Recommendations T0b	**T0b.1**	Bio-fouling and corrosion resistance
	T0b.2	Low visible profile and flexibility in shared use waterways
	T0b.3	Designs that resist or avoids ice riverbed scouring
	T0b.4	Designs that resist or avoids solid debris
	T0b.5	Design for rapid deployment or removal/re-installation in water

Task T0

Besides the three tasks described above (T1, T2, T3), the SHARKS Program also includes some additional requirements and recommendations clustered as Task T0. Table 11 shows the requirements (T0a) and recommendations (T0b) under this Task T0.

Task T0a.1. This is a requirement. The new designs proposed to the SHARKS program must be environmentally friendly. Proposals have to show how the new systems take into account risks that involve the environment, reducing as much as possible the impact of the new HKTs on the water purity, local sediment transport patterns, acoustics and noise, marine life, mammals, and fish migration patterns. Aspects to consider are systems with no oil or biodegradable oil, arrays with configurations that do not alter the local sediments, turbines with no blades or that operate at a rotor velocity low enough to reduce the potential impact on fish and mammals, systems with low acoustic noise, fish-presence sensors and control systems to stop the turbines under the presence of fish or mammals, etc.

It is understood that not all of the environmental factors listed above will be considered by every applicant, and the nature of the proposed device and area it is designed for will determine the environmental impacts that are critical to examine. With that in mind, it is required that proposals consider the environmental impact of the system they put forward. This is especially true for systems deployed in remote areas where the waterways containing the energy resource may also be critical sources of food, transportation, and sites of cultural significance.

Task T0a.2. This is a requirement. The new designs proposed to the SHARKS program must be ready for micro-grid connection. Proposals have to include the power electronics systems to control the active and reactive power at the point of interconnection of the turbine to the micro-grid. This will allow control of, or help the operator to control, the frequency and the voltage of the micro-grid. These characteristics are especially relevant for HKTs in remote areas, with a very weak grid or no grid connection at all. It is important to note that even applicants proposing systems within the 'S3' and 'S4' case studies (Utility scale cases) must develop systems that are ready for connection to a micro-grid.

Task T0a.3. This is a requirement. The new designs proposed to the SHARKS program must show a high level of resiliency and reliability. This is especially important for remote areas, where it may be very expensive or otherwise impractical to transport a trained technician to perform routine/unplanned system repairs. In such remote areas the HKT could be the only electrical generator available for the community, increasing the need for dependability.

Task T0b.1. This is a recommendation. The new designs proposed to the SHARKS program can include bio-fouling and corrosion resistance solutions. These aspects will be considered of interest in the evaluation process.

Task T0b.2. This is a recommendation. New systems proposed to the SHARKS program can include designs that minimize the visible profile of the system and/or the below water footprint of the system, ~~and are~~ making them flexible for use in waterways with multiple shared uses. Technical aspects could include but are not limited to systems that are submerged to a depth that allows vessels to safely travel above the HKT and required infrastructure, or dense array

spacing allowing for a small horizontal footprint and for vessels to easily avoid the occupied area. If the proposed device is designed with this in mind, please provide a description of the overall footprint of the device. This should be described relative to both swept area of the rotor and depth of the device. ~~This~~ These aspects will be considered of interest in the evaluation process.

Task T0b.3. This is a recommendation. The new systems proposed to the SHARKS program can include designs that resist or avoid ice riverbed scouring problems. These aspects will be considered of interest in the evaluation process.

Task T0b.4. This is a recommendation. The new systems proposed to the SHARKS program can include designs that resist or avoid solid debris problems. These aspects will be considered of interest in the evaluation process.

Task T0b.5. This is a recommendation. The new designs proposed to the SHARKS program can include solutions to speed up (1) the deployment of the system in the water, or (2) the removal and re-installation of the system in the water. These aspects will be considered of interest in the evaluation process.

E. APPROACH AND DESIGN PHILOSOPHY

The SHARKS Program seeks a multi-disciplinary team approach to design the new hydrokinetic turbine systems for tidal and/or riverine applications. Teams are encouraged to use Control Co-Design (CCD), Co-Design (CD) and Designing-For-OpEx (DFO) approaches to develop the new HKTs able to achieve the LCOE targets proposed in this Program. A brief introduction to these three concepts is presented next.

Control engineering is the application of mathematics, physics and technology towards autonomous control of physical systems. Control engineers take data about system status and performance, and use microprocessors, various sensors, algorithms, circuits and actuators to improve system conditions and, ultimately, regulate variables automatically. The system can include mechanical and electrical components, chemical and biological characteristics, thermodynamics and fluid dynamics, aero- and hydro-dynamics, network interactions, and more –see Fig.8.

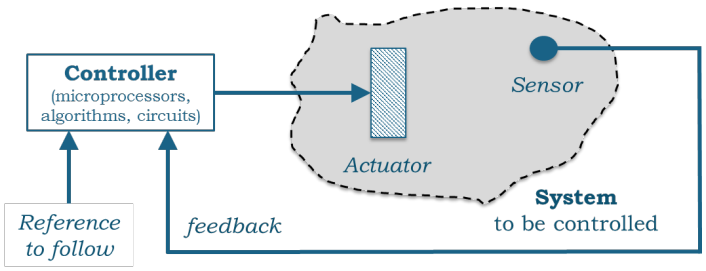

Fig. 8. Control system.

Fundamental to this program is that control engineering is not limited to finding algorithms to regulate existing systems. It can be used to design an entirely new system from the ground up. Instead of the classical design method, where each engineering team (mechanical, electrical, hydrodynamics, control, etc.) is an independent step in a sequential process –see Fig.9a, Control Co-Design (CCD) brings together various technical disciplines to work concurrently from the start –see Fig.9b.[19,20]

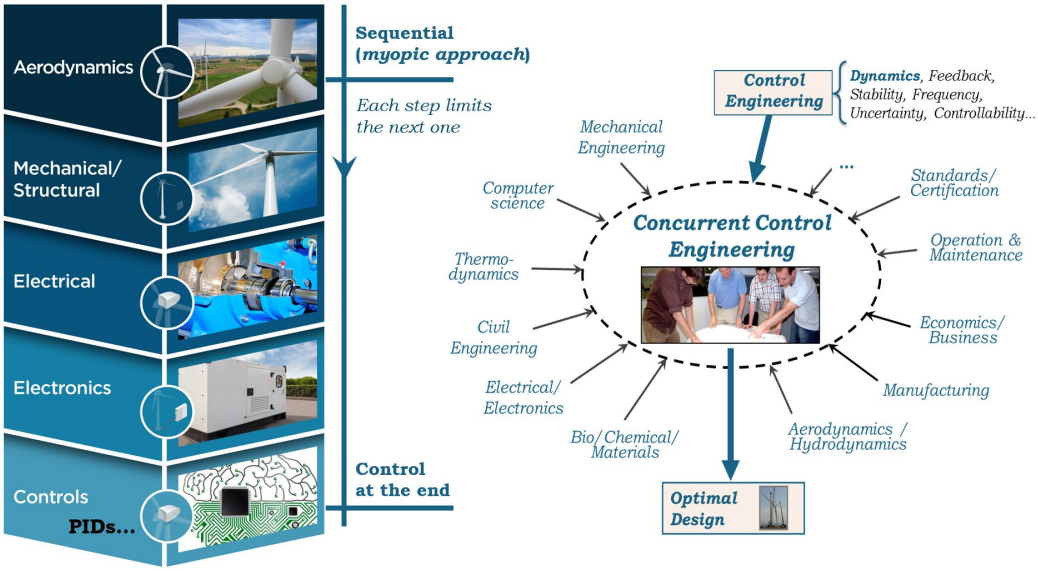

Fig. 9. (a) Classical sequential design process vs. (b) Control Co-Design.

Multidisciplinary systems cannot be fully optimized unless sub-system interactions are considered in the system optimization, which is particularly difficult when system dynamics are involved. CCD techniques consider these dynamic sub-system interactions from the very beginning of the design, and proposes optimal solutions that are not achievable otherwise. This methodology enables a more optimal design—with better system dynamics and controllability, among other advantages – that often results in lower system cost and improved reliability.

Several CCD techniques to design new optimal HKT solutions are considered in this program – see Fig.10, including: (a) Control-inspired paradigms, (b) Co-optimization techniques and (c) Co-simulation methods. Control-inspired paradigms incorporate basic control concepts and bio-inspired ideas in the design, including stability principles, resonance mode damping, bandwidth, non-minimum phase characteristics, multi-input multi-output coupling, observability, controllability and others.[21] Co-optimization techniques propose an optimization exercise

[19] Garcia-Sanz M. (2019). Control Co-Design: an engineering game changer. Advanced Control for Applications, Wiley, Vol. 1, Num. 1.
[20] Starting in January 2018, ARPA-E began challenging the research and industrial communities to develop new and disruptive Control Co-Design solutions for a large variety of applications (2018 Summit, CCD Workshop for "Wind, Tidal and Wave Energy Systems", ATLAS competition, ATLANTIS Industry day, ATLANTIS Program, Ocean Week).
[21] Mazumdar, A., Asada, H.H. (2014). *Control-configured design of spheroidal, appendage-free, underwater vehicles*. IEEE Transactions on Robotics, Vol. 30, No. 2, pp. 448-460.

where the plant configuration, plant dynamics and controller design are incorporated in a global cost function or in a nested-iterative optimization process, with the possibility of experiments to adjust variables.[22] Co-simulation methodologies deal with iterative multi-physics dynamic simulation processes.[23]

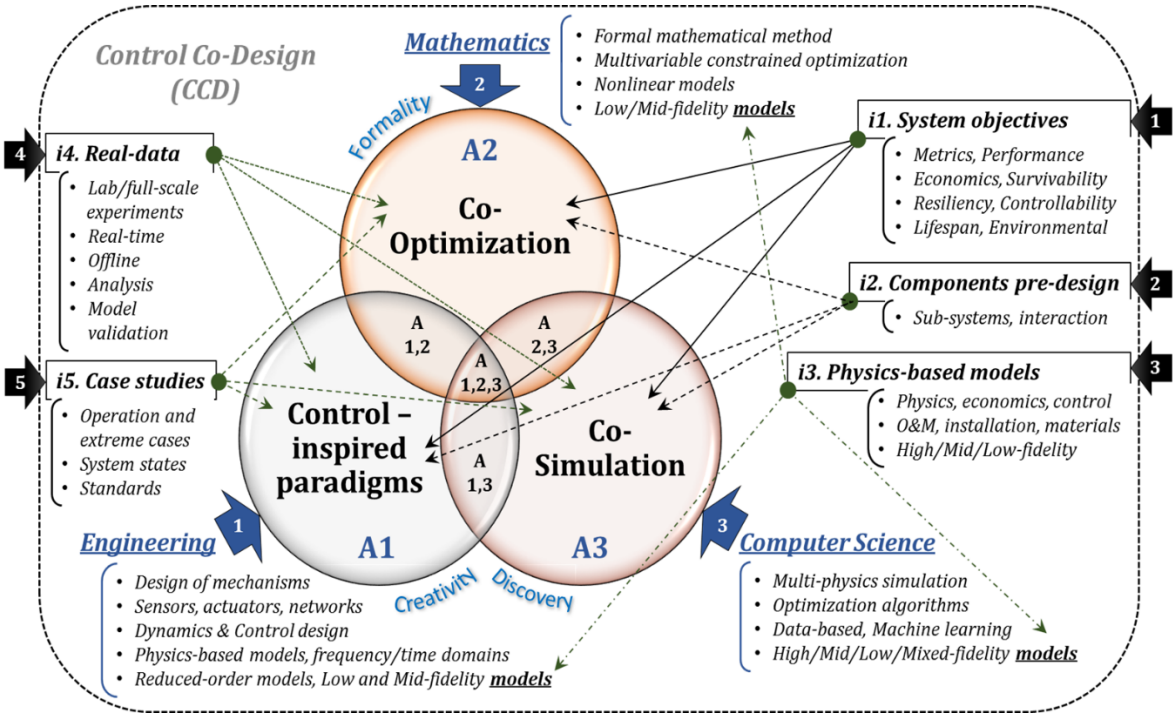

Fig. 10. Control Co-Design areas: Control-inspired paradigms, Co-optimization, Co-simulation[24]

The highly coupled dynamics involved in the design of HKTs make this problem an ideal candidate for the CCD approach. HKTs are composed of many sub-systems that interact dynamically among each other: rotor, drive-train, electrical generator, power electronics, substation, nacelle, structure, floaters, mooring system, hydrodynamics, grid and control systems. As a rule, the higher the sub-system dynamic interactions, the more effective and needed the control co-design methodology.

In a similar way, Co-Design (CD) is a general philosophy that applies a concurrent engineering methodology to design multi-disciplinary systems, with a particular emphasis on specific coupled spaces such as electro-mechanical systems, integrated hydro-structural systems, bio-hydro-mechanical systems, etc. This approach is especially important when the physics of the various different disciplines have disparate mathematical descriptions and require multiple

[22] Allison, J.T., Guo, T., Han, Z. (2014). *Co-Design of an Active Suspension Using Simultaneous Dynamic Optimization*. ASME. Journal of Mechanical Design, Vol.136, No.8, pp. 081003.1 – 081003.14.
[23] Kaslusky,S., Sabatino,D., Zeidner,L. (2007). *ITAPS: A process and toolset to support aircraft level system integration studies*. 45th AIAA Aerospace Sciences Meeting and Exhibit, AIAA 2007-1394, Reno, Nevada.
[24] Garcia-Sanz M. (2019). Control Co-Design: an engineering game changer. Advanced Control for Applications, Wiley, Vol. 1, Num. 1.

areas of expertise to understand and optimize the system. The impact of Co-Design is highest when consideration of the coupled system dynamics, and concurrent work in those coupled disciplines allows engineers to arrive at designs that are fundamentally different than if a sequential approach was taken.

Finally, Designing-For-OpEx (DFO) is a methodology that put the emphasis on the operation and maintenance aspects of the system. As seen in the previous sections, current HKT designs have a high cost for operation and maintenance (OpEx), which significantly affects the LCOE. The DFO approach helps to reduce the LCOE to economically attractive levels by proposing HKT design solutions to optimize the OpEx. Of particular interest here are the impacts of bio-fouling and corrosion resistance.

As stated in Section I.D.4, the reduction of OpEx is critical to achieving the LCOE targets outlined in this FOA. This is most stark for utility scale tidal energy systems (case S4), as the case study shows that without a reduction in OpEx the target LCOE metric is not achievable. However, OpEx is a significant contributor to cost for any of the four case studies. Reducing operation and maintenance costs not only drives the LCOE towards the target values, it also opens up more potential markets to hydrokinetic devices. For a system deployed in remote or isolated areas, system reliability is paramount to success. This is why DFO is core to the philosophy of the SHARKS Program, and designs that utilize this process will be considered of interest in the evaluation process.

The design philosophies described in this section are critical to designing HKT that are transformative. They address the core technical barriers preventing HKT from being an economically attractive energy solution. However, this program aims to develop new holistic HKT systems that represent a radical improvement over state-of-the-art. To this end, applicants must describe how they will utilize the design philosophies and approaches described above to design a specific, innovative system. The description of the hydrokinetic turbine itself is fundamental to the program's goals.

F. AREAS OF EXPERTISE & MULTIDISCIPLINARY TEAMS

In order to achieve the program targets (Section I.D.3), by means of the four defined Tasks T0-T3 (Section I.D.4), and while taking advantage of the CCD, CD and DFO methodologies described above (Section I.E), teams will benefit from a wide range of technical experience. The following list of technical areas can be used to guide the applicants throughout the potential team building process: (i) hydrodynamics; (ii) mechanical engineering; (iii) electrical generators, power electronics and grid connection; (iv) systems and control engineering; (v) materials and corrosion; (vi) anchoring and mooring systems; (vii) numerical simulation; (viii) experimental testing; (ix) techno-economic analysis; (x) environmental impact attenuation; (xi) rapid deployment in water; (xii) operation and maintenance; (xiii) control co-design.

Applicants may find that certain technical areas listed above are not relevant for the success of their project. Conversely, applicants may determine important technical areas that do not appear in the list above. ARPA–E strongly encourages outstanding scientists and engineers from different organizations, scientific disciplines and technology sectors to form new project teams. Interdisciplinary and cross-sector collaboration spanning organizational boundaries enables and accelerates the achievement of scientific and technological outcomes that were previously viewed as extremely difficult or impossible.

To assist in the formation of multi-disciplinary teams, ARPA-E developed a Teaming Partner List. The Teaming Partner List is available on ARPA–E eXCHANGE (http://ARPA–E-foa.energy.gov), ARPA–E's online application portal will be updated periodically, until the close of the Full Application period, to reflect the addition of new Teaming Partners who have provided their information.

G. PROOF OF CONCEPT EXPERIMENTS

Projects in this program are required to propose some form of experimentation during their period of performance to provide proof-of-concept validation of the device's underlying hypotheses. The 'underlying hypotheses' are fundamental technical innovations that result in significant changes in the LCOE or deployability of the HKT under Tasks T0 to T3.

It is understood that the nature of these experiments may differ depending on the device being proposed and the sub-systems that need to be tested. Physical experiments could take place in either laboratory facilities, tanks, or real world environments. However, they must be designed to test the underlying assumptions teams make when estimating the LCOE of their novel devices.

For instance, if a team proposes a novel turbine design that allows for higher tip speeds before cavitation is induced, they may test a scaled model of that turbine in a water channel facility. Similarly, if a project develops a generator with significant reductions in losses, they may also propose an experiment to test that generator to demonstrate the benefit it provides their device. Projects are expected to highlight what they see as the fundamental hypotheses of their device and propose experiments to validate the performance of those components.

Water Power Technology Office (DOE-WPTO) TEAMER Program

For the experimental validation mentioned above, and as part of the process of identifying test facilities, teams may want to look into the program U.S. Testing Expertise and Access for Marine Energy Research (TEAMER), recently announced by the Department of Energy's Water Power Technologies Office (WPTO). The objective of TEAMER, sponsored by the U.S. Department of Energy (DOE) and directed by the Pacific Ocean Energy Trust (POET), is to accelerate the viability of marine renewables by providing access to the nation's best facilities and expertise in order to solve challenges, build knowledge, and foster innovation. TEAMER is envisioned to include a wide array of U.S. Marine Renewable Energy (MRE) and MRE-relevant testing facilities including lab and bench-scale facilities; wave tanks, basins, and flumes; and open ocean/field-

based testing sites. TEAMER will also support requests for technical expertise to assist with numerical modeling, data collection, and analysis.

TEAMER may offer a series of open Requests for Technical Support (RFTS's) starting in mid-2020. In order to better align with the timeframes needed by various stakeholders, the RFTS calls are currently planned to occur 2-3 times per year (roughly every 4-6 months) with an emphasis on rapid implementation and results. The program is currently in the process of qualifying potential test facilities to be included in the TEAMER network and it is anticipated that the TEAMER facility network will expand over time. The TEAMER Network Director, POET, will be continuously reviewing and qualifying new facilities based on clearly defined facility network criteria, as well as routinely evaluating existing facilities for compliance with the TEAMER criteria. Applicants to the ARPA-E SHARKS Program are encouraged to look at the WPTO TEAMER Program to better identify potential facilities for testing the new systems and potentially accelerate the experimental validation. More information about the facilities and application process can be found on the TEAMER website (https://teamer-us.org).

H. SHARKS PROGRAM STRUCTURE

Projects under the SHARKS Program will develop radically new designs of hydrokinetic turbines for at least one of the following applications:

- S1 (Riverine energy converters for remote areas without grid, ready for micro-grids),
- S2 (Tidal energy converters for remote areas without grid, ready for micro-grids),
- S3 (Riverine energy converters for large utility scale application, with grid connection),
- S4 (Tidal energy converters for large utility scale application, with grid connection).

While it is required that projects identify at least one application (S1 to S4) for their proposed design, they may show how it achieves the cost targets across multiple applications. If a project chooses to do this, they should include justifications of the achieved LCOE for each application.

Submissions to the SHARKS Program must, at a minimum, include the following:

(a) A new HKT design that achieves at least one of the program target metrics described in Section I.D.3: the point M1, M2 of the new HKT must be above the LCOE isoline target in the Metric Space, being 0.085 $/kWh for S1, 0.105 $/kWh for S2, 0.065 $/kWh for S3, and 0.040 $/kWh for S4 –see Table 9.

(b) An analysis of the aspects to be validated experimentally to reduce the risk and improve the final system, and the design of scale prototypes following the appropriate scale methodology (Reynolds number, Froude number, or others).

(c) The experimental validation plan, test execution and conclusions to prove the main concepts and scale prototypes of the new technology.

(d) A techno-economic analysis, risk analysis, and sensitivity analysis of the new HKT.

(e) A multi-disciplinary team composed of all the critical areas of expertise necessary to design and test the new HKTs.

I. MULTIDISCIPLINARY RESEARCH AND COLLABORATION

The success of the SHARKS Program depends on a broad range of technical communities working together. These communities include, but are not limited to control and systems engineering, control co-design, co-design, operation and maintenance, installation, hydrodynamics, electrical and mechanical systems, power electronics, electrical generators, structural engineering, naval engineering, materials, modeling, optimization, economics, multi-scale and multi-physics computer algorithms, distributed sensors, intelligent signal processing and actuator networks.

Managing research projects across multidisciplinary and organizational boundaries is a subject of substantial discussion in the research community and funding agencies. Aspects like trade-offs between the amount of management needed for collaboration and scientific work, optimal costs of coordination and relationship development, and tools to organize work and be productive in these projects are some of the key characteristics that have to be addressed at the beginning of the collaboration.[25,26,27]

II. AWARD INFORMATION

A. AWARD OVERVIEW

ARPA-E expects to make approximately $38 million available for new awards, to be shared between FOAs DE-FOA-0002334 and DE-FOA-0002335, subject to the availability of appropriated funds. ARPA-E anticipates making approximately 8-12 awards under FOAs DE-FOA-0002334 and DE-FOA-0002335, combined. ARPA-E may, at its discretion, issue one, multiple, or no awards.

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

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

[25] Cummings, J., Kiesler, S. (2005). Collaborative research across disciplinary and organizational boundaries. Social Studies of Science, vol. 35, no. 5, pp. 703-722.
[26] Adams, J. (2012). The rise of research networks. Nature, vol. 490, pp. 335-336.
[27] Lustig, L., Ponzielli, R., Tang, P., Sathiamoorthy, S., Inamoto, I., Shin, J., Penn, L., Chan, W. (2015). Guiding principles for a successful multidisciplinary research collaboration. Future Sci. OA, vol.1, no. 3.

Applicants must apply for a Combined Phase I/II/IIS Award. Combined Phase I/II/IIS Awards are intended to develop transformational technologies with disruptive commercial potential. Such commercial potential may be evidenced by (1) the likelihood of follow-on funding by private or non-SBIR/STTR sources if the project is successful, or (2) the Small Business Concern's record of successfully commercializing technologies developed under prior SBIR/STTR awards. Phase IIS awards are a "sequential" (i.e., additional) Phase II award, intended to allow the continued development of promising energy technologies. Combined Phase I/II/IIS awards may be funded up to $3,677,642. Funding amounts will be consistent with the Phase I and Phase II limits posted on the SBA's website.[28]

ARPA-E reserves the right to select all or part of a proposed project (i.e. only Phase I, or only Phase I and Phase II). In the event that ARPA-E selects Phase I only or Phase I/II only, then the maximum award amount for a Phase I award is $256,580 and the maximum amount for a Phase I/II award is $1,967,111.

The period of performance for funding agreements may not exceed 36 months. ARPA-E expects the start date for funding agreements to be February 2021 or as negotiated.

B. RENEWAL AWARDS

At ARPA-E's sole discretion, awards resulting from this FOA may be renewed by adding one or more budget periods, extending the period of performance of the initial award, or issuing a new award. Renewal funding is contingent on: (1) availability of funds appropriated by Congress for the purpose of this program; (2) substantial progress towards meeting the objectives of the approved application; (3) submittal of required reports; (4) compliance with the terms and conditions of the award; (5) ARPA-E approval of a renewal application; and (6) other factors identified by the Agency at the time it solicits a renewal application.

C. ARPA-E FUNDING AGREEMENTS

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

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

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[28] For current SBIR Phase I and Phase II funding amounts, see https://www.sbir.gov/about/about-sbir. For current STTR Phase I and Phase II funding amounts, see https://www.sbir.gov/about/about-sttr. Phase IIS funding amounts are equal to Phase II funding amounts for both SBIR and STTR awards.

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

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

Phase I will be made as a fixed-amount award. Phase II and Phase IIS of Combined Phase I/II/IIS awards will be made on a cost-reimbursement basis.

ARPA-E encourages Prime Recipients to review the Model Cooperative Agreement, which is available at https://arpa-e.energy.gov/?q=site-page/funding-agreements.

D. STATEMENT OF SUBSTANTIAL INVOLVEMENT

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

- Project Teams must adhere to ARPA-E's agency-specific and programmatic requirements.
- ARPA-E may intervene at any time in the conduct or performance of work under an award.
- ARPA-E does not limit its involvement to the administrative requirements of an award. Instead, ARPA-E has substantial involvement in the direction and redirection of the technical aspects of the project as a whole.
- ARPA-E may, at its sole discretion, modify or terminate projects that fail to achieve predetermined Go/No Go decision points or technical milestones and deliverables.
- During award negotiations, ARPA-E Program Directors and Prime Recipients mutually establish an aggressive schedule of quantitative milestones and deliverables that must be met every quarter. In addition, ARPA-E will negotiate and establish "Go/No-Go" milestones for each project. If the Prime Recipient fails to achieve any of the "Go/No-Go" milestones or technical milestones and deliverables as determined by the ARPA-E Contracting Officer, ARPA-E may – at its discretion - renegotiate the statement of project objectives or schedule of technical milestones and deliverables for the project. In the alternative, ARPA-E may suspend or terminate the award in accordance with 2 C.F.R. §§ 200.338 and 200.339.
- ARPA-E may provide guidance and/or assistance to the Prime Recipient to accelerate the commercial deployment of ARPA-E-funded technologies. Guidance and assistance provided by ARPA-E may include coordination with other Government agencies and nonprofits[30] to provide mentoring and networking opportunities for Prime Recipients. ARPA-E may also organize and sponsor events to educate Prime Recipients about key barriers to the deployment of their ARPA-E-funded technologies. In addition, ARPA-E may establish collaborations with private and public entities to provide continued support for the development and deployment of ARPA-E-funded technologies.

[30] The term "nonprofit organization" or "nonprofit" is defined in Section IX.

III. ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS

1. SBIR ELIGIBILITY

SBA rules and guidelines govern eligibility to apply to this FOA. For information on program eligibility, please refer to SBA's "Guide to SBIR/ STTR Program Eligibility" available at http://sbir.gov/sites/default/files/elig_size_compliance_guide.pdf.

A Small Business Concern[31] may apply as a Standalone Applicant[32] or as the lead organization for a Project Team.[33] If applying as the lead organization, the Small Business Concern must perform at least 66.7% of the work in Phase I and at least 50% of the work in Phase II and Phase IIS, as measured by the Total Project Cost.[34]

For information on eligibility as a Small Business Concern, please refer to SBA's website (https://www.sba.gov/content/am-i-small-business-concern).

2. STTR ELIGIBILITY

SBA rules and guidelines govern eligibility to apply to this FOA. For information on program eligibility, please refer to SBA's "Guide to SBIR/ STTR Program Eligibility" available at http://sbir.gov/sites/default/files/elig_size_compliance_guide.pdf.

Only a Small Business Concern may apply as the lead organization for a Project Team. The Small Business Concern must perform at least 40% of the work in Phase I, Phase II, and/or Phase IIS, as measured by the Total Project Cost. A single Research Institution must perform at

[31] A Small Business Concern is a for-profit entity that: (1) maintains a place of business located in the United States; (2) operates primarily within the United States or makes a significant contribution to the United States economy through payment of taxes or use of American products, materials or labor; (3) is an individual proprietorship, partnership, corporation, limited liability company, joint venture, association, trust, or cooperative; and (4) meets the size eligibility requirements set forth in 13 C.F.R. § 121.702. Where the entity is formed as a joint venture, there can be no more than 49% participation by foreign business entities in the joint venture.

[32] A "Standalone Applicant" is an Applicant that applies for funding on its own, not as part of a Project Team.

[33] 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 any of the research and development work under an ARPA-E funding agreement, whether or not costs of performing the research and development work are being reimbursed under any agreement.

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

least 30% of the work in Phase I, Phase II, and/or Phase IIS, as measured by the Total Project Cost. Please refer to Section III.B.1 of the FOA for guidance on Research Institutions' participation in STTR projects.

For information on eligibility as a Small Business Concern, please refer to SBA's website (https://www.sba.gov/content/am-i-small-business-concern).

3. JOINT SBIR AND STTR ELIGIBILITY

An Applicant that meets both the SBIR and STTR eligibility criteria above may request both SBIR and STTR funding if:

- The Small Business Concern is partnered with a Research Institution;
- The Small Business Concern performs at least 66.7% of the work in Phase I and at least 50% of the work in Phase II and/or Phase IIS (as applicable), as measured by the Total Project Cost;
- The partnering Research Institution performs 30-33.3% of the work in Phase I and 30-50% of the work in Phase II and/or Phase IIS (as applicable), as measured by the Total Project Cost; and
- The Principal Investigator (PI) is employed by the Small Business Concern. If the PI is employed by the Research Institution, submissions will be considered only under the STTR program.

B. ELIGIBLE SUBRECIPIENTS

1. RESEARCH INSTITUTIONS

A Research Institution[35] may apply only as a member of a Project Team (i.e., as a Subrecipient to a Small Business Concern). In STTR projects, a single Research Institution must perform at least 30%, but no more than 60%, of the work under the award in Phase I, Phase II, and/or Phase IIS (as applicable), as measured by the Total Project Cost.

2. OTHER PROJECT TEAM MEMBERS

The following entities are eligible to apply for SBIR/STTR funding as a member of a Project Team (i.e., as a Subrecipient to a Small Business Concern):

- For-profit entities, including Small Business Concerns

[35] Research Institutions include FFRDCs, nonprofit educational institutions, and other nonprofit research organizations owned and operated exclusively for scientific purposes. Eligible Research Institutions must maintain a place of business in the United States, operate primarily in the United States, or make a significant contribution to the U.S. economy through the payment of taxes or use of American products, materials, or labor.

- Nonprofits other than Research Institutions[36]
- Government-Owned, Government Operated laboratories (GOGOs)
- State, local, and tribal government entities
- Foreign entities[37]

In SBIR projects, Project Team members other than the lead organization, including but not limited to Research Institutions, may collectively perform no more than 33.3% of the work under the award in Phase I and no more than 50% of the work under the award in Phase II and/or Phase IIS. This includes efforts performed by Research Institutions.

In STTR projects, Project Team members (other than the lead organization and the partnering Research Institution) may collectively perform no more than 30% of work under the award in Phase I, Phase II, and/or Phase IIS.

C. ELIGIBLE PRINCIPAL INVESTIGATORS

1. SBIR

For the duration of the award, the PI for the proposed project (or, if multiple PIs, at least one PI) must be employed by, and perform more than 50% of his or her work for, the Prime Recipient. The Contracting Officer may waive this requirement or approve the substitution of the PI after consultation with the ARPA-E SBIR/STTR Program Director.

For projects with multiple PIs, at least one PI must meet the primary employment requirement. That PI will serve as the contact PI for the Project Team.

2. STTR

For the duration of the award, the PI for the proposed project (or, if multiple PIs, at least one PI) must be employed by, and perform more than 50% his or her work for, the Prime Recipient or the partnering Research Institution. The Contracting Officer may waive this requirement or approve the substitution of the PI after consultation with the ARPA-E SBIR/STTR Program Director.

For projects with multiple PIs, at least one PI must meet the primary employment requirement. That PI will serve as the contact PI for the Project Team.

[36]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 Subrecipient.
[37] All work by foreign entities must be performed by subsidiaries or affiliates incorporated in the United States (see Section IV.G.6 of the FOA). However, the Applicant may request a waiver of this requirement in the Business Assurances & Disclosures Form submitted with the Full Application.

D. ELIGIBILITY OF PRIOR SBIR AND STTR AWARDEES: SBA BENCHMARKS ON PROGRESS TOWARDS COMMERCIALIZATION

Applicants awarded multiple prior SBIR or STTR awards must meet DOE's benchmark requirements for progress towards commercialization before ARPA-E may issue a new Phase I award. For purposes of this requirement, Applicants are assessed using their prior Phase I and Phase II SBIR and STTR awards across all SBIR agencies. If an awardee fails to meet either of the benchmarks, that awardee is not eligible for an SBIR or STTR Phase I award and any Phase II award for a period of one year from the time of the determination.

ARPA-E applies two benchmark rates addressing an Applicant's progress towards commercialization: (1) the DOE Phase II Transition Rate Benchmark and (2) the SBA Commercialization Rate Benchmark:

- The DOE Phase II Transition Rate Benchmark sets the minimum required number of Phase II awards the Applicant must have received for a given number of Phase I awards received during the specified period. **This Transition Rate Benchmark applies only to Phase I Applicants that have received more than 20 Phase I awards during the last five (5) year period, excluding the most recently completed fiscal year**. DOE's Phase II Transition Rate Benchmark requires that 25% of all Phase I awards received over the past five years transition to Phase II awards.

  The SBIR/STTR Phase II transition rates and commercialization rates are calculated using the data in the SBA's TechNet database. For the purpose of these benchmark requirements, awardee firms are assessed once a year, on June 1st, using their prior SBIR and STTR awards across all agencies. SBA makes this tabulation of awardee transition rates and commercialization rates available to all federal agencies. ARPA-E uses this tabulation to determine which companies do not meet the DOE benchmark rates and are, therefore, ineligible to receive new Phase I awards.

- The Commercialization Rate Benchmark sets the minimum Phase III[38] commercialization results that an Applicant must have achieved from work it performed under prior Phase II awards (i.e. this measures an Applicant's progress from Phase II or Phase IIS to Phase III awards). **This benchmark requirement applies only to Applicants that have received**

[38] Phase III refers to work that derives from, extends or completes an effort made under prior SBIR/STTR funding agreements, but is funded by sources other than the SBIR/STTR Program. Phase III work is typically oriented towards commercialization of SBIR/STTR research or technology. For more information please refer to the Small Business Administration's "Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Program Program Policy Directive" at https://www.sbir.gov/sites/default/files/SBIR-STTR_Policy_Directive_2019.pdf.

more than 15 Phase II awards during the last 10 fiscal years, excluding the two most recently completed fiscal years.

The current Commercialization Benchmark requirement, agreed upon and established by all 11 SBIR agencies, is that the Applicants must have received, to date, an average of at least $100,000 of sales and/or investments per Phase II award received, or have received a number of patents resulting from the relevant SBIR/STTR work equal to or greater than 15% of the number of Phase II awards received during the period.

- On June 1 of each year, SBIR/STTR awardees registered on SBIR.gov are assessed to determine if they meet the Phase II Transition Rate Benchmark requirement. (At this time, SBA is not identifying companies that fail to meet the Commercialization Rate Benchmark requirement). Companies that fail to meet the Phase II Transition Rate Benchmark as of June 1 of a given year will not be eligible to apply to an SBIR/STTR FOA for the following year. For example, if SBA determined on June 1, 2017 that a small business failed to meet the Phase II Transition Rate Benchmark requirement, that small business would not be eligible to apply to an ARPA-E SBIR/STTR FOA from June 1, 2017 to May 31, 2018.

E. COST SHARING[39]

Cost sharing is not required for this FOA.

F. OTHER

1. COMPLIANT CRITERIA

Concept Papers are deemed compliant if:

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

Concept Papers found to be noncompliant may not be merit reviewed or considered for award. ARPA-E may 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

[39] Please refer to Section VI.B.3-4 of the FOA for guidance on cost share payments and reporting.

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

Full Applications are deemed compliant if:

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

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

Replies to Reviewer Comments are deemed compliant if:

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

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

2. RESPONSIVENESS CRITERIA

ARPA-E performs a preliminary technical review of Concept Papers and Full Applications. The following types of submissions may be deemed nonresponsive and may not be reviewed or considered:

- Submissions that fall outside the technical parameters specified in this FOA.
- Submissions that have been submitted in response to currently issued ARPA-E FOAs.

- Submissions that are not scientifically distinct from applications submitted in response to currently issued ARPA-E FOAs.
- Submissions for basic research aimed solely at discovery and/or fundamental knowledge generation.
- Submissions for large-scale demonstration projects of existing technologies.
- Submissions for proposed technologies that represent incremental improvements to existing technologies.
- Submissions for proposed technologies that are not based on sound scientific principles (e.g., violates a law of thermodynamics).
- Submissions for proposed technologies that are not transformational, as described in Section I.A of the FOA.
- Submissions for proposed technologies that do not have the potential to become disruptive in nature, as described in Section I.A of the FOA. Technologies must be scalable such that they could be disruptive with sufficient technical progress.
- Submissions that are not distinct in scientific approach or objective from activities currently supported by or actively under consideration for funding by any other office within Department of Energy.
- Submissions that are not distinct in scientific approach or objective from activities currently supported by or actively under consideration for funding by other government agencies or the private sector.
- Submissions that 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. SUBMISSIONS SPECIFICALLY NOT OF INTEREST

Submissions that propose the following will be deemed nonresponsive and will not be merit reviewed or considered:

- Incremental improvements to existing HKT designs.
- Efforts that do not consider a control co-design, or co-design or design-for-OpEx approach.
- Projects that do not meet the program performance target (metrics) under the assumptions described in this document.
- Projects that only deal with some specific new components but do not include the design of a new HKT system and show the program performance target (metrics).
- Devices that are only designed for harnessing energy in ocean current streams are not of interest. However, systems that can be deployed in ocean currents as well as one of the four applications (S1 to S4) described in the FOA are of interest.

- Devices that only produce electrical energy from wave energy (i.e., PTO devices) are not of interest. However, systems that leverage wave energy in combination with tidal and/or riverine energy are of interest.

4. LIMITATION ON NUMBER OF SUBMISSIONS

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

However, small businesses that qualify as a "Small Business Concern" may apply to only one of the two ARPA-E SHARKS FOAs: ARPA-E FOA DE-FOA-0002335 (SBIR/STTR), Submarine Hydrokinetic And Riverine Kilo-Megawatt Systems (SHARKS) (SBIR/STTR), or ARPA-E FOA DE-FOA-0002334, Submarine Hydrokinetic And Riverine Kilo-Megawatt Systems (SHARKS). Small businesses that qualify as "Small Business Concerns" are strongly encouraged to apply under the former (SBIR/STTR FOA). To determine eligibility as a "Small Business Concern" under DE-FOA-0002335, please review the eligibility requirements in Sections III.A – III.D above.

IV. APPLICATION AND SUBMISSION INFORMATION

A. APPLICATION PROCESS OVERVIEW

1. REGISTRATION IN SBA COMPANY REGISTRY

The first step in applying to this FOA is registering in the U.S. Small Business Administration (SBA) Company Registry (http://sbir.gov/registration). Upon completing registration, Applicants will receive a unique small business Control ID and Registration Certificate in Adobe PDF format, which may be used at any participating SBIR and STTR agencies. Applicants that have previously registered in the SBA Company Registry need not register again.

Applicants that are sole proprietors and do not have an Employer Identification Number may use social security numbers for purposes of registering in the SBA Company Registry. Applicants that do not possess a Dun and Bradstreet Data Universal Numbering System (DUNS) number may also use their social security number in the SBA Company Registry.

Applicants must submit their Registration Certificate in ARPA-E eXCHANGE (https://arpa-e-foa.energy.gov) as part of their Full Application (see Section IV.D of the FOA).

2. REGISTRATION IN ARPA-E eXCHANGE

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

3. CONCEPT PAPERS

Applicants must submit a Concept Paper by the deadline stated in the FOA. Section IV.C of the FOA 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.F of the FOA. Concept Papers found to be noncompliant or nonresponsive may not be merit reviewed or considered for award. ARPA-E makes an independent assessment of each compliant and responsive Concept Paper based on the criteria and program policy factors in Sections V.A.1 and V.B.1 of the FOA.

ARPA-E will encourage a subset of Applicants to submit Full Applications. Other Applicants will be discouraged from submitting a Full Application in order to save them the time and expense of preparing an application submission that is unlikely to be selected for award negotiations. By discouraging the submission of a Full Application, ARPA-E intends to convey its lack of programmatic interest in the proposed project. Such assessments do not necessarily reflect

judgments on the merits of the proposed project. Unsuccessful Applicants should continue to submit innovative ideas and concepts to future FOAs.

4. FULL APPLICATIONS

Applicants must submit a Full Application by the deadline stated in the FOA. Applicants will have approximately 45 days from receipt of the Encourage/Discourage notification to prepare and submit a Full Application. Section IV.D of the FOA provides instructions on submitting a Full Application.

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

5. REPLY TO REVIEWER COMMENTS

Once ARPA-E has completed its review of Full Applications, reviewer comments on compliant and responsive Full Applications are made available to Applicants via ARPA-E eXCHANGE. Applicants may submit an optional Reply to Reviewer Comments, which must be submitted by the deadline stated in the FOA. Section IV.E of the FOA provides instructions on submitting a Reply to Reviewer Comments.

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

6. PRE-SELECTION CLARIFICATIONS AND "DOWN-SELECT" PROCESS

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

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

7. SELECTION FOR AWARD NEGOTIATIONS

ARPA-E carefully considers all of the information obtained through the application process and makes an independent assessment of each compliant and responsive Full Application based on the criteria and program policy factors in Sections V.A.2 and V.B.1 of the FOA. The Selection Official may select all or part of a Full Application for award negotiations. The Selection Official may also postpone a final selection determination on one or more Full Applications until a later date, subject to availability of funds and other factors. ARPA-E will enter into award negotiations only with selected Applicants.

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

B. APPLICATION FORMS

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

C. CONTENT AND FORM OF CONCEPT PAPERS

The Concept Paper is mandatory (i.e. in order to submit a Full Application, a compliant and responsive Concept Paper must have been submitted) and must conform to the following formatting requirements:

- The Concept Paper must not exceed 4 pages in length including graphics, figures, and/or tables. Concept papers are allowed an Appendix with maximum length equal to 1 page per case study (S1 to S4) for which the design meets the LCOE targets. Each page of the Appendix may contain a plot of the Metric Space for the new design, and the descriptions and justifications for the parameters used to calculate the M1 and M2 metrics and LCOE isoline for the particular case study.
- The Concept Paper must be written in English.
- All pages must be formatted to fit on 8-1/2 by 11 inch paper with margins not less than one inch on every side. Single space all text and use Calibri typeface, a black font color, and a font size of 12 point or larger (except in figures and tables).

- The ARPA-E assigned Control Number, the Lead Organization Name, and the Principal Investigator's Last Name must be prominently displayed on the upper right corner of the header of every page. Page numbers must be included in the footer of every page.
- The first paragraph must include the Lead Organization's Name and Location, Principal Investigator's Name, Technical Categories (S1 to S4), Proposed Funding Requested (Federal and Cost Share), and Project Duration.
- The Concept Paper must be submitted in Adobe PDF format.
- As part of the Concept Paper, applicants must submit a Metric Space Workbook for each case study (S1 to S4) that the device meets the LCOE target for, in a Microsoft Excel Spreadsheet, with the details of the new design that shows the calculations of M1 and M2 metrics and the LCOE isoline. Applicants are strongly encouraged to use the SHARKS Metric Space Workbook templates, named *S1_SHARKS_MetricSpaceWorkbook.xlsx*, *S2_SHARKS_MetricSpaceWorkbook.xlsx*, *S3_SHARKS_MetricSpaceWorkbook.xlsx*, and *S4_SHARKS_MetricSpaceWorkbook.xlsx* that are available on ARPA-E eXCHANGE (https://arpa-e-foa.energy.gov).

Concept Papers found to be noncompliant or nonresponsive may not be merit reviewed or considered for award (see Section III.F of the FOA).

Each Concept Paper must be limited to a single concept or technology. Unrelated concepts and technologies must not be consolidated into a single Concept Paper.

A fillable Concept Paper template is available on ARPA-E eXCHANGE at https://arpa-e-foa.energy.gov.

Concept Papers must conform to the content requirements described below. If Applicants exceed the maximum page length indicated above, ARPA-E will review only the authorized number of pages and disregard any additional pages.

1. CONCEPT PAPER

a. CONCEPT SUMMARY

- Describe the proposed concept with minimal jargon, and explain how it addresses the Program Objectives of the FOA.

b. INNOVATION AND IMPACT

- Clearly identify the problem to be solved with the proposed technology concept.
- Describe how the proposed effort represents an innovative and potentially transformational solution to the technical challenges posed by the FOA.

- Explain the concept's potential to be disruptive compared to existing or emerging technologies.
- To the extent possible, provide quantitative metrics to compare the proposed technology concept to current and emerging technologies and to the Technical Performance Targets in Section I.D.3 of the FOA. For each application (S1 to S4) the project is claiming they meet the LCOE target for, include the metrics M1 and M2 and the OpEx that are expected to be most significantly affected via the new design, an estimate of how much they will change, and a *brief* justification for each. Note that there is an opportunity to provide a more detailed and comprehensive justification in the Metric Space Workbook – this should just summarize the key details from the workbook.
- Identify the items under Task T0 the device is addressing and provide a description of how those items are addressed.

C. PROPOSED WORK

- Describe the final deliverable(s) for the project and the overall technical approach used to achieve project objectives.
- Discuss alternative approaches considered, if any, and why the proposed approach is most appropriate for the project objectives.
- Describe the background, theory, simulation, modeling, experimental data, or other sound engineering and scientific practices or principles that support the proposed approach. Provide specific examples of supporting data and/or appropriate citations to the scientific and technical literature.
- Describe why the proposed effort is a significant technical challenge and the key technical risks to the project. Does the approach require one or more entirely new technical developments to succeed? How will technical risk be mitigated?
- Identify the components of the system that are critical to the hypotheses laid out in the Metric Space Workbooks and include *brief* descriptions of how these components will be tested in physical environments. Note that in the Concept Paper it is not expected to have determined exact test facilities/sites or developed a test plan for the experiments.
- Identify techno-economic challenges to be overcome for the proposed technology to be commercially relevant.

d. TEAM ORGANIZATION AND CAPABILITIES

- Indicate the roles and responsibilities of the organizations and key personnel that comprise the Project Team.
- Provide the name, position, and institution of each key team member and describe in 1-2 sentences the skills and experience that he/she brings to the team.

- Identify key capabilities provided by the organizations comprising the Project Team and how those key capabilities will be used in the proposed effort.
- Identify (if applicable) previous collaborative efforts among team members relevant to the proposed effort.

e. APPENDIX 1

- Plot of Metric Space from Tab: "2b. Proposed Design Plot" for each application (S1 to S4) that the project is claiming the new device meets the LCOE targets for.
- Description and Justification for the parameters used to calculate the M1 and M2 metrics and the LCOE isoline from Tab: "2c. Summary of Changes" for each application (S1 to S4) that the project is claiming the new device meets the LCOE targets for.

2. SECOND COMPONENT: METRIC SPACE WORKBOOK

In addition to the Concept Paper, Applicants must fill out and submit a Metric Space Workbook for each application (S1 to S4) that the project is claiming the new device meets the LCOE targets for. Applicants are strongly encouraged to use the SHARKS Metric Space Workbooks named *S1_SHARKS_MetricSpaceWorkbook.xlsx*, *S2_SHARKS_MetricSpaceWorkbook.xlsx*, *S3_SHARKS_MetricSpaceWorkbook.xlsx*, and *S4_SHARKS_MetricSpaceWorkbook.xlsx* that are available on ARPA-E eXCHANGE (https://arpa-e-foa.energy.gov). These files include two tabs ("1a. Original Design" and "1b. Original Design Plot") that characterize the original design presented in Section I.D.2 (see Case studies S1 to S4), and three additional tabs for the new HKT proposed design ("2a. Proposed Design", "2b. Proposed Design Plot" and "2c. Summary of Changes") –see example in Figures 11 to 15 for Case study S1. All Metric Space Workbooks must conform to the following content and form requirements.

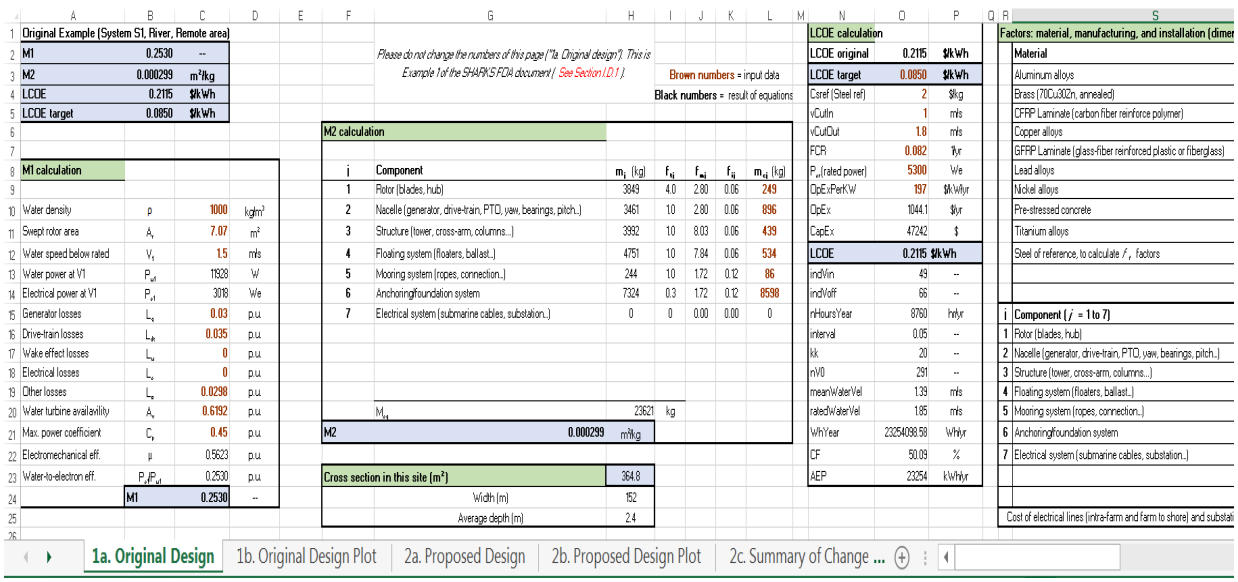
Applicants are expected to adjust cells in the workbook in order to best represent their concept. Such changes might include, but are not limited to, adjusting values and/or formulas, and/or adding variables. This information must be introduced in tab "2a. Proposed Design" – see Fig.13 for Case study S1, Section I.D.2. Typically, the cells to be modified in "2a. Proposed Design" are the ones with brown numbers. Cells with black numbers are calculated by equations.

Applicants must also include <u>every</u> such adjustment as a separate row/item in the "2c. Summary of Changes" tab –see Fig.15 for Case study S1, Section I.D.2. This tab includes four fields to describe every adjustment made:

- Cell number, which should reference the cell number associated with the adjustment.
- Corresponding variable, which should reference the variable associated with the adjustment.

- Description of change made, which should describe <u>what</u> was done to the cell as part of the adjustment.
- Brief justification of change made, which should describe why the proposed concept would lead to such a change.

If the proposed design requires different equations from the ones in this document, this must be justified in tab 2c. The plots in tabs 1b and 2b are generated automatically from tabs 1a and 2a respectively. Cost of electrical lines and substation are excluded. The case proposed in "1a. Original Design" (Fig.11) and "1b. Original Design Plot" (Fig.12) shows the State-Of-the-Art for Case study S1, Section I.D.2. This Metric Space Workbook will be used during ARPA-E's evaluation of Concept Papers.



	A	B	C	D
1	Original Example (System S1, River, Remote area)			
2	M1	0.2530	--	
3	M2	0.000299	m^3/kg	
4	LCOE	0.2115	$/kWh	
5	LCOE target	0.0850	$/kWh	
6				
7				
8	M1 calculation			
9				
10	Water density	ρ	1000	kg/m^3
11	Swept rotor area	A_r	7.07	m^2
12	Water speed below rated	V_1	1.5	m/s
13	Water power at V1	P_{w1}	11828	W
14	Electrical power at V1	P_{e1}	3018	We
15	Generator losses	L_g	0.03	p.u.
16	Drive-train losses	L_{dt}	0.035	p.u.
17	Wake effect losses	L_w	0	p.u.
18	Electrical losses	L_e	0	p.u.
19	Other losses	L_o	0.0298	p.u.
20	Water turbine availavility	A_v	0.6192	p.u.
21	Max. power coefficient	C_p	0.45	p.u.
22	Electromechanical eff.	μ	0.5623	p.u.
23	Water-to-electron eff.	P_e/P_{w1}	0.2530	p.u.
24		M1	0.2530	--

Please do not change the numbers of this page ("1a. Original design"). This is Example 1 of the SHARKS FOA document (See Section I.D.1).

Brown numbers = input data

Black numbers = result of equations

	F	G	H	I	J	K	L
	M2 calculation						
	i	Component	m_i (kg)	f_{ki}	f_{mi}	f_{ii}	m_{ci} (kg)
	1	Rotor (blades, hub)	3849	4.0	2.80	0.06	249
	2	Nacelle (generator, drive-train, PTO, yaw, bearings, pitch..)	3461	1.0	2.80	0.06	896
	3	Structure (tower, cross-arm, columns...)	3992	1.0	8.03	0.06	439
	4	Floating system (floaters, ballast..)	4751	1.0	7.84	0.06	534
	5	Mooring system (ropes, connection..)	244	1.0	1.72	0.12	86
	6	Anchoringfoundation system	7324	0.3	1.72	0.12	8598
	7	Electrical system (submarine cables, substation..)	0	0	0.00	0.00	0
		M_{c1}	23621	kg			
	M2	0.000299	m^3/kg				
	Cross section in this site (m^2)		364.8				
		Width (m)	152				
		Average depth (m)	2.4				

	N	O	P
	LCOE calculation		
	LCOE original	0.2115	$/kWh
	LCOE target	0.0850	$/kWh
	Csref (Steel ref)	2	$/kg
	vCutIn	1	m/s
	vCutOut	1.8	m/s
	FCR	0.082	1/yr
	P_{ref} (rated power)	5300	We
	OpExPerKW	197	$/kWyr
	OpEx	1044.1	$/yr
	CapEx	47242	$
	LCOE	0.2115	$/kWh
	indVin	49	--
	indVoff	66	--
	nHoursYear	8760	hr/yr
	interval	0.05	--
	kk	20	--
	nV0	291	--
	meanWaterVel	1.39	m/s
	ratedWaterVel	1.85	m/s
	WhYear	23254098.58	Wh/yr
	CF	50.09	%
	AEP	23254	kWh/yr

	S
	Factors: material, manufacturing, and installation (dimer
	Material
	Aluminum alloys
	Brass (70Cu30Zn, annealed)
	CFRP Laminate (carbon fiber reinforce polymer)
	Copper alloys
	GFRP Laminate (glass-fiber reinforced plastic or fiberglass)
	Lead alloys
	Nickel alloys
	Pre-stressed concrete
	Titanium alloys
	Steel of reference, to calculate f, factors
i	Component (i = 1 to 7)
1	Rotor (blades, hub)
2	Nacelle (generator, drive-train, PTO, yaw, bearings, pitch..)
3	Structure (tower, cross-arm, columns...)
4	Floating system (floaters, ballast..)
5	Mooring system (ropes, connection..)
6	Anchoringfoundation system
7	Electrical system (submarine cables, substation..)
	Cost of electrical lines (intra-farm and farm to shore) and substati

1a. Original Design | 1b. Original Design Plot | 2a. Proposed Design | 2b. Proposed Design Plot | 2c. Summary of Change ...

Fig. 11. Tab "1a. Original Design" in document *S1_SHARKS_MetricSpaceWorkbook.xlsx*. This is for Case study S1, Section I.D.2.

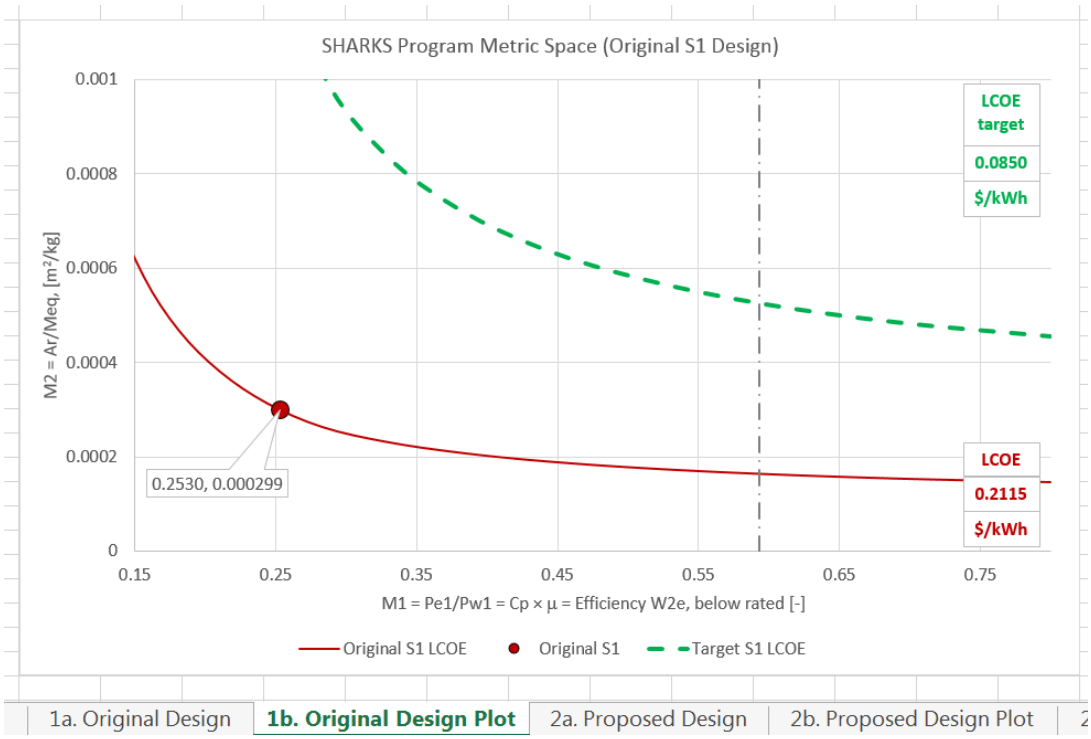
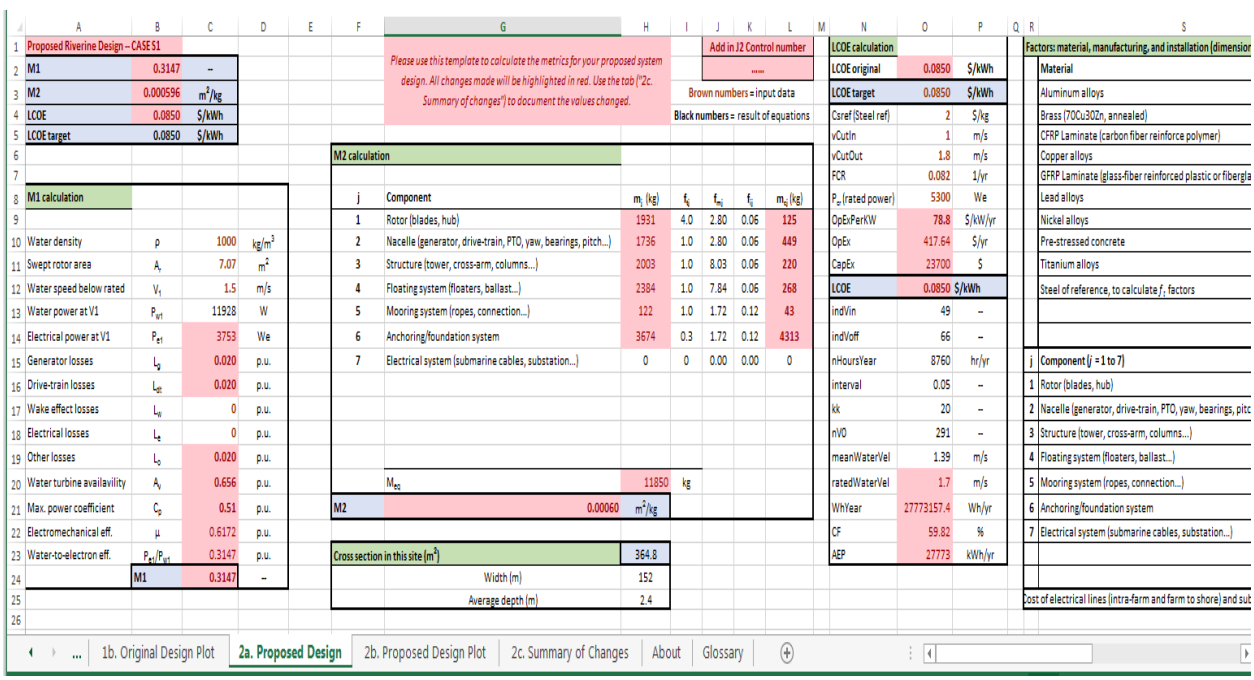


Fig. 12. Tab "1b. Original Design Plot" in document *S1_SHARKS_MetricSpaceWorkbook.xlsx*. This is for Case study S1, Section I.D.2.



	A	B	C	D
1	Proposed Riverine Design – CASE S1			
2	M1	0.3147	–	
3	M2	0.000596	m²/kg	
4	LCOE	0.0850	$/kWh	
5	LCOE target	0.0850	$/kWh	
6				
7				
8	M1 calculation			
9				
10	Water density	ρ	1000	kg/m³
11	Swept rotor area	A_r	7.07	m²
12	Water speed below rated	V_1	1.5	m/s
13	Water power at V1	P_{w1}	11928	W
14	Electrical power at V1	P_{e1}	3753	We
15	Generator losses	L_g	0.020	p.u.
16	Drive-train losses	L_{dt}	0.020	p.u.
17	Wake effect losses	L_w	0	p.u.
18	Electrical losses	L_e	0	p.u.
19	Other losses	L_o	0.020	p.u.
20	Water turbine availavility	A_v	0.656	p.u.
21	Max. power coefficient	C_p	0.51	p.u.
22	Electromechanical eff.	μ	0.6172	p.u.
23	Water-to-electron eff.	P_{e1}/P_{w1}	0.3147	p.u.
24		M1	0.3147	–

Please use this template to calculate the metrics for your proposed system design. All changes made will be highlighted in red. Use the tab ("2c. Summary of changes") to document the values changed.

Add in J2 Control number: .....

Brown numbers = input data

Black numbers = result of equations

M2 calculation

j	Component	m_i (kg)	f_{ci}	f_{mi}	f_{ii}	m_{ci} (kg)
1	Rotor (blades, hub)	1931	4.0	2.80	0.06	125
2	Nacelle (generator, drive-train, PTO, yaw, bearings, pitch...)	1736	1.0	2.80	0.06	449
3	Structure (tower, cross-arm, columns...)	2003	1.0	8.03	0.06	220
4	Floating system (floaters, ballast...)	2384	1.0	7.84	0.06	268
5	Mooring system (ropes, connection...)	122	1.0	1.72	0.12	43
6	Anchoring/foundation system	3674	0.3	1.72	0.12	4313
7	Electrical system (submarine cables, substation...)	0	0	0.00	0.00	0
	M_{cs}	11850	kg			
M2	0.00060	m²/kg				

Cross section in this site (m²)	364.8
Width (m)	152
Average depth (m)	2.4

LCOE calculation		
LCOE original	0.0850	$/kWh
LCOE target	0.0850	$/kWh
Csref (Steel ref)	2	$/kg
vCutIn	1	m/s
vCutOut	1.8	m/s
FCR	0.082	1/yr
P_{ce} (rated power)	5300	We
OpExPerKW	78.8	$/kW/yr
OpEx	417.64	$/yr
CapEx	23700	$
LCOE	0.0850	$/kWh
indVin	49	–
indVoff	66	–
nHoursYear	8760	hr/yr
interval	0.05	–
kk	20	–
nV0	291	–
meanWaterVel	1.39	m/s
ratedWaterVel	1.7	m/s
WhYear	27773157.4	Wh/yr
CF	59.82	%
AEP	27773	kWh/yr

Factors: material, manufacturing, and installation (dimension

	Material
	Aluminum alloys
	Brass (70Cu30Zn, annealed)
	CFRP Laminate (carbon fiber reinforce polymer)
	Copper alloys
	GFRP Laminate (glass-fiber reinforced plastic or fibergla
	Lead alloys
	Nickel alloys
	Pre-stressed concrete
	Titanium alloys
	Steel of reference, to calculate f_i factors
j	Component (j = 1 to 7)
1	Rotor (blades, hub)
2	Nacelle (generator, drive-train, PTO, yaw, bearings, pitc
3	Structure (tower, cross-arm, columns...)
4	Floating system (floaters, ballast...)
5	Mooring system (ropes, connection...)
6	Anchoring/foundation system
7	Electrical system (submarine cables, substation...)
	Cost of electrical lines (intra-farm and farm to shore) and sub

1b. Original Design Plot | 2a. Proposed Design | 2b. Proposed Design Plot | 2c. Summary of Changes | About | Glossary

Fig. 13. Tab "2a. Proposed Design" in document *S1_SHARKS_MetricSpaceWorkbook.xlsx*. This is for Case study S1, Section I.D.2.

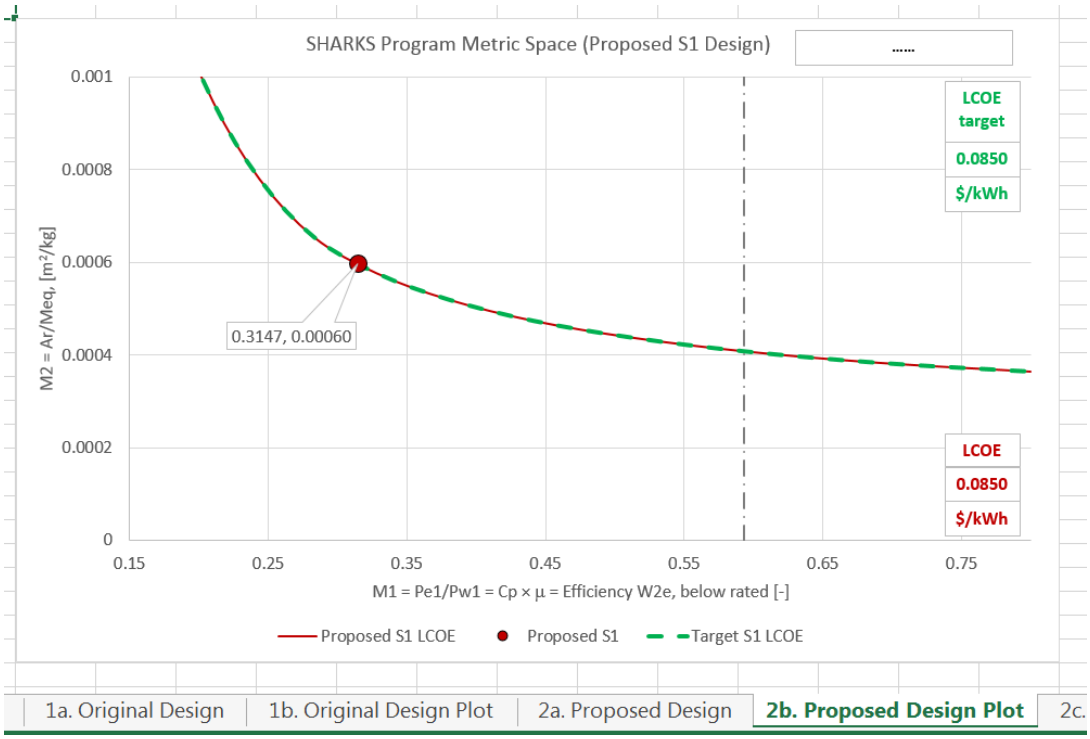


Fig. 14. Tab "2b. Proposed Design Plot" in document *S1_SHARKS_MetricSpaceWorkbook.xlsx*. This is for Case study S1, Section I.D.2.

Summary and justification of changes		This page summarizes the changes between the "Original Design" (Sheet 1a) and the "Proposed Design" (Sheet 2a). Please use Sheet 2a as the basis for information on this sheet, including "cell number"	
Cell number	**Corresponding variable**	**Description of change made**	**Brief justification of change**
H9 (EXAMPLE ONLY)	*Mass of Rotor Blades*	*New value is 1/3 of previous value*	*We propose a new blade design that …*
F16 - L16 (EXAMPLE ONLY)	XYZ (NEW)	Added a new required component, XYZ, and included its mass (##), ft (##), fm (##), and fi (##)	XYZ is required for this design, but it will enable reduction in mass elsewhere in the system…

Fig. 15. Tab "2c. Summary of Changes" in document *S1_SHARKS_MetricSpaceWorkbook.xlsx*. This is for Case study S1, Section I.D.2.

From the case shown in Figures 11 and 12, Figures 13 and 14 show improvements of about ×1.25 in M1 (Task T1), ×2.0 in M2 (Task T2), and ×0.4 in OpEx (Task T3) to achieve the LCOE target for S1 of 0.0850 $/kWh.

D. CONTENT AND FORM OF FULL APPLICATIONS

~~[TO BE INSERTED BY FOA MODIFICATION IN JULY 2020]~~

Full Applications must conform to the following formatting requirements:

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

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

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

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

Full Applications must conform to the content requirements described below.

Component	Required Format	Description and Information
Technical Volume	PDF	The centerpiece of the Full Application. Provides a detailed description of the proposed R&D project and Project Team.
Metric Space Workbook(s)	XLSX	Metric Space Workbooks (no page limit, Microsoft Excel Format): Applicants may use the SHARKS Metric Space Workbook templates (S1 to S4) available on ARPA-E eXCHANGE (https://arpa-e-foa.energy.gov)
SF-424	PDF	Application for Federal Assistance. Applicants are responsible for ensuring that the proposed costs listed in eXCHANGE match those listed on forms SF-424 and SF-424A. Inconsistent submissions may impact ARPA-E's final award determination.
Budget Justification Workbook/SF-424A	XLS	Budget Information – Non-Construction Programs

Summary for Public Release	PDF	Short summary of the proposed R&D project. Intended for public release.
Summary Slide	PPT	A four-panel project slide summarizing different aspects of the proposed R&D project.
SBA Company Registration Certificate	PDF	Registration Certificate generated upon completion of registration in the SBA Company Registry (http://sbir.gov/registration).
Certification for Applicants Majority-Owned by Multiple Venture Capital Operating Companies, Hedge Funds, or Private Equity Firms (if applicable)	PDF	Requires SBIR Applicants that are majority-owned by multiple venture capital operating companies, hedge funds, or private equity firms to self-identify and verify registration as such in the SBA Company Registry (http://sbir.gov/registration).
Business Assurances & Disclosures Form	PDF	Requires the Applicant to acknowledge eligibility with SBIR/STTR program requirements, make responsibility disclosures, and disclose potential conflicts of interest within the Project Team. Requires the Applicant to describe the additionality and risks associated with the proposed project, disclose applications for funding currently pending with Federal and non-Federal entities, and disclose funding from Federal and non-Federal entities for work in the same technology area as the proposed R&D project. If the Applicant is a FFRDC/DOE Lab, requires the Applicant to provide written authorization from the cognizant Federal agency and, if a DOE/NNSA FFRDC/DOE Lab, a Field Work Proposal. Allows the Applicant to request a waiver or modification of the Performance of Work in the United States requirement and/or the Technology Transfer & Outreach (TT&O) spending requirement. A sample response to the Business Assurances & Disclosures Form is also available on ARPA-E eXCHANGE.
U.S. Manufacturing Plan	PDF	As part of the application, Applicants are required to submit a U.S. Manufacturing Plan. The U.S. Manufacturing Plan represents the Applicant's measurable commitment to support U.S. manufacturing as a result of its award.

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

1. FIRST COMPONENT: TECHNICAL VOLUME

The Technical Volume must be submitted in Adobe PDF format. A Technical Volume template is available at https://arpa-e-foa.energy.gov. The Technical Volume must conform to the content and form requirements included within the template, including maximum page lengths. If Applicants exceed the maximum page lengths specified for each section, ARPA-E will review only the authorized number of pages and disregard any additional pages.

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

2. SECOND COMPONENT: METRIC SPACE WORKBOOK

In addition to the Technical Volume, Applicants must fill out and submit a Metric Space Workbook for each application (S1 to S4) that the project is claiming the new device meets the LCOE targets for. Applicants are strongly encouraged to use the SHARKS Metric Space Workbooks named *S1_SHARKS_MetricSpaceWorkbook.xlsx*, *S2_SHARKS_MetricSpaceWorkbook.xlsx*, *S3_SHARKS_MetricSpaceWorkbook.xlsx*, and *S4_SHARKS_MetricSpaceWorkbook.xlsx* that are available on ARPA-E eXCHANGE (https://arpa-e-foa.energy.gov). These files include two tabs ("1a. Original Design" and "1b. Original Design Plot") that characterize the original design presented in Section I.C.2 (see Case studies S1 to S4), and three additional tabs for the new HKT proposed design ("2a. Proposed Design", "2b. Proposed Design Plot" and "2c. Summary of Changes") –see example in Figures 11 to 15 for Case study S1. All Metric Space Workbooks must conform to the following content and form requirements.

Applicants are expected to adjust cells in the workbook in order to best represent their concept. Such changes might include, but are not limited to, adjusting values and/or formulas, and/or adding variables. This information must be introduced in tab "2a. Proposed Design" – see Fig.13 for Case study S1, Section I.C.2. Typically, the cells to be modified in "2a. Proposed Design" are the ones with brown numbers. Cells with black numbers are calculated by equations.

Applicants must also include every such adjustment as a separate row/item in the "2c. Summary of Changes" tab –see Fig.15 for Case study S1, Section I.C.2. This tab includes four fields to describe every adjustment made:

- Cell number, which should reference the cell number associated with the adjustment.
- Corresponding variable, which should reference the variable associated with the adjustment.
- Description of change made, which should describe what was done to the cell as part of the adjustment.
- Brief justification of change made, which should describe why the proposed concept would lead to such a change.

If the proposed design requires different equations from the ones in this document, this must be justified in tab 2c. The plots in tabs 1b and 2b are generated automatically from tabs 1a and

2a respectively. Cost of electrical lines and substation are excluded. The case proposed in "1a. Original Design" (Fig.11) and "1b. Original Design Plot" (Fig.12) shows the State-Of-the-Art for Case study S1, Section I.C.2. This Metric Space Workbook will be used during ARPA-E's evaluation of Technical Volumes. The new design calculations included in the workbook must be consistent with the details included in the technical volume of the submission.

3. THIRD COMPONENT: SF-424

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

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

Prime Recipients and Subrecipients are required to complete SF-LLL (Disclosure of Lobbying Activities), available at https://www.grants.gov/forms/post-award-reporting-forms.html, if any non-Federal funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with your application or funding agreement. The completed SF-LLL must be appended to the SF-424.

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

- Each Project Team should submit only one SF-424 (i.e., a Subrecipient should not submit a separate SF-424).
- The list of certifications and assurances in Block 21 can be found at http://energy.gov/management/downloads/certifications-and-assurances-use-sf-424.
- The dates and dollar amounts on the SF-424 are for the entire period of performance (from the project start date to the project end date), not a portion thereof.
- Applicants are responsible for ensuring that the proposed costs listed in eXCHANGE match those listed on forms SF-424 and SF-424A. Inconsistent submissions may impact ARPA-E's final award determination.

4. FOURTH COMPONENT: BUDGET JUSTIFICATION WORKBOOK/SF-424A

Applicants are required to complete the Budget Justification Workbook/SF-424A Excel spreadsheet. This form is available on ARPA-E eXCHANGE at https://arpa-e-foa.energy.gov. Prime Recipients must complete each tab of the Budget Justification Workbook for the project as a whole, including all work to be performed by the Prime Recipient and its Subrecipients and Contractors. The SF-424A form included with the Budget Justification Workbook will "auto-

populate" as the Applicant enters information into the Workbook. Applicants should carefully read the "Instructions and Summary" tab provided within the Budget Justification Workbook. Subrecipient information must be submitted as follows:

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

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

- Applicants may request funds under the appropriate object class category tabs as long as the item and amount requested are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions described herein.
- If Patent costs are requested, they must be included in the Applicant's proposed budget (see Section IV.G.3 of the FOA for more information on Patent Costs).
- For more information, please refer to the ARPA-E Budget Justification Guidance document at https://arpa-e-foa.energy.gov.

5. FIFTH COMPONENT: SUMMARY FOR PUBLIC RELEASE

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

250 Words	**SUMMARY FOR PUBLIC RELEASE**	Briefly describe the proposed effort, summarize its objective(s) and technical approach, describe its ability to achieve the "Program Performance Targets" (see Section I.D.3 of the FOA), and indicate its potential impact on "ARPA-E Mission Areas" (see Section I.A of the FOA). The summary should be written at technical level suitable for a high-school science student and is designed for public release.

		INSTRUCTIONS: (1) The Summary for Public Release shall not exceed 250 words and one paragraph. (2) The Summary for Public Release shall consist only of text—no graphics, figures, or tables. (3) For applications selected for award negotiations, the Summary may be used as the basis for a public announcement by ARPA-E; therefore, **this Cover Page and Summary should not contain confidential or proprietary information**. See Section VIII.I of the FOA for additional information on marking confidential information

6. SIXTH COMPONENT: SUMMARY SLIDE

Applicants are required to provide a single PowerPoint slide summarizing the proposed project. The slide must be submitted in Microsoft PowerPoint format. This slide will be used during ARPA-E's evaluation of Full Applications. A summary slide template and a sample summary slide are available on ARPA-E eXCHANGE (https://arpa-e-foa.energy.gov).
Summary Slides must conform to the content requirements described below:

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

7. SEVENTH COMPONENT: SBA REGISTRATION CERTIFICATE

Applicants are required to provide a copy of the SBA Registration Certificate generated in the SBA Company Registry (http://sbir.gov/registration) in Adobe PDF format (see Section IV.A.1 of the FOA). Applicants that have previously registered in the SBA Company Registry may submit a copy their existing Registration Certificate.

8. EIGHTH COMPONENT: CERTIFICATION FOR APPLICANTS MAJORITY-OWNED BY MULTIPLE VENTURE CAPITAL OPERATING COMPANIES, HEDGE FUNDS, AND PRIVATE EQUITY FIRMS

Only those Applicants that are majority-owned by multiple venture capital operating companies, hedge funds, or private equity firms are required to complete the Certification for Applicants Majority-Owned by Multiple Venture Capital Operating Companies, Hedge Funds, and Private Equity Funds. The certification must be submitted in Adobe PDF format. This form is available on ARPA-E eXCHANGE at https://arpa-e-foa.energy.gov.

In the Certification for Applicants Majority-Owned by Multiple Venture Capital Operating Companies, Hedge Funds, and Private Equity Funds, the Applicant is required to self-identify as an entity that falls into one of those categories, verify its ownership status, and verify that it has registered in the SBA Company Registry (http://sbir.gov/registration) as such an entity.

Applicants that are not majority-owned by multiple venture capital operating companies, hedge funds, or private equity firms are not required to complete this certification.

9. NINTH COMPONENT: BUSINESS ASSURANCES & DISCLOSURES FORM

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

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

- Acknowledge that it has reviewed SBA's eligibility requirements for the SBIR and STTR programs and that it anticipates that it will be able to certify eligibility to participate in ARPA-E's SBIR/STTR program at the time of award
- Disclose conditions bearing on responsibility, such as criminal convictions and Federal tax liability
- Disclose potential conflicts of interest within the Project Team
- If the project team includes a FFRDC/DOE Lab, submit written authorization from the cognizant Federal agency
- If the project team includes a DOE/NNSA FFRDC/DOE Lab, submit a Field Work Proposal.

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

financial uncertainty."[40] In accordance with ARPA-E's statutory mandate, the Applicant is required to:

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

The Applicant may use the Business Assurances & Disclosures Form to:

- Request authorization to perform some work overseas
- Each entity on a Project Team must also report the entity's DUNS number, confirmation of active registration in SAM, or the dates when the entity began or will begin the process of obtaining a DUNS number and/or register in SAM.

10. TENTH COMPONENT: U.S. MANUFACTURING PLAN

As part of the application, Applicants are required to submit a U.S. Manufacturing Plan that should not exceed one page in length. The U.S. Manufacturing Plan represents the Applicant's measurable commitment to support U.S. manufacturing as a result of its award. U.S. Manufacturing Plans are a Program Policy Factor during the review and selection process. See Section V.B.1 of the FOA. A U.S. Manufacturing Plan must contain a commitment to the U.S manufacturing requirements stated in Section VI.B.8 below.

In addition, the plan should include other specific and measurable commitments. For example, an Applicant may commit particular types of products to be manufactured in the U.S. These plans should not include requirements regarding the source of inputs used during the manufacturing process. In addition to or instead of making a commitment tied to a particular product, the Applicant may make other types of commitments still beneficial to U.S. manufacturing. An Applicant may commit to a particular investment in a new or existing U.S. manufacturing facility, keep certain activities based in the U.S. (i.e., final assembly), or support a certain number of jobs in the U.S. related to the technology and manufacturing.

When an Applicant is selected for an award, the U.S. Manufacturing Plan submitted by the Applicant will become part of the terms and conditions of the award. It is important to note that the U.S. Manufacturing Plan is in support of and not a replacement for the U.S. Manufacturing Requirement described in Section VI.B.8. The Applicant/Awardee may request a waiver or modification of the U.S. Manufacturing Plan from DOE/ARPA-E upon a showing that the original U.S. Manufacturing Plan is no longer economically feasible.

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

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

E. CONTENT AND FORM OF REPLIES TO REVIEWER COMMENTS

~~[TO BE INSERTED BY FOA MODIFICATION IN JULY 2020]~~

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

Replies to Reviewer Comments must conform to the following requirements:

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

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

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

SECTION	PAGE LIMIT	DESCRIPTION
Text	2 pages maximum	• Applicants may respond to one or more reviewer comments or supplement their Full Application.

Images	1 page maximum	• Applicants may provide graphs, charts, or other data to respond to reviewer comments or supplement their Full Application.

F. INTERGOVERNMENTAL REVIEW

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

G. FUNDING RESTRICTIONS

~~[TO BE INSERTED BY FOA MODIFICATION IN JULY 2020]~~

1. ALLOWABLE COSTS

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

2. PRE-AWARD COSTS

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

Upon selection for award negotiations, Applicants may incur pre-award costs at their own risk, consistent with the requirements in 2 C.F.R. Part 200, as modified by 2 C.F.R. Part 910, and other Federal laws and regulations. ARPA-E generally does not accept budgets as submitted with the Full Application. Budgets are typically reworked during award negotiations. ARPA-E is under no obligation to reimburse pre-award costs if, for any reason, the Applicant does not receive an award or the award is made for a lesser amount than the Applicant expected, or if the costs incurred are not allowable, allocable, or reasonable.

3. PATENT COSTS

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

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

4. CONSTRUCTION

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

5. FOREIGN TRAVEL

ARPA-E generally does not fund projects that involve foreign travel.

6. PERFORMANCE OF WORK IN THE UNITED STATES

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

ARPA-E requires all work under ARPA-E funding agreements to be performed in the United States – i.e., Prime Recipients must expend 100% of the Total Project Cost in the United States. However, Applicants may request a waiver of this requirement where their project would materially benefit from, or otherwise requires, certain work to be performed overseas.

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

7. PURCHASE OF NEW EQUIPMENT

All equipment purchased under ARPA-E funding agreements must be made or manufactured in the United States, to the maximum extent practicable. This requirement does not apply to used or leased equipment. The Prime Recipients are required to notify the ARPA-E Contracting Officer reasonably in advance of purchasing any equipment that is not made or manufactured in the United States with a total acquisition cost of $250,000 or more. The ARPA-E Contracting Officer will provide consent to purchase or reject within 30 calendar days of receipt of the Recipient's notification.

8. LOBBYING

Prime Recipients and Subrecipients may not use any Federal funds, directly or indirectly, to influence or attempt to influence, directly or indirectly, congressional action on any legislative or appropriation matters pending before Congress, other than to communicate to Members of

Congress as described in 18 U.S.C. § 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

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

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

9. CONFERENCE SPENDING

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

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

10. INDEPENDENT RESEARCH AND DEVELOPMENT COSTS

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

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

independent research and development costs through the indirect cost mechanism could circumvent this competitive process.

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

H. OTHER SUBMISSION REQUIREMENTS

1. USE OF ARPA-E eXCHANGE

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

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

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

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

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

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

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

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

V. APPLICATION REVIEW INFORMATION

A. CRITERIA

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

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

1. CRITERIA FOR CONCEPT PAPERS

(1) Impact of the Proposed Technology Relative to FOA Targets (50%) - This criterion involves consideration of the following:

- he potential for a transformational and disruptive (not incremental) advancement compared to existing or emerging technologies;

- Achievement of the technical performance targets defined in Section I.D of the FOA;
- Identification of techno-economic challenges that must be overcome for the proposed technology to be commercially relevant; and
- Demonstration of awareness of competing commercial and emerging technologies and identifies how the proposed concept/technology provides significant improvement over existing solutions.

(2) *Overall Scientific and Technical Merit* (50%) - This criterion involves consideration of the following:

- The feasibility of the proposed work, as justified by appropriate background, theory, simulation, modeling, experimental data, or other sound scientific and engineering practices;
- Sufficiency of technical approach to accomplish the proposed R&D objectives, including why the proposed concept is more appropriate than alternative approaches and how technical risk will be mitigated;
- Clearly defined project outcomes and final deliverables; and
- The demonstrated capabilities of the individuals performing the project, the key capabilities of the organizations comprising the Project Team, the roles and responsibilities of each organization and (if applicable) previous collaborations among team members supporting the proposed project.

Submissions 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 Technology Relative to FOA Targets	50%
Overall Scientific and Technical Merit	50%

2. CRITERIA FOR FULL APPLICATIONS

~~[TO BE INSERTED BY FOA MODIFICATION IN JULY 2020]~~

Full Applications are evaluated based on the following criteria:

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

- The potential for a transformational and disruptive (not incremental) advancement in one or more energy-related fields;
- Thorough understanding of the current state-of-the-art and presentation of an innovative technical approach to significantly improve performance over the current state-of-the-art;
- Awareness of competing commercial and emerging technologies and identification

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

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

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

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

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

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

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

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

The above criteria will be weighted as follows:

Impact of the Proposed Technology	30%
Overall Scientific and Technical Merit	30%
Qualifications, Experience, and Capabilities of the Proposed Project Team	30%
Soundness of Management Plan	10%

3. CRITERIA FOR REPLIES TO REVIEWER COMMENTS

~~[TO BE INSERTED BY FOA MODIFICATION IN JULY 2020]~~

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

B. REVIEW AND SELECTION PROCESS

1. PROGRAM POLICY FACTORS

In addition to the above criteria, ARPA-E may consider the following program policy factors in determining which Concept Papers to encourage to submit a Full Application and which Full Applications to select for award negotiations:

I. **ARPA-E Portfolio Balance**. Project balances ARPA-E portfolio in one or more of the following areas:
   a. Diversity of technical personnel in the proposed Project Team;
   b. Technological diversity;
   c. Organizational diversity;
   d. Geographic diversity;
   e. Technical or commercialization risk; or
   f. Stage of technology development.

II. **Relevance to ARPA-E Mission Advancement.** Project contributes to one or more of ARPA-E's key statutory goals:
   a. Reduction of U.S. dependence on foreign energy sources;
   b. Stimulation of domestic manufacturing/U.S. Manufacturing Plan;
   c. Reduction of energy-related emissions;
   d. Increase in U.S. energy efficiency;
   e. Enhancement of U.S. economic and energy security; or
   f. Promotion of U.S. advanced energy technologies competitiveness.

III. **Synergy of Public and Private Efforts**.
   a. Avoids duplication and overlap with other publicly or privately funded projects;
   b. Promotes increased coordination with nongovernmental entities for demonstration of technologies and research applications to facilitate technology transfer; or

c. Increases unique research collaborations.

IV. **Low likelihood of other sources of funding.** High technical and/or financial uncertainty that results in the non-availability of other public, private or internal funding or resources to support the project.

V. **High Project Impact Relative to Project Cost.**

VI. **Qualified Opportunity Zone (QOZ).** Whether the entity is located in an urban and economically distressed area including a Qualified Opportunity Zone (QOZ) or the proposed project will occur in a QOZ or otherwise advance the goals of QOZ. The goals include spurring economic development and job creation in distressed communities throughout the United States. For a list or map of QOZs go to: https://www.cdfifund.gov/Pages/Opportunity-Zones.aspx.

2. ARPA-E Reviewers

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

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

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

3. ARPA-E Support Contractor

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

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

~~[TO BE INSERTED BY FOA MODIFICATION IN JULY 2020]~~

ARPA-E expects to announce selections for negotiations in approximately November 2020 and to execute funding agreements in approximately February 2021.

VI. AWARD ADMINISTRATION INFORMATION

A. AWARD NOTICES

1. REJECTED SUBMISSIONS

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

2. CONCEPT PAPER NOTIFICATIONS

ARPA-E promptly notifies Applicants of its determination to encourage or discourage the 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. ARPA-E provides feedback in the notification letter in order to guide further development of the proposed technology.

Applicants may submit a Full Application even if they receive a notification discouraging them from doing so. By discouraging the submission of a Full Application, ARPA-E intends to convey its lack of programmatic interest in the proposed project. Such assessments do not necessarily reflect judgments on the merits of the proposed project. The purpose of the Concept Paper phase is to save Applicants the considerable time and expense of preparing a Full Application that is unlikely to be selected for award negotiations.

A notification letter encouraging the submission of a Full Application does not authorize the Applicant to commence performance of the project. Please refer to Section IV.G of the FOA for guidance on pre-award costs.

3. FULL APPLICATION NOTIFICATIONS

~~[TO BE INSERTED BY FOA MODIFICATION IN JULY 2020]~~

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

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

a. SUCCESSFUL APPLICANTS

ARPA-E has discretion to select all or part of a proposed project for negotiation of an award. A notification letter selecting a Full Application for award negotiations does not authorize the Applicant to commence performance of the project. **ARPA-E selects Full Applications for award negotiations, not for award.** Applicants do not receive an award until award negotiations are complete and the Contracting Officer executes the funding agreement. ARPA-E may terminate award negotiations at any time for any reason.

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

b. POSTPONED SELECTION DETERMINATIONS

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

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

c. UNSUCCESSFUL APPLICANTS

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

B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

~~[TO BE INSERTED BY FOA MODIFICATION IN JULY 2020]~~

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

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

Prime Recipients and Subrecipients are required to obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number at http://fedgov.dnb.com/webform and to register with the System for Award Management (SAM) at www.sam.gov/SAM.
Prime Recipients and Subrecipients should commence this process as soon as possible in order to expedite the execution of a funding agreement. Obtaining a DUNS number and registering with SAM could take several weeks.

Prime Recipients are also required to register with the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS) at https://www.fsrs.gov/.[41] Prime Recipients are required to report to FSRS the names and total compensation of each of the Prime Recipient's five most highly compensated executives and the names and total compensation of each Subrecipient's five most highly compensated executives. Please refer to https://www.fsrs.gov/ for guidance on reporting requirements.

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

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

[41] The Federal Funding Accountability and Transparency Act, P.L. 109-282, 31 U.S.C. 6101 note.

2. NATIONAL POLICY ASSURANCES

Project Teams, including Prime Recipients and Subrecipients, are required to comply with the National Policy Assurances attached to their funding agreement in accordance with 2 C.F.R. 200.300. Please refer to ARPA-E's Model Cooperative Agreement (https://arpa-e.energy.gov/?q=site-page/funding-agreements) for SBIR/STTR awards (http://arpa-e.energy.gov/?q=arpa-e-site-page/award-guidance-sbir-sttr) for guidance on the National Policy Assurances.

3. ENVIRONMENTAL IMPACT QUESTIONNAIRE

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

To facilitate and expedite ARPA-E's environmental review, Prime Recipients are required to complete an Environmental Impact Questionnaire during award negotiations. This form is available on ARPA-E eXCHANGE at http://arpa-e.energy.gov/?q=arpa-e-site-page/pre-award-guidance-sbir-sttr. The Environmental Impact Questionnaire is due within 21 calendar days of the selection announcement.

4. TECHNOLOGY-TO-MARKET PLAN

During award negotiations, Prime Recipients are required to negotiate and submit an initial Technology-to-Market Plan for Phase II and Phase IIS with the ARPA-E Program Director, and obtain the ARPA-E Program Director's approval prior to the execution of the award. Prime Recipients must show how budgeted Technology Transfer and Outreach (TT&O) costs relate to furthering elements of the Technology-to-Market Plan. During the period of performance, Prime Recipients are required to provide regular updates on the initial Technology-to-Market plan and report on implementation of Technology-to-Market activities. Prime Recipients may be required to perform other actions to further the commercialization of their respective technologies. Prime Recipients are not required to negotiate a Technology-to-Market Plan for Phase I only awards.

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

5. INTELLECTUAL PROPERTY AND DATA MANAGEMENT PLANS

ARPA-E requires every Project Team to negotiate and establish an Intellectual Property Management Plan for the management and disposition of intellectual property arising from the project. The Prime Recipient must submit a completed and signed Intellectual Property

Management plan to ARPA-E within six weeks of the effective date of the ARPA-E funding agreement. All Intellectual Property Management Plans are subject to the terms and conditions of the ARPA-E funding agreement and its intellectual property provisions, and applicable Federal laws, regulations, and policies, all of which take precedence over the terms of Intellectual Property Management Plans.

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

Awardees are also required, post-award, to submit a Data Management Plan (DMP) that addresses how data generated in the course of the work performed under an ARPA-E award will be preserved and, as appropriate, shared publicly. At that time ARPA-E may negotiate with the Prime Recipient a mutually agreeable list of data that may be released to the public and not be treated as SBIR/STTR data. The Prime Recipient must submit a completed and signed DMP - as part of the Team's Intellectual Property Management Plan - to ARPA-E within six weeks of the effective date of the ARPA-E funding agreement.

6. U.S. MANUFACTURING REQUIREMENT

As part of its Full Application, each applicant is required to submit a U.S. Manufacturing Plan that includes the following U.S. Manufacturing Requirements. For more information on the required U.S Manufacturing Plan, see Section IV.D.9 above.

a. SMALL BUSINESSES

Small businesses (and in rare cases where a non-profit might manufacture) that are Prime Recipients or Subrecipients under ARPA-E funding agreements must agree that any products embodying any subject invention or produced through the use of any subject invention will be manufactured substantially in the United States for any use or sale anywhere in the world.

Small business must also agree that, for their exclusive and nonexclusive licensees, any products that embody any subject invention or that will be produced through the use of any subject invention will be manufactured substantially in the United States for any use or sale anywhere in the world.

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

b. Large Businesses

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

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

c. Educational Institutions and Nonprofits

Domestic educational institutions and nonprofits that are Prime Recipients or Subrecipients under ARPA-E funding agreements must require their exclusive and nonexclusive licensees to substantially manufacture the following products in the United States for any use or sale anywhere in the world: (1) articles embodying subject inventions, and (2) articles produced through the use of subject inventions. Educational institutions and nonprofits must require their assignees to apply the same U.S. Manufacturing requirements to their licensees.

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

FFRDCs/DOE Labs that are GOCOs and state and local government entities that are Prime Recipients or Subrecipients under ARPA-E funding agreements must require their licensees to substantially manufacture the following products in the United States for any use or sale anywhere in the world: (1) products embodying subject inventions, and (2) products produced through the use of subject inventions. They must also require their assignees to apply the same U.S. Manufacturing requirements to their licensees. GOGOs are subject to the requirements in 37 CFR § 404.5(a)(2).

e. Criteria for Waiving U.S. Manufacturing Requirements

ARPA-E seeks to "enhance the economic and energy security of the United States …" and "ensure that the United States maintains a technological lead in developing and deploying advanced energy technologies." The preferred benefit to the U.S. economy is the creation and maintenance of manufacturing capabilities and jobs within the United States. However, an applicant or awardee may request a modification or waiver of the standard U.S. Manufacturing Requirement, or its submitted U.S. Manufacturing Plan, if the applicant/awardee can demonstrate to the satisfaction of DOE/ARPA-E that it is not commercially feasible to comply

with U.S. manufacturing requirements. In addition, such requests must include a description of specific economic or other benefits to the U.S. economy which are related to the commercial use by requestor of the technology being funded by ARPA-E and which are commensurate with the Government's contribution to the proposed work. These types of benefits are more easily measured and evaluated after technical advance has been made under an award, such as by the making of a subject invention.

Such benefits may include one or more of the following:

- Direct or indirect investment in U.S.-based plant and equipment.
- Creation of new and/or higher-quality U.S.-based jobs.
- Enhancement of the domestic skills base.
- Further domestic development of the technology.
- Significant reinvestment of profits in the domestic economy.
- Positive impact on the U.S. balance of payments in terms of product and service exports as well as foreign licensing royalties and receipts.
- Appropriate recognition of U.S. taxpayer support for the technology; e.g., a quid-pro-quo commensurate with the economic benefit that would be domestically derived by the U.S. taxpayer from U.S.-based manufacture.
- Cross-licensing, sublicensing, and reassignment provisions in licenses which seek to maximize the benefits to the U.S. taxpayer.
- Any foreign manufacturing/use will occur in a country that protects U.S. patents/intellectual property.

7. Corporate Felony Convictions and Federal Tax Liability

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

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

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

8. Applicant Risk Analysis

If selected for award negotiations, ARPA-E may evaluate the risks posed by the Applicant using

the criteria set forth at 2 CFR §200.205(c), subparagraphs (1) through (4). ARPA-E may require special award terms and conditions depending upon results of the risk analysis.

9. RECIPIENT INTEGRITY AND PERFORMANCE MATTERS

Prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold (presently $250,000), ARPA-E is required to review and consider any information about Applicants that is contained in the Office of Management and Budget's designated integrity and performance system accessible through SAM (currently the Federal Awardee Performance and Integrity Information System or FAPIIS) (41 U.S.C. § 2313 and 2 C.F.R. 200.205).

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

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

12. NONDISCLOSURE AND CONFIDENTIALITY AGREEMENTS REPRESENTATIONS

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

(1) **It does not and will not** require its employees or contractors to sign internal nondisclosure or confidentiality agreements or statements prohibiting or otherwise restricting its employees or contractors from lawfully reporting waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(2) **It does not and will not** use any Federal funds to implement or enforce any nondisclosure and/or confidentiality policy, form, or agreement it uses unless it contains the following provisions:

a. *"These provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling."*

b. The limitation above shall not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

c. Notwithstanding provision listed in paragraph (a), a nondisclosure confidentiality policy form or agreement that is to be executed by a person connected with the conduct of an intelligence or intelligence-related activity, other than an employee or officer of the United States Government, may contain provisions appropriate to the particular activity for which such document is to be used. Such form or agreement shall, at a minimum, require that the person will not disclose any classified information received in the course of such activity unless specifically authorized to do so by the United States Government. Such nondisclosure or confidentiality forms shall also make it clear that they do not bar disclosure to congress, or to an authorized official of an executive agency or the Department of Justice, that are essential to reporting a substantial violation of law.

C. REPORTING

~~[TO BE INSERTED BY FOA MODIFICATION IN JULY 2020]~~

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

VII. AGENCY CONTACTS

A. COMMUNICATIONS WITH ARPA-E

Upon the issuance of a FOA, only the Contracting Officer may communicate with Applicants. ARPA-E personnel and our support contractors are prohibited from communicating (in writing or otherwise) with Applicants regarding the FOA. This "quiet period" remains in effect until ARPA-E's public announcement of its project selections.

During the "quiet period," Applicants are required to submit all questions regarding this FOA to ARPA-E-CO@hq.doe.gov. Questions and Answers (Q&As) about ARPA-E and the FOA are available at http://arpa-e.energy.gov/faq. For questions that have not already been answered, please send an email with the FOA name and number in the subject line to ARPA-E-CO@hq.doe.gov. Due to the volume of questions received, ARPA-E will only answer pertinent questions that have not yet been answered and posted at the above link.

- ARPA-E will post responses on a weekly basis to any questions that are received that have not already been addressed at the link above. ARPA-E may re-phrase questions or consolidate similar questions for administrative purposes.
- ARPA-E will cease to accept questions approximately 10 business days in advance of each submission deadline. Responses to questions received before the cutoff will be posted approximately one business day in advance of the submission deadline. ARPA-E may re-phrase questions or consolidate similar questions for administrative purposes.
- Responses are published in a document specific to this FOA under "CURRENT FUNDING OPPORTUNITIES – FAQS" on ARPA-E's website (http://arpa-e.energy.gov/faq).

Applicants may submit questions regarding ARPA-E eXCHANGE, ARPA-E's online application portal, to 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.

ARPA-E will not accept or respond to communications received by other means (e.g., fax, telephone, mail, hand delivery). Emails sent to other email addresses will be disregarded.

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

B. DEBRIEFINGS

ARPA-E does not offer or provide debriefings. ARPA-E provides Applicants with a notification encouraging or discouraging the submission of a Full Application based on ARPA-E's assessment of the Concept Paper. In addition, ARPA-E provides Applicants with reviewer comments on Full Applications before the submission deadline for Replies to Reviewer Comments.

VIII. OTHER INFORMATION

A. TITLE TO SUBJECT INVENTIONS

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

- Domestic Small Businesses, Educational Institutions, and Nonprofits: Under the Bayh-Dole Act (35 U.S.C. § 200 et seq.), domestic small businesses, educational institutions, and nonprofits may elect to retain title to their subject inventions. If Prime Recipients/Subrecipients elect to retain title, they must file a patent application in a timely fashion, generally one year from election of title, though: a) extensions can be granted, and b) earlier filing is required for certain situations ("statutory bars," governed by 35 U.S.C. § 102) involving publication, sale, or public use of the subject invention.
- All other parties: The Federal Non-Nuclear Energy Research and Development Act of 1974, 42. U.S.C. 5908, provides that the Government obtains title to new inventions unless a waiver is granted (*see below)*.
- Class Waiver: Under 42 U.S.C. § 5908, title to subject inventions vests in the U.S. Government and large businesses and foreign entities do not have the automatic right to elect to retain title to subject inventions. However, ARPA-E typically issues "class patent waivers" under which large businesses and foreign entities that meet certain stated requirements, such as cost sharing of at least 20%, may elect to retain title to their subject inventions. If a large business or foreign entity elects to retain title to its subject invention, it must file a patent application in a timely fashion. If the class waiver does not apply, a party may request a waiver in accordance with 10 C.F.R. §784.
- GOGOs are subject to the requirements of 37 C.F.R. Part 501.
- Determination of Exceptional Circumstances (DEC): DOE has determined that exceptional circumstances exist that warrant the modification of the standard patent rights clause for small businesses and non-profit awardees under Bayh-Dole to maximize the manufacture of technologies supported by ARPA-E awards in the United States. The DEC, including a right of appeal, is dated September 9, 2013 and is available at the following link: http://energy.gov/gc/downloads/determination-exceptional-circumstances-under-bayh-dole-act-energy-efficiency-renewable. Please see Section IV.D and VI.B for more information on U.S. Manufacturing Requirements.

B. GOVERNMENT RIGHTS IN SUBJECT INVENTIONS

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

1. GOVERNMENT USE LICENSE

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

2. MARCH-IN RIGHTS

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

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

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

C. RIGHTS IN TECHNICAL DATA

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

- Background or "Limited Rights Data": The U.S. Government will not normally require delivery of technical data developed solely at private expense prior to issuance of an award, except as necessary to monitor technical progress and evaluate the potential of proposed technologies to reach specific technical and cost metrics.
- Generated Data: Pursuant to special statutory authority for SBIR/STTR awards, data generated under ARPA-E SBIR/STTR awards may be protected from public disclosure for twenty years from the date of award in accordance with provisions that will be set forth in the award. In addition, invention disclosures may be protected from public disclosure for a reasonable time in order to allow for filing a patent application.

D. 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).

E. 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.

F. 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.

G. REQUIREMENT FOR FULL AND COMPLETE DISCLOSURE

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

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

H. RETENTION OF SUBMISSIONS

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

I. MARKING OF CONFIDENTIAL INFORMATION

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

Concept Papers, Full Applications, Replies to Reviewer Comments, and other submissions containing confidential, proprietary, or privileged information should be marked on the cover page with the following:

Notice of Restriction on Disclosure and Use of Data:

This document contains trade secrets or commercial or financial information that is privileged or confidential and exempt from public disclosure and is submitted only for the purposes of internal agency review of this Application. The Government may not use or disclose any information herein without permission.

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."

J. ADDITIONAL NOTICES

- This FOA is intended for informational purposes and reflects current planning. If there is any inconsistency between the information contained herein and the terms of any resulting SBIR or STTR funding agreement, the terms of the funding agreement are controlling.
- Before award of an SBIR or STTR funding agreement, ARPA-E may request the selectee to submit certain organizational, management, personnel, and financial information to assure responsibility of the Prime Recipient. In addition, selectees will be required to make certain legal commitments at the time of execution of funding agreements resulting from this FOA. ARPA-E encourages Prime Recipients to review the Model Cooperative Agreement for SBIR/STTR Awards, which is available at https://arpa-e.energy.gov/?q=site-page/funding-agreements.
- ARPA-E will not pay a fee or profit on Cooperative Agreements resulting from this FOA to recipients or subrecipients.
- Actual or suspected fraud, waste, or abuse may be reported to the DOE Office of Inspector General (OIG) at 1-800-541-1625.

K. COMPLIANCE AUDIT REQUIREMENT

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

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

IX. GLOSSARY

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

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

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

Cost Sharing: is the portion of project costs not paid by Federal funds (unless otherwise authorized by Federal statue). Refer to 2 C.F.R. § 200.29.

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

DOE: U.S. Department of Energy.

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

FFRDCs: Federally Funded Research and Development Centers.

FOA: Funding Opportunity Announcement.

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

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

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

Nonprofit Organizations (or *nonprofits*): Has the meaning set forth at 2 C.F.R. § 200.70.

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

PI: Principal Investigator.

Project Team: A Project Team consists of the Prime Recipient, Subrecipients, and others performing any of the research and development work under an ARPA-E funding agreement, whether or not costs of performing the research and development work are being reimbursed under any agreement.

SBA: U.S. Small Business Administration.

SBIR: Small Business Innovation Research Program.

Small Business Concern: A for-profit entity that: (1) maintains a place of business located in the United States; (2) operates primarily within the United States or makes a significant contribution to the United States economy through payment of taxes or use of American products, materials or labor; (3) is an individual proprietorship, partnership, corporation, limited liability company, joint venture, association, trust, or cooperative; and (4) meets the size eligibility requirements set forth in 13 C.F.R. § 121.702. Where the entity is formed as a joint venture, there can be no more than 49% participation by foreign business entities in the joint venture.

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

STTR: Small Business Technology Transfer Program.

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

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

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