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| **Applicant:** |
| **Application Control Number:** |

*INSTRUCTIONS:* *The Applicant (i.e. the Lead Prime Recipient or the Lead Lab) is required to provide and submit the information requested in this form with the Full Application on behalf of the Project Team. Alternatively, the Applicant may submit this form on its own behalf and append separate forms completed by each Project Team member as long as each form includes the specific certification below. ARPA-E strongly encourages Applicants to use this template. Additional instructions are provided below. A sample response to this form is available on ARPA-E eXCHANGE (*[*https://arpa-e-foa.energy.gov*](https://arpa-e-foa.energy.gov)*).*

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| **Certification:** I certify that that the information submitted in this form is true, complete, and accurate. I understand that false statements or misrepresentations may result in criminal and/or civil penalties. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. 3801-3812). | |
| **Applicant’s Authorized Representative:**  **Date:** | **Principal Investigator:**  **Date:** |
| **Co-Principal Investigator:**  **Date:** | **Covered Individual[[1]](#footnote-2):**  **Date:** |
| **Covered Individual:**  **Date:** | **Covered Individual:**  **Date:** |

*(Add more signature lines / dated signatures as needed for all Covered Individuals.)*

1. **RESPONSIBILITY DISCLOSURES:** Mandatory. No page limit. The Applicant is required to disclose if any of the following conditions exist. If the answer to any of the questions in this Section is “Yes,” the Applicant is required to provide a detailed explanation in the space below.
   1. **Has the Applicant,** **any other member of the Project Team, or any of the principals[[2]](#footnote-3) been convicted of a covered offense[[3]](#footnote-4) in the last three years or had a civil judgment rendered against them for one of those offenses in that time period?**

YES NO

* 1. **Is the Applicant, any other member of the Project Team, or any of the principals presently excluded[[4]](#footnote-5) or disqualified[[5]](#footnote-6) from participation in Federal programs or activities?**

YES NO

* 1. **Is the Applicant, any other member of the Project Team, or any of the principals presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of a covered offense?**

YES NO

* 1. **Has the Applicant, any other member of the Project Team, or any of the principals had one or more transactions with governmental entities (Federal, State, or local) terminated within the preceding three years for cause, default, or material noncompliance?**

YES NO

* 1. **If a corporation, have the Applicant or any other member of the Project Team been convicted of any felony criminal violation under any Federal law within the preceding two years?**

YES NO  N/A (not a corporation)

* 1. **If a corporation, does the Applicant or any other member of the Project Team have 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 an authority responsible for collecting the tax liability?**

YES NO  N/A (not a corporation)

**If the answer to any of the above questions is “Yes,” please use the space below to provide a detailed explanation.**

1. **ADDITIONALITY AND RISKS:** Mandatory. 4 pages maximum. The Applicant must provide a narrative response to each question below.
   1. **Describe the technical and market risks associated with the proposed R&D project.**

* 1. **Describe why the Applicant and/or other members of the Project Team need ARPA-E funding for the proposed R&D project, relative to other funding sources.**[[6]](#footnote-7)
* If the Applicant is a large business, describe why this R&D project is not being sponsored internally.
* If the Applicant is a small business sponsored by private investors, identify the types of private investors that have supported your business and explain why this R&D project is not being supported by the private investors.
* If the Applicant is a small business not sponsored by private investors, describe why this R&D project has been unable to attract private financing.
* If the Applicant is a university, nonprofit, or national laboratory, describe the institutional or other resources that may be leveraged, and explain why these resources have not been available to date.

* 1. **Describe how, if successful, the proposed R&D project may provide a benefit to the United States (e.g., increased employment in the domestic energy sector, increased domestic manufacturing of novel energy technologies).**

1. **CURRENT, PENDING, AND PAST SUPPORT.** Mandatory. No page limit.

Disclosure of current, pending, and past support (within the last 5 years) is intended to allow the identification of potential duplication, overcommitment, potential conflicts of interest or commitment, and all other sources of support.

The Applicant and every other member of the Project Team (including, without limitation, the PI, Co-PI, Key Personnel and every other “covered individual” at the Applicant and any other member of the Project Team) must provide a list of all sponsored activities, awards, and appointments (including faculty, visiting, adjunct, or honorary), whether paid or unpaid; provided as a gift with terms or conditions or provided as a gift without terms or conditions; full-time or part-time; cash or in-kind; foreign or domestic; governmental or private sector; directly supporting the individual’s research or indirectly supporting the individual by supporting students, research staff, space, equipment, or other research expenses. Involvement in any foreign government-sponsored talent recruitment programs must be disclosed in this section.

Complete the following table for each disclosure. If additional tables are required, please include the tables in an addendum to this form. If the Applicant and all members of the Project Team have not received any such support and have no applicable pending support, check the box marked “None” below.

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| **If NONE, check here** |

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| **Entity Name (Applicant or Project Team Member):** |
| **Individual Name and Role on the Project Team (e.g., PI, Key Personnel, etc.):** |
| **Contact Information (telephone and email address):** |
| **Sponsor of the Activity or the Source of the Award Funding:** |
| **Award or Activity Status (e.g., pending, awarded, ended):** |
| **Date of Submission (if still pending):** |
| **Title of Award or Activity:** |
| **Brief Description/Abstract of Award or Activity:** |
| **Total cost or value of the Award or Activity (including cost share, if any):** |
| **Award or Activity Period (Start and End Dates):** |

1. **CONFLICT OF INTEREST (COI) POLICY AND COIS WITHIN PROJECT TEAM:**

Mandatory. No page limit. The Applicant is required to (i) provide a link to or copy of (as an addendum to this form) the applicant’s up-to-date, written, enforced policy on financial and organizational conflicts of interest that complies with the DOE Interim COI Policy (available at <https://www.energy.gov/management/financial-assistance-letter-no-fal-2022-02>) and (ii) in accordance with the Applicant’s policy, disclose conflicts of interest within the Project Team. This includes each “Covered Individual” as that term is defined in this document. Complete a separate table for each COI, including both “managed” and “un-managed” conflicts, as those terms are defined in the DOE Interim COI Policy. If additional tables are required, include the tables in an addendum to this form. If no conflicts of interest exist, check the box marked “None” below.

Examples of conflicts of interest include but are not limited to:

* The PI for the Prime Recipient has an equity stake in a Subrecipient;
* The PI for a Subrecipient has a consulting arrangement with the Prime Recipient;
* A Subrecipient is a subsidiary of or is otherwise affiliated with the Prime Recipient; or
* There is an existing or planned licensing agreement that covers intellectual property related to the subject matter of the proposed project.

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| **Location of Organizational Conflict of Interest Management Plan or Process:** |

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| **If NO Conflicts of Interest, check here** |

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| **Conflicted Individual or Entity #1:** |
| **Description of Conflict of Interest:** |

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| **Conflicted Individual or Entity #2:** |
| **Description of Conflict of Interest:** |

1. **WAIVER REQUEST – FOREIGN WORK** (see Section IV.G.6 of the FOA)**:** Optional. No page limit.

ARPA-E requires all project work to be performed in the United States, without regard to how that work is funded. Rarely, a “foreign work waiver” may be provided by ARPA-E in order to allow performance of part of the work outside of the United States. ARPA-E’s provision of a foreign work waiver is a fact dependent, case-by-case determination that is made only in exceptional circumstances and only for discrete parts of an award that necessitate foreign work.

Applicants may request a waiver of this requirement if they wish to perform some work overseas. Complete a separate table for each entity (including the Prime Recipient, subrecipients, and any vendors) that is requesting to perform work (not including the sourcing of proposed supplies or equipment) overseas. Foreign purchases of supplies and equipment do not require a Foreign Work Waiver, but are subject to review and approval by the Contracting Officer as described in the FOA. Overall, the waiver request must demonstrate to the satisfaction of ARPA-E that the work cannot be adequately performed in the U.S. and that the foreign work would further the purposes of this FOA.

If additional tables are required, include the tables in an addendum to this form. If no work will be performed overseas, check the box marked “Not Applicable” below.

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| **If NOT APPLICABLE, check here** |

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| **Entity Name:** |
| **Individual(s) performing the work (Name, Position Title, Organization):** |
| **Location(s) where work will be performed (City and Country):** |
| **Description of work to be performed outside of the U.S. (provide a detailed narrative describing the work to be performed):** |
| **The total estimated cost of the proposed work in (each) foreign country (differentiate between Federal and non-Federal funds):** |
| **Rationale for performing work overseas (i.e., Why does this work need to be performed in a foreign country? Do these capabilities exist in the U.S., and if they do exist in the U.S., why should ARPA-E grant the waiver?):** |

1. **WAIVER REQUEST – TECHNOLOGY TRANSFER AND OUTREACH COSTS** (see Section IV.G.8 of the FOA)**:** Optional. No page limit. ARPA-E requires Applicants to spend at least 5% of ARPA-E funding on Technology Transfer and Outreach (TT&O) activities. Applicants may request a waiver of this requirement in whole or in part. If the Applicant is seeking a waiver, please provide the information in the table below. If the Applicant is not seeking a waiver, check the box marked “Not Applicable” below.

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| **If NOT APPLICABLE, check here** |

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| **Proposed % to Be Spent on TT&O Activities:** |
| **Rationale for Waiver Request:** |

1. **FFRDC AUTHORIZATION** (see Section II.B.2 of the FOA)**:**  Mandatory for FFRDCs only. No page limit. Before submitting a Full Application, DOE/NNSA FFRDCs are required to obtain written authorization from the cognizant DOE/NNSA contracting officer. Non-DOE/NNSA FFRDCs are required to obtain written authorization from the cognizant Federal agency sponsoring the FFRDC. If the Applicant is not a FFRDC, check the box marked “Not Applicable” below.

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| **If NOT APPLICABLE, check here** |

The written authorization must be appended to this form and be signed and dated by the authorizing contracting officer. The following wording is suggested (but not mandatory) for the written authorization. The authorizing contracting officer may use other language, as appropriate.

“Authorization is granted for [FFRDC Name] to participate in the proposed project. The work proposed for [FFRDC Name] is consistent with or complimentary to the missions of [FFRDC Name], will not adversely impact execution of assigned programs at [FFRDC Name], and will not place [FFRDC Name] in direct competition with the domestic private sector.”

1. **FIELD WORK PROPOSAL** (see Section II.B.2 of the FOA): Mandatory for DOE/NNSA FFRDCs only. No page limit. DOE/NNSA FFRDCs are required to append a Field Work Proposal to this form. The Field Work Proposal must conform to the instructions in DOE O 412.1A, “Work Authorization System” (<https://www.directives.doe.gov/directives-documents/400-series/0412.1-BOrder-a-chg1-AdmChg>). If the Applicant is not a DOE/NNSA FFRDC, check the box marked “Not Applicable” below.

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| **If NOT APPLICABLE, check here** |

1. **Unique Entity Identifier (UEI) and System for Award Management (SAM) registration** (see Section VI.B.1 of the FOA): Mandatory.

Prime Recipients must have an active registration in SAM (<https://www.sam.gov/portal/public/SAM/>) and obtain a UEI in order to receive an award under this FOA. Subrecipients do not need an active SAM registration but must have a UEI. Registering with SAM and obtaining a UEI could take several weeks, so **Prime Recipients and Subrecipients should begin these efforts as soon as possible**. Complete a separate table for each entity with the entity’s UEI number, confirmation of active registration in SAM (Prime Recipient only), or the dates when the entity began or will begin the process of obtaining a UEI and/or SAM registration.

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| **Entity #1 (Prime):** |
| **UEI:** YES ; Number: |
| NO ; if no, date when process to obtain one began or will begin: |
| **Active SAM Registration:** YES |
| NO ; if no, date when process to register began or will begin: |

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| **Entity #2 (Subrecipient):** |
| **UEI:** YES ; Number: |
| NO ; if no, date when process to obtain one began or will begin: |

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| **Entity #3 (Subrecipient):** |
| **UEI:** YES ; Number: |
| NO ; if no, date when process to obtain one began or will begin: |

1. **Disclosure of Foreign Relationships** (see Section VI.B.8 of the FOA): Mandatory. Each Applicant and every member of the Project Team must disclose their foreign relationships. Please note that even if you do not have any foreign relationships, you must complete this disclosure to certify that such relationships do not exist. Failure to do may result in ARPA-E determining that your Full Application is non-compliant.

The Applicant will be required to repay all amounts received under the award if there is a change in ownership, change to entity structure, or other substantial change in the circumstances of the Applicant that ARPA-E determines poses a risk to national security.

The Applicant has a responsibility to update the disclosures during the period of performance of the award if: (i) there is any change to a disclosure required under questions a-e, (ii) there is any material misstatement that ARPA-E could determine poses a risk to national security, or (iii) there is a change in ownership, change to entity structure, or other substantial change in the circumstances of the Applicant that ARPA-E could determine poses a risk to national security.

* 1. **Is any owner, officer, or covered individual from the Applicant or any member of the Project Team party to any foreign talent recruitment program of any foreign country of concern?[[7]](#footnote-8) If yes, provide the information requested in the table below.**

YES NO

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| First Name | Last Name | E-mail Address | Role (Owner or Covered Individual) | Current Country of Residence | Foreign Talent Recruitment Program |
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* 1. **Is** **there a joint venture or subsidiary of the Applicant or any member of the Project Team that is based in a foreign country of concern or funded by a foreign entity[[8]](#footnote-9) associated with any foreign country of concern? If yes, provide the information requested in the table below.**

YES NO

|  |  |  |  |
| --- | --- | --- | --- |
| Entity Name | Full Street Address | Country | Relationship (i.e., Joint Venture, Subsidiary) |
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* 1. **Is the Applicant or any member of the Project Team majority owned by a separate entity (“investing entity”) located in a foreign country of concern? If yes, please proceed to question c.1. If no, please proceed to question d.**

YES NO

**c.1. Does** **the investing entity have a general partner or individual holding a leadership role who has an affiliation with any foreign country of concern? If yes, provide the information requested in the table below.**

YES NO

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| --- | --- | --- |
| Venture Capital or Institutional Investor | Percentage of Investment | Type of Investment (e.g., Equity, Debt, or both) |
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* 1. **During** **the previous 5-year period, did the Applicant or any member of the Project Team enter into any technology licensing agreements or have any intellectual property sales to an entity located in or controlled by a foreign country of concern? If yes, please disclose the name and address of the entity that licensed or purchased the intellectual property.**

YES NO

|  |  |  |
| --- | --- | --- |
| Licensee or Intellectual Property Buyer Name | Foreign Country of Concern | Full Street Address |
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**Question e relates to ANY foreign countries.**

* 1. **Does** **the Applicant or any member of the Project Team have any current or pending contractual or financial obligation or other agreement (e.g., a business arrangement or joint venture-like arrangement) with a foreign entity owned by a foreign government? If yes, please disclose the name and address of the entity and the nature of the business relationship.**

YES NO

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Foreign Entity Name | Relationship Type[[9]](#footnote-10) | Description of Relationship | Entity Owned by a Foreign Government (Y/N) | Foreign Government/Entity Country Name |
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1. Covered Individual: an individual who contributes in a substantive, meaningful way to the scientific development or execution of an R&D project proposed to be carried out with an award from ARPA-E. This includes, but is not limited to, the PI, Co-PI, Key Personnel, and technical staff (e.g., postdoctoral fellows/researchers and graduate students). ARPA-E may further designate covered individuals during award negotiations or the award period of performance. [↑](#footnote-ref-2)
2. In this form, “principal” means: (1) An officer, director, owner, partner, principal investigator (PI), Co-PI, Key Personnel, or other person (as defined in 2 C.F.R. 180.985) within the Project Team with management or supervisory responsibilities related to this application and any resulting transaction; or (2) A consultant or other person, whether or not employed by the Applicant or its principals, or paid with Federal funds, who (a) is in a position to handle Federal funds, (b) is in a position to influence or control the use of those funds, or (c) occupies a technical or professional position capable of substantially influencing the development or outcome of an activity required to perform the transaction, including, without limitation, any Co-PIs. [↑](#footnote-ref-3)
3. In this form, “covered offenses” include: (1) Commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public or private agreement or transaction; (2) Violation of Federal or State antitrust statutes, including those proscribing price fixing between competitors, allocation of customers between competitors, and bid rigging; (3) Commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; or (4) Commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects the Applicant’s present responsibility. [↑](#footnote-ref-4)
4. In this form, “excluded” refers to: Only discretionary actions taken by a suspending or debarring official under Executive Order 12549 and Executive Order 12689 or under the Federal Acquisition Regulation (48 C.F.R. Part 9, Subpart 9.4. [↑](#footnote-ref-5)
5. In this form, “disqualified” refers to: Prohibitions under specific statutes, executive orders (other than Executive Order 12549 and Executive Order 12689), or other authorities. Disqualifications frequently are not subject to the discretion of a Federal agency official, may have a different scope than exclusions, or have special conditions that apply to the disqualification. [↑](#footnote-ref-6)
6. In support of your description, you are required to attach to this form any letter(s) or other communication(s) (e.g., emails) from private investors that you have received explaining why they decided not to fund the proposed R&D project. [↑](#footnote-ref-7)
7. “Foreign Countries of Concern”, as defined by the State Department here: https://www.state.gov/countries-of-particular-concern-special-watch-list-countries-entities-of-particular-concern/, include (as of November 2022) Burma, People’s Republic of China, Cuba, Eritrea, Iran, the Democratic People’s Republic of Korea, Nicaragua, Pakistan, Russia, Saudi Arabia, Tajikistan, and Turkmenistan. [↑](#footnote-ref-8)
8. “Foreign Entity” means (1) any foreign government or foreign government agency or instrumentality thereof; (2) any international organization; (3) any form of business enterprise or legal entity organized, chartered or incorporated under the laws of any country other than the United States or its territories; (4) any form of business enterprise organized or incorporated under the laws of the United States or a State or other jurisdiction within the United States which is owned, controlled or influenced by a foreign government, agency, firm, corporation, or a person who is not a citizen or national of the United States; and (5) any person who is not a citizen or national of the United States. [↑](#footnote-ref-9)
9. i.e., current or pending contractual arrangement, financial obligation, other agreement/business arrangement, joint venture-like arrangement. [↑](#footnote-ref-10)