**PROJECT TITLE**

*Pages 1-6 of this document contain confidential, proprietary, or privileged information that is exempt from pub­lic disclosure. Such information shall be used or disclosed only for evaluation purposes or in accordance with a financial assistance or loan agreement between the submitter and the Government. The Government may use or disclose any information that is not appropriately marked or otherwise restricted, regardless of source.*

Lead Organization (City, State); Principal Investigator Name

ARPA-E Award Number

ARPA-E Program

iEdison Confirmation Number

Estimated Budget: Fed: $xxx/ Cost Share: $xxx/ Total: $xxx

Project Duration

|  |
| --- |
| **INSTRUCTIONS for Cover Page Section:**   1. The Project Title should be brief and descriptive of the proposed technology. 2. Identify the original ARPA-E Award Number under which the technology development occurred, the ARPA-E Program participated in, as well as confirmation of a Subject Invention report filing with iEdison. 3. Enter the Estimated Budget in U.S. dollars and Cost Share percentage. 4. Enter the proposed duration of the project in months. |

**INSTRUCTIONS FOR SECTIONS 1-7:**

**The cumulative length of Sections 1-7 shall not exceed 6 pages.**

1. **PROJECT SUMMARY AND OBJECTIVES**

Provide a clear and concise (high-level) statement of the problem to be solved, goals, and objectives of the proposed project. Specify what the technology product will be, at what scale (e.g. volume, number, weight, etc.) and how it will be delivered by the end of project. Include context for how these goals and objectives are crucial for the commercial success of your technology. Compare the targeted improvements, expected outcomes, and performance of the proposed technology to the current state-of-the-art.

1. **TECHNOLOGY STATUS**

Address the state of the technology, include context and background to justify the particular approach. Explain the significance of the scalability, reliability, and/or manufacturing challenge. Describe the technology readiness and development progress that supports the ability to proceed to scaling. Discuss the technology characteristics and features demonstrated through the original ARPA-E award, and any subsequent R&D that helped mitigate both the technical and business risk.

1. **INTELLECTUAL PROPERTY (IP) STRATEGY**

Describe the IP status of the technology, including any information on secured ownership and licenses. Describe the freedom to operate or practice the technology without infringing upon the patent rights of others. Discuss any potential IP risks associated with the technology and plans to strengthen your IP position throughout the proposed project.

1. **PATH TO MARKET**

Describe the proposed markets (first, subsequent, and target) for the technology. Describe the supply and distribution channel requirements to deliver broad impact, including availability of existing channels and any known gaps. Discuss the barriers to entry and competitive landscape that present risk to successful technology adoption. This includes potential regulatory constraints that can impact market entry, such as codes/standards, compliance with environmental laws, etc. Explain how the identified risk areas are anticipated to change and the mitigation efforts that will continue after completion of the proposed project (five year timeframe). Describe the business development efforts that will continue after completion of the proposed project (five year timeframe), including the potential investment sources and how those funds would be used.

1. **PROJECT PLAN**

Describe the overall work and final deliverable(s) to be accomplished in terms of project scope, design and approach to achieve the objectives. Provide the Go/No Go Decision Points, as well as expected key milestones and tasks to be performed during the proposed project to demonstrate success. Describe the specific expected end result and verification process. Describe how the proposed project will address and enable future scaling to progress beyond pilot-level scale or product volumes. Discuss the potential risks that may impact the success of the proposed project plan. Explain how these identified risk areas are anticipated to change throughout and by the conclusion of the project. Provide an estimate of federal funds requested, as well as the total project cost including cost sharing.

1. **TEAM ORGANIZATION AND CAPABILITIES**

List the members of your Project Team and their skills/competencies that are relevant to the proposed project, e.g. technology scaling, manufacturing, and general project management. Describe all changes to the Project Team since the original ARPA-E award that funded the technology’s research and development. Describe any skillset gaps within the current Project Team, and how they will be addressed prior to submission of the Full Application. Describe the key facilities and/or equipment necessary for completion of the proposed project. In addition, identify any Commercialization or Financial Partners (existing and proposed). Describe how each will enable the success of the proposed project and the value the technology offers these partners in return.

1. **POTENTIAL IMPACTS**

Explain the impact of ARPA-E funds on the development of the technology, and the efforts by the applicant to date to secure funding. Describe why the proposed activity is high risk and beyond the tolerance of private funding. Discuss the anticipated long-term market impacts the technology will have on the US economy and energy landscape once the proposed project is complete. When responding, indicate how the technology will impact the ARPA-E mission areas.

1. **REFERENCES**

Provide a list of references appropriate for Sections 1-7.

**INSTRUCTIONS for the References Section:**

1. Only bibliographic information may be contained in the references. No additional text or commentary is allowed.
2. There is no page limit for the Bibliographic References Section, which is outside of the overall 6 page limit for Sections 1-7.

**Preliminary Application TEMPLATE INSTRUCTIONS**

**CONTENT REQUIREMENTS (See Section IV.C of the FOA for Content Requirements):**

1. The Preliminary Application template may be used to prepare Preliminary Applications.
2. Applicants should ensure the accuracy of their Preliminary Application by reviewing and/or printing prior to the Preliminary Application submission.
3. ARPA-E may not review or consider noncompliant and/or nonresponsive Preliminary Application (see Section III.C of the FOA).
4. Each Preliminary Application should be limited to a single technology. Unrelated technologies should not be consolidated into a single Preliminary Application.
5. Confidential, proprietary, or privileged information should be indicated by including in the header and footer of every page the following language: “Contains Confidential, Proprietary, or Privileged Information Exempt from Public Disclosure.” In addition, the cover sheet of the Preliminary Application must also include the disclaimer provided in Section IX.I of the FOA, and every line and paragraph containing proprietary, privileged, or trade secret information must be clearly marked with double brackets or highlighting. See Section IX.I of the FOA for additional information on marking confidential information.
6. Delete these template instructions and delete the prompts in each section above prior to submitting Preliminary Applications.

**FORMAT REQUIREMENTS (See Section IV.C of the FOA for Format Requirements):**

1. Preliminary Applications must be submitted in Adobe PDF format, be written in English, use black 12 point or larger Times New Roman font (except in figures and tables), use 8.5 inch by 11 inch paper, be single-spaced, and have margins no less than 1 inch on every side.
2. Preliminary Applications shall not exceed six (6) pages in length including graphics, figures, and/or tables. If applicants exceed the maximum page length, ARPA-E will review only the authorized number of pages and disregard any additional pages.
3. The ARPA-E assigned Control Number, Lead Organization Name, and Principal Investigator’s (PI’s) Last Name must be in the upper right corner of the header of every page. Page numbers must be included in the footer of every page.