

*Instructions are for the Resource Analyst, unless otherwise indicated.*

These procedures apply to proposals in response to ARPA-E solicitation where the solicitation indicates LBNL, as an FFRDC, will be funded directly through the WAS including:

- DOE-Direct proposals where we submit an application as the prime institution to ARPA-E
- LBNL is a subaward on an ARPA-E proposal, but we will be receiving funding directly from DOE.
- Concept Papers
- Full Applications

These procedures do not apply to the ARPA-E SBIR/STTR applications submitted as a subaward to a small business because the ARPA-E solicitation does not state DOE FFRDCs will receive funding directly.

**Overview:** ARPA-E proposals are submitted using the ARPA-E Exchange System. The PI and/or the RA needs to be registered there. eSRA does not submit proposals directly to the ARPA-E Exchange System. The proposal is submitted in the ARPA-E Exchange System and recorded for division and institutional tracking purposes in eSRA. eSRA can assist to prepare some parts of the proposal, such as the FWP and the DOE Eligibility Letter; but it is not required to use eSRA to create these documents. They can be created using Word documents.

These instructions include how to use eSRA for Concept Papers and full applications. Enter the Concept Paper in eSRA for division and institutional tracking purposes. When invited to apply, convert the Concept Paper proposal into a Full Application in eSRA. If the Concept Paper was not entered into eSRA, you can create a new proposal submission for the full application skipping the Concept Paper steps. Many ARPA-E solicitations require an FWP in the disclosures section of the full application. eSRA was developed to create an FWP for the Office of Science electronic submission application. These instructions will enable you to leverage the eSRA system to create the FWP as if the proposal were going to the Office of Science electronic system, then change the proposal to ARPA-E in eSRA.



**Note:** *In order to facilitate tracking ARPA-E proposals in the future, the directorate encourages all divisions to enter their proposals into eSRA starting with the OPEN 2015 call.*



*Hint: Because the eSRA system is used to track ARPA-E proposals, not submit them directly to the ARPA-E exchange, you can complete the eSRA data entry after the ARPA-E deadline has passed. However, we recommend you start the proposal in eSRA and complete View 1.0 and 2.9 early in the process. If you start the proposal in eSRA after the due date has passed, you will need assistance from the eSRA Help desk because you cannot save View 2.9 with a due date in the past.*

### Concept Papers

See also eLearning modules *eSR6906 DOE-Direct: Letters of Intent, Pre-Proposals and Full Technical Proposals* and *eSRA2001 eSRA Navigation Basics*.

- Create the proposal answering all the questions and be sure to use these values:

1.a.1 = DOE Direct
1.a.2 = DOE Other
1.a.3 = Other electronic sponsor system
1.c = Directorate requests including “ <b>ARPA-E OPEN CALL 2015</b> ” somewhere in the nickname to facilitate their ability to search for all responses to this call. Other ARPA-E calls might use a similar indicator to assist with locating ARPA-E proposals. <b>The ARPA-E Exchange application # can also be entered here for later search capability.</b>
2.9.c = Application deadline for the Concept Paper
2.9.d = Pre-Proposal
2.9.f and g = optional ability to give others access to this proposal *
2.9.h = (leave answer blank)
8.5 = Upload the PDF of the Concept paper that is submitted to the ARPA-E Exchange
9.3.PD = Enter budget information only if you are including budget info with the Concept Paper

\* eSRA provides the ability to grant additional LBNL individuals access to the proposal, regardless of their roles in the eSRA system. 2.9.f provides access to edit eSRA data the fields and upload documents within the proposal. (The uploaded documents themselves are not edited inside of eSRA.) 2.9.g provides view only access. (Division Reviewers and Resource Analysts automatically have view access to the proposal.)

***eSRA processing of a pre-proposals (Concept Papers) is configured without routing for approvals; but some divisions have expressed an interest in doing so and have requested instructions on how to accomplish that within eSRA. This is our recommendation:***

- ***When ready for review, notify the reviewers outside of eSRA the proposal is ready.***
- ***Division Reviewers will find the proposal by searching for the proposal using the top navigation bar in eSRA. It will not be in their inbox.***
- ***Comments/Feedback/Approvals can use the “Email Proposal Team” activity to send email to the PI, RAs, and people provided access in 2.9.f or 2.9.g of the proposal.***
  - ***This email will be sent to their individual email addresses and recorded in the history section of the eSRA proposal.***
  - ***Optional attachments in the email will be stored in the history section of the proposal, but not in View 8.5 where the actual proposal documents reside.***
- ***If the Division Reviewer or others need to upload documents into View 8.5, they must be given edit access in 2.9.f. and will then be able to use “Edit Submission” to add or replace documents in View 8.5.***

- When the proposal is complete and you’ve uploaded the ARPA-E Exchange application PDF into View 8.5 of the eSRA proposal, use activity “Submitted to Program Office” to indicate the Concept Paper was submitted in ARPA-E Exchange. Notes can be included that will be saved in history.

**Full application when ARPA-E is Requiring an FWP as part of the submission**

If you already have the Concept Paper proposal in eSRA, you will start by converting it to a full application. If not, you will begin by creating a new submission.

**Step 1: Convert Concept Paper to a Full Application** *(Skip this step if the Concept Paper is not in eSRA.)*

- Start with the existing Concept Paper proposal in eSRA.
- Use the activity “Create FWP Proposal” to change the proposal back to the “Preparation” state for completion of the Full Application. You can add comments or upload documents, if you choose, about the invitation to submit a full application.

Note: Provided here are instructions on how to leverage the eSRA system to create the FWP cover page & budget page, NEPA/CEQA, Human and Animal Use, IP Disclosure, and Extended Assignments forms that are created by the eSRA system when we submit to the Office of Science Electronic System. If you choose to create the FWP documents manually, skip to Step 3.

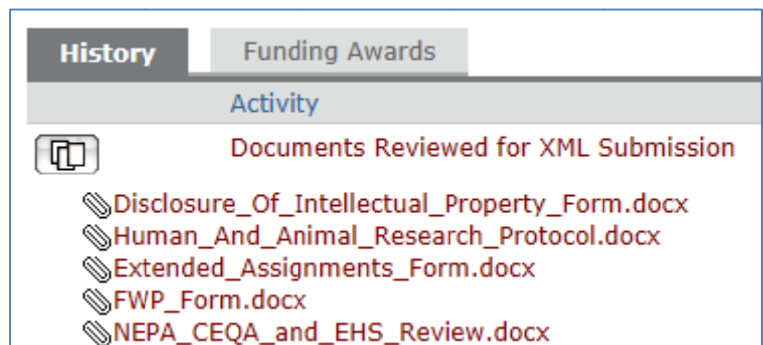
**Step 2: Prepare FWP in eSRA** *(Skip this step if chose to create the FWP manually instead of using eSRA.)*

- Edit the eSRA proposal answering all the relevant questions changing these specific answers:  
[Note eLearning module *eSR6901: DOE Proposals to the Office of Science* might be helpful.]

1.a.2 = DOE Office of Science
1.a.3 = DOE Office of Science Electronic
2.9.d = Proposal for Initial Funding
6.NF.a = number provided by ARPA-E from the Concept paper
6.NF.c = Off-Cycle Submission
8.14 = (skip View 8.14) for the initial preparation **
9.3.F = complete the FWP budget grid
9.3.F.c = enter the primary B&R code

**\*\* Hint:** Because there are required fields on View 8.14, you will not be able to use the “Continue” button.” Use “Jump to” instead.

- RA: Use activity “Submit to PI” with a note in the comment section instructing the PI to use the activity “Request Changes from Proposal Team” to send the proposal back to you so you can complete the FWP portion of the ARPA-E proposal needed for the ARPA-E Exchange system.
- **RA: Immediately** use the activity “Review Documents for XML Submission” to create the FWP forms you will need to submit. (This needs to be done before the PI routes the proposal back to you.)
- PI: Use the activity “Request Changes from the Proposal Team” to send the proposal back to the RA.





Quick Reference Sheet: #eSR6911  
 ARPA-E Applications  
 (updated February 19, 2015)



- Extract the documents from the history section of the proposal.
- Review the documents for accuracy and completeness.
- If you want to make changes you can edit the eSRA proposal and repeat the above steps, or edit the Word document directly. If you edit the Word document, please ensure there is not a data mis-match between your final documents and the information contained in the eSRA fields.
- Obtain Division Director or designee signature on the FWP form as the “Contractor Work Proposal Manager.”
- Save these documents on your network or hard drive.

*Note: There is no need to obtain Jeff Philliber’s signature on the NEPA-CEQA form. The proposal will be automatically routed to him when the proposal is “Submitted to DOE” within eSRA.*

**Step 3: Change the proposal to an ARPA-E proposal in eSRA**

- RA: Edit the proposal and enter or change the following answers:

1.a.2 = DOE Other
1.a.3 = Other electronic sponsor system
1.c = Directorate requests including “ <b>ARPA-E OPEN CALL 2015</b> ” somewhere in the nickname to facilitate their ability to search for all responses to this call. Other ARPA-E calls might use a similar indicator to assist with locating ARPA-E proposals. <b>The ARPA-E Exchange application # can also be entered here for later search capability.</b>
2.9.d = Proposal for Initial Funding
6.NF.a = number provided by ARPA-E from the Concept paper
6.NF.c = Off-Cycle Submission
8.5 = Proposal Documents are entered here
9.3.F = complete the FWP budget grid
9.3.F.c = enter the primary B&R code

• **Prepare the Proposal**

- Scientists will prepare the technical application.
- Resource Analysts will assist with the budget and application documents as delegated by your division.
- Resource Analysts prepare support documents for inclusion in the submission to ARPA-E

**DOE Eligibility letter:**

- Download a word version of the DOE Eligibility letter (listed as DOE Authorization Letter) from the eSRA website forms page <http://esra.lbl.gov/forms>
- Update the letter with the pertinent information.
- Save on your network or hard drive.

**BSO form: Project Summary for DOE/BSO**

- Download the BSO Project Summary form template from the eSRA website forms page <http://esra.lbl.gov/forms>
- Complete the form.
- Save on your network or hard drive.

**Submit forms to BSO for Signature:**

- Send Kim Abbott a single email with the following for his review and signature
  - Word version of completed DOE Eligibility letter (for signature)
  - FWP form (for signature as the “Operations Office Review Official”)
  - Completed BSO form
  - NEPA-CEQA form (for reference)
  - PDF file of the FOA (for reference)

**Obtain signatures, as required, and include these documents in the proposal per the ARPA-E solicitation instructions.**



*Note: Some ARPA-E solicitations require a SF424A page 1 and 2 form to be included. Use the template provided by ARPA-E and do not try to create this form using the eSRA Grants.gov functionality because there are slight variations in the formatting.*

**Step 4: Route for Institutional Approval, Record and Upload the ARPA-E submission in eSRA**

- RA: Use the activity “Submit Changes to PI” with comment that the proposal is being submitted to the ARPA-E Exchange system **and attach the complete application that will be uploaded to the ARPA-E Exchange system.**
- PI: Use the activity “Approve for Division Review for DOE” to obtain division approval for the submission before finalizing in the ARPA-E Exchange system.
- Division Reviewer: Review the application in the history section that was uploaded by the RA; then use the activity “Approve for DOE Submission.”
- **RA (or PI): Finalize and submit the application in the ARPA-E Exchange system.**
- RA (or PI): Use the activity “DOE Proposal Submitted” and attach the PDF of the complete and final application that was submitted in the ARPA-E Exchange.
  - This will automatically send notifications to Jeff Philliber to complete the NEPA-CEQA review of the application.

Contact Cynthia Sylvester at [clsylvester@lbl.gov](mailto:clsylvester@lbl.gov) with questions or assistance with this process.