

QUESTIONS AND ANSWERS

PLEASE REFER TO THE GENERAL FAQs SECTION OF ARPA-E'S WEBSITE ([HTTP://ARPA-E.ENERGY.GOV/?Q=FAQ/GENERAL-QUESTIONS](http://arpa-e.energy.gov/?Q=FAQ/GENERAL-QUESTIONS)) FOR ANSWERS TO MANY GENERAL QUESTIONS ABOUT ARPA-E AND ARPA-E'S FUNDING OPPORTUNITY ANNOUNCEMENTS. ADDITIONAL QUESTIONS SPECIFIC TO THIS FOA ONLY ARE INCLUDED BELOW. PLEASE REVIEW ALL EXISTING GENERAL FAQs AND FOA-SPECIFIC QUESTIONS BEFORE SUBMITTING NEW QUESTIONS TO ARPA-E.

I. Full Application Phase Questions:

Q1. I SAW TODAY'S PRESS RELEASE RELATED TO THE \$10M OF POTENTIAL FUNDING FOR SMALL BUSINESSES UNDER THE SEED TOPIC.

HOWEVER, WHEN I WENT TO THE EXCHANGE IT SAYS CONCEPT PAPERS WERE DUE 1/20/22, TWO WEEKS BEFORE THE FUNDING WAS EVEN ANNOUNCED.

IS THERE STILL TIME FOR US TO SUBMIT A CONCEPT PAPER TO POTENTIALLY RECEIVE PART OF THIS \$10M OF FUNDING?

ANSWER: Yes. Please refer to the DE-FOA-0001954 funding opportunity announcement on the ARPA-E Funding Opportunity Exchange website ([ARPA-E: Funding Opportunity Exchange \(energy.gov\)](http://arpa-e.energy.gov)) Targeted Topics "Topic W" deadline. Please note that Full Applications – not Concept Papers – are required for Topic W.

Q2. IN REFERENCE TO PAST SEED PROGRAMS, DO YOU HAVE ANY STATS ON NUMBER OF PROPOSALS VS. NUMBER OF AWARDS? IT SEEMS LIKE SOMEWHERE BETWEEN 20-40 PROJECTS COULD BE FUNDED WITH THE FUNDING RANGE FROM 200K-500K. I KNOW OTHER ARPA E PROGRAMS ARE AROUND A 5% ACCEPTANCE RATE.

ANSWER: All public information on previous ARPA-E Awards can be found at: (<https://arpa-e-foa.energy.gov/Default.aspx?Archive=1>).

Q3. MY COMPANY, ***REDACTED*****, IS CONSIDERING APPLYING TO DE-FOA-0001954 - SUPPORTING ENTREPRENEURIAL ENERGY DISCOVERIES (SEED). I WAS UNABLE TO DETERMINE FROM THE ARPA-E FAQs ([HTTP://ARPA-E.ENERGY.GOV/FAQ](http://arpa-e.energy.gov/faq)) WHETHER *****REDACTED***** IS ELIGIBLE TO APPLY TO THIS PROGRAM AND I WONDER IF YOU COULD HELP ME UNDERSTAND IF *****REDACTED***** IS ELIGIBLE.**

ANSWER: ARPA-E will not pre-assess a potential applicant's eligibility to apply to this funding opportunity. Prospective applicants must review the funding opportunity announcement eligibility requirements and independently determine their eligibility to apply.

Q4. WOULD YOU PLEASE ELABORATE MORE REGARDING ACCEPTABLE TOPIC FOR THIS SOLICITATION. THE REASON I AM ASKING WE ARE DEVELOPING *REDACTED***. IS IT SOMETHING ACCEPTABLE/ RESPONSIVE TO TOPIC UNDER THIS SOLICITATION? WOULD YOU PLEASE ELABORATE MORE ABOUT THIS TOPIC? ***REDACTED*** IS IN THE SCOPE OF THIS PROJECT?**

ANSWER: ARPA-E will not pre-assess the relevance of specific technologies. Please reference the “Areas of Interest” and the ARPA-E mission areas listed in the introduction of the Special Program Announcement for SEED, restated below...

“projects should create new paradigms in energy technology and have the potential to achieve significant advances in any of ARPA-E’s Mission Areas:

- reductions in U.S:
 - o energy consumption
 - o energy-related imports
 - o energy-related emissions
- management, clean-up and disposal of radioactive waste and spent nuclear fuel
- resilience, reliability, and security of U.S. energy infrastructure.”

Q5. GOOD AFTERNOON! I AM PREPARING SUBMISSION DOCUMENTATION FOR DE-FOA-0001954, TOPIC W. I HAVE THE TECHNICAL VOLUME TEMPLATE AND OTHER DOCUMENTATION PROVIDED WITH THE SOLICITATION HOWEVER, I'VE NEVER SUBMITTED A REQUEST FOR FUNDING PREVIOUSLY AND THEREFORE, IF POSSIBLE, CAN AN EXAMPLE OF A SIMILAR PREVIOUS SUBMISSION BE PROVIDED TO PERMIT LEARNING THE LEVEL OF DETAIL REQUESTED FOR SUCCESSFUL FUNDING! THE DOCUMENT I'VE PREPARED THUS FAR EXCEEDS THE PAGE LIMIT REQUIREMENT BY SEVERAL PAGES AND THUS I'M TRYING TO UNDERSTAND SUFFICIENTLY THE LEVEL OF DETAIL REQUIRED, THROUGH EXAMPLES OF DOCUMENTATION PREVIOUSLY SUBMITTED RESULT IN SUCCESSFUL AWARDS SO I MAY MORE CONCISELY SUBMIT YOUR REQUIREMENTS TO MEET THE 8-PAGE LIMIT SPECIFIED.

ANSWER: We cannot provide a previous submission. There are helpful resources for the detail required in the budget submission at [General Questions | arpa-e.energy.gov](https://arpa-e.energy.gov) under the budget sections.

Q6. A FEW QUESTIONS SPECIFICALLY ON THE ABOVE TARGET TOPIC:

- 1. DESPITE WHAT IS WRITTEN IN SECTION II.A OF THE SOLICITATION (“APPLICANTS MUST APPLY FOR A COMBINED PHASE I/II/IIS AWARD), I AM ASSUMING THAT A PROPOSAL FOR THIS TARGET TOPIC IS TO ONLY ADDRESS A COMBINED PHASE I/II DUE TO THE INFORMATION SHOWN IN THE TABLE AT THE START OF APPENDIX W (“AWARDS ARE ISSUED AS PHASE I OR PHASE I/II GRANTS”). IS THAT CORRECT?**
- 2. DOES THE 24 MONTH MAXIMUM PERIOD OF PERFORMANCE APPLY TO THE COMBINED PHASE I/II PROGRAM OR JUST THE PHASE I?**

ANSWER: 1. The table at the start of the Appendix W is correct.

2. Combined phases.

Q7. WE WERE LOOKING AT THE ARPA-E SEED SOLICITATION: DE-FOA-0001954, TOPIC W, “SUPPORTING ENTREPRENEURIAL ENERGY DISCOVERIES (SEED)” AND ARE INTERESTED IN APPLYING.

WE WILL BE FINISHING OUR NSF SBIR PHASE I AWARD THIS COMING APRIL, AND HAVE ALREADY SUBMITTED OUR PHASE II APPLICATION.

I WAS WONDERING IF WE ARE STILL ELIGIBLE TO APPLY FOR THIS ARPA-E AWARD (WHERE WE COULD EITHER ACCEPT BOTH AWARDS, OR FOREGO THE ARPA-E AWARD IF WE RECEIVE THE NSF SBIR PHASE II AWARD)?

ANSWER: An applicant may submit an application for funding a proposed scope of work that is currently be evaluated by another funding source and for which the applicant has not yet been notified of a decision. However, ARPA-E will not fund work that is already being funded by another source, so under the same scenario, the applicant would be required to withdraw an application for funding submitted to ARPA-E if it was selected to receive funding from another source for the same scope of work (or for work that is not scientifically distinct from what was submitted to ARPA-E).

Q8. I DOWNLOADED THE TECHNICAL VOLUME TEMPLATE:

IT READS ON PAGE 1 THAT “SECTIONS 1-5 SHALL NOT EXCEED 8 PAGES.”

HOWEVER, PAGES 2-8 READ THAT “OVERALL 8-PAGE LIMIT FOR SECTIONS 1-4 MUST BE RESPECTED.”

WHICH STATEMENT IS TRUE? THE PAGE 6 READS THAT SECTIONS 5 (THE BUDGET) SHOULD BE 0.5 TO 1 PAGE.

THE BUDGET AND BUDGET JUSTIFICATION SEEM TO BE IN THE MANDATORY FORM 424A.

IS THE SECTIONS 5 NECESSARY AT ALL?

ANSWER: Yes, section 5 is required and all sections should meet the prescribed page limits. .

Q9. WHAT IS THE PAGE LENGTH LIMIT FOR SECTIONS 1-5? THE TOPIC W: TECHNICAL VOLUME (FIXED-AMOUNT GRANT) DOCUMENT CONTAINS CONFLICTING INFORMATION ABOUT THE REQUIRED PAGE LENGTH FOR THESE SECTIONS.

ON PAGE 1 THE INSTRUCTIONS SAY THAT SECTION 1-5 CAN'T EXCEED 8 PAGES. HOWEVER ON EACH REMAINING PAGE OF THE DOCUMENT, THE INSTRUCTIONS CLEARLY STATE THAT THE DOCUMENT LIMIT IS 8 PAGES FOR SECTION 1-4.

THANKS FOR CLARIFYING.

ANSWER: Please refer to the question 8 answer above.

Q10. PLEASE CLARIFY YOUR PRESS 2/28 PRESS RELEASE WITH REGARDS TO THE \$10M FUNDING FOR SEED.

- 1. THE PRESS RELEASE INVITES THE READER TO APPLY FOR FUNDING. BUT ON THE ARPA-E WEBSITE IT APPEARS THAT THE DEADLINE HAS ALREADY PAST. WHICH IS IT?**
- 2. THE PRESS RELEASE MAKES IT SOUND LIKE THIS IS AN OPEN COMPETITION. THE ARPA-E WEBSITE SOUNDS LIKE THIS IS ADDITIONAL FUNDING FOR ALREADY EXISTING ARPA-E PROGRAMS. WHICH IS IT?**

ANSWER: 1. Please reference the Targeted Topics (Topic W: SEED) deadline cited in the description field of the funding opportunity announcements and in the Targeted Topics table of the funding opportunity announcement document.

- 2. This is an open competition.**

Q11. I HAVE A QUESTION REGARDING THE SBIR/STTR ELIGIBILITY REQUIREMENTS RELATED TO LIMITATION ON NUMBER OF SUBMISSIONS. WE ARE A SMALL BUSINESS AND WOULD LIKE CLARIFICATION REGARDING HOW MANY PROPOSALS WE CAN SUBMIT. IT IS RATHER UNCLEAR FROM THE STATEMENTS IN THE FOA. THE TOPIC AREAS IN THIS FOA ARE RELEVANT.

“ARPA-E IS NOT LIMITING THE NUMBER OF SUBMISSIONS FROM APPLICANTS. APPLICANTS MAY SUBMIT MORE THAN ONE APPLICATION TO EACH TARGETED TOPIC ATTACHED 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 “SOLICITATION ON TOPICS INFORMING NEW PROGRAM AREAS” FOAS: ARPA-E FOA DE-FOA-0001954 (SBIR/STTR), SOLICITATION ON TOPICS INFORMING NEW PROGRAM AREAS (SBIR/STTR), OR ARPA-E FOA DE-FOA-0001953, SOLICITATION ON TOPICS INFORMING NEW PROGRAM AREAS. 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-0001954, PLEASE REVIEW THE ELIGIBILITY REQUIREMENTS IN SECTIONS III.A – III.D ABOVE.”

ANSWER: ARPA-E is not limiting the number of submissions as long as they are scientifically distinct.

Q12. 1. PAGE 11 SAYS: "APPLICANTS MUST APPLY FOR A COMBINED PHASE I/II/IIS AWARD". PAGE 228 SAYS: "AWARDS ARE ISSUED AS PHASE I OR PHASE I/II GRANTS, WITH A GO/NO-GO MILESTONE AFTER PHASE I, AS APPLICABLE" SEEMS LIKE A CONFLICT, WHAT IS CORRECT?

2. CAN THE *GRANT* BE EXTENDED?

3. WHERE CAN I FIND THE TEMPLATE? I LOOKED ON THE WEBSITE BUT COULDN'T FIND IT.

4. THE BELOW LINK DOES NOT WORK:

TOPIC W: TECHNICAL VOLUME (FIXED-AMOUNT GRANT)

ANSWER: 1. For Topic W, awards will be issued as Phase I or Phase I/II grants, with a Go/No-Go milestone after Phase I, as applicable..

2. It could at ARPA-E's discretion.

3. Application template documents are provided in the "Required Application Documents" section of the funding opportunity announcement on the ARPA-E Funding Opportunity Exchange website <http://ARPA-e-FOA.energy.gov>.

4. Please try using a different web browser to visit the ARPA-E Funding Opportunity Exchange website and open or download the document.

Q13. DOES THE ABOVE ARPA-E SEED FOA ALSO SUPPORT TECHNOLOGY PROTOTYPE DEMONSTRATION (THE NEXT STEP AFTER PROOF-OF-CONCEPT DEMONSTRATION) IN A LIVE "TESTBED" (NOT SIMULATED) ENVIRONMENT? OUR INITIATIVE IS ALREADY SHORTLISTED FOR A POTENTIAL FEDERAL AGENCY PHASE I AWARD THAT WOULD COVER THE DEVELOPMENT OF THE PROPOSED TECHNOLOGY INNOVATION AT THE "PROOF OF CONCEPT IN A SIMULATED ENVIRONMENT" STAGE. ACCORDINGLY, WE MAY BE PURSUING THIS AS A PHASE II GRANT TO FUND OUR PROTOTYPE R&D AND LIVE MARKET TESTING TO FURTHER DEMONSTRATE AND VALIDATE THE PROPOSED TECHNOLOGY.

ANSWER: ARPA-E will not pre-assess an Applicant's proposal. Prospective Applicants must review the technical requirements of the FOA and independently determine whether their proposed concept warrants a submission.

Q14. MY QUESTIONS IS RELATED TO THE SBA BENCHMARK ON PROGRESS TOWARDS COMMERCIALIZATION REGARDING THE ELIGIBILITY OF PRIOR SBIR/STTR AWARDEES. MY SMALL BUSINESS HAS RECEIVED PRIOR SBIR/STTR AWARDS FROM MULTIPLE AGENCIES. HOWEVER, WE HAVE NOT RECEIVED MORE THAN THE NUMBER SPECIFIED FOR THE TWO BENCHMARKS. DOES THIS MEAN WE ARE ELIGIBLE AND THE BENCHMARK RATES DO NOT APPLY? OR WOULD NOT BEING ABLE TO MEET THE MINIMUM NUMBER OF AWARDS MAKE US INELIGIBLE? THE INSTRUCTIONS IN THE FOA DO NOT CLEARLY STATE THIS.

ANSWER: Applicants must comply with the criteria in Section III.D. Eligibility of Prior SBIR and STTR Awardees: SBA Benchmarks on Progress Towards Commercialization in the FOA.

Q15. I HAVE A FEW QUESTIONS IN REGARDS TO “SOLICITATION ON TOPICS INFORMING NEW PROGRAM AREAS (DE-FOA-0001954) APPENDIX W”.

- **IN THE DE-FOA-0001954 _MODIFICATION_21_FINAL, UNDER SUBMISSION SECTION, IT STATES THAT “SECTIONS 1-5(14 PAGES MAX). IN THE TOPIC_W_-_TECHNICAL_VOLUME_(FIXED-AMOUNT_GRANT), IT SAYS SECTIONS 1-4 (8 PAGES MAX) WITH SECTION 5 BEING ½ TO 1 PAGE. CAN YOU CLARIFY WHETHER IT IS 8+1 OR 14 PAGES MAX?**
- **IN THE FAQ SECTION, UNDER 7. SUBMITTING A FULL APPLICATION, ABOUT DOING A FULL PROPOSAL WITHOUT A CONCEPT PAGER, IT SAYS: NO. ONLY APPLICANTS WHO HAVE SUCCESSFULLY SUBMITTED A CONCEPT PAPER IN EXCHANGE BY THE PUBLISHED DEADLINE ARE ELIGIBLE TO SUBMIT A FULL APPLICATION TO A FOA.**

IT CLEARLY SAYS THAT ALL APPLICATIONS REQUIRE A “CONCEPT PAPER”, WHICH I DON’T SEE IN THE PROPOSAL DOCUMENTS.

COULD YOU PLEASE CLARIFY WHETHER IT IS 14 OR 9 (8+1) PAGES AND WHETHER A CONCEPT PAPER IS NEEDED?

ANSWER: 1. 8 pages.

2. The DE-FOA-0001954 TOPIC W – SEED funding opportunity does not have a Concept Paper submission phase. Therefore, applicants can only submit a Full Application to this funding opportunity.

Q16. MY QUESTION IS ON THE REQUIRED COMPONENTS OF THE FULL APPLICATION. IF A PROJECT HAS A SUB, IS A SEPARATE SF-424A REQUIRED FOR EACH ENTITY, OR SHOULD A SINGLE SF-424A BE SUBMITTED?

ANSWER: Each Project Team should submit only one SF-424A (i.e., a Subrecipient should not submit a separate SF-424A).

Q17. IN LINE WITH THE ABOVE-REFERENCED FOA AND FEDERAL ACQUISITION REGULATION GUIDELINES, WHAT IS THE MAXIMUM ALLOWABLE "SUCCESS FEE" FOR THIS FUNDING OPPORTUNITY?

ANSWER: See Section VIII.L Payment of Fee or Profit of the FOA.

Q18. NEITHER MY CO-FOUNDER NOR I ARE AMERICAN NATIONALS. WE HAVE APPLIED FOR OUR GREEN CARDS WHICH ARE EXPECTED TO ARRIVE LATER THIS YEAR BUT FOR NOW ARE ON F-1 OPT VISAS. AT WHAT STAGE OF THE APPLICATION PROCESS WILL PROOF OF RESIDENCY IN RELATION TO COMPANY OWNERSHIP BE REQUIRED? AND IF WE WERE TO APPLY AND RECEIVE THE GRANT, WOULD PAYMENTS BE DEFERRED UNTIL WE CAN PROVE RESIDENCY STATUS?

ANSWER: ARPA-E will only make an award of funding to a U.S. affiliate or subsidiary entity (i.e. incorporated in the United States or a U.S. territory). In addition, ARPA-E awardees are responsible for personnel staffing decisions concerning their research projects, including for foreign researchers and students working on ARPA-E awards. Principal Investigators and other researchers – including students - are not necessarily required to be U.S. citizens or permanent residents. Researchers may not have conflicts of interest, financial or otherwise. Hiring/work assignment decisions for ARPA-E research should consider that ARPA-E awards normally involve technology or software - including any manufacturing know-how - that is "restricted or proprietary" as cited in export control regulations (at 15 C.F.R Section 734.8(a)). ARPA-E awardees are responsible for ensuring their researchers' compliance with federal export control laws and regulations, and ensuring that intellectual property is protected.

Q19. TO APPLY TO THIS FOA, WE UNDERSTAND THAT APPLICANTS MUST REGISTER WITH AND SUBMIT APPLICATION MATERIALS THROUGH ARPA-E EXCHANGE.

GOING THROUGH THE ARPA-E EXCHANGE APPLICATION PORTAL, IT ASKS FOR EIN NUMBER AND DUNS NUMBER, AND ALSO RECOMMEND THE SBA COMPANY REGISTRATION.

WOULD YOU PLEASE LET US KNOW IF SAM REGISTRATION IS REQUIRED/MUST HAVE, AT THE TIME OF SUBMITTING THE APPLICATION OR WE CAN PROVIDE THAT AT A LATER TIME BEFORE THE AWARD

ANSWER: It is highly encouraged that applicants have a SAMs registration prior to application, but it is not required. It is required prior to award.

Q20. WE ARE IN THE PROCESS OF SUBMITTING A PHASE I/II PROPOSAL APPLICATION FOR SUPPORTING ENTREPRENEURIAL ENERGY DISCOVERIES (SEED) IN TOPIC W.

THE TOPIC STATES THAT THE MAXIMUM BUDGET IS \$500,000 WITH A MAXIMUM PERIOD OF PERFORMANCE OF 24 MONTHS.

COULD YOU PLEASE INFORM US ON HOW THE BUDGET AND TIMELINE BREAKS OUT BETWEEN PHASE I AND PHASE II FOR THE MAXIMUM BUDGET AND PERFORMANCE PERIOD?

ANSWER: That will vary for each project and is up to the applicant to propose according to the limits and requirements stated in the FOA.

Q21. WE ARE APPLYING TO A COMBINED PHASE I/II PROJECT AND UNDERSTAND THAT IT IS A 24 MONTH TOTAL PROJECT PERIOD FOR THE COMBINED EFFORTS. WILL MORE FUNDING BECOME AVAILABLE OVER THE COURSE OF THE PROJECT TO PROPEL MORE PHASE II WORK? IF SO, AT WHAT POINT CAN WE APPLY FOR THAT PHASE II OR ADDITIONAL FUNDING?

ANSWER: See Section II.B (Renewals) of the FOA. .

Q22. THE FOA STATES UNDER: III ELIGIBILITY INFORMATION, A. ELIGIBLE APPLICANTS, 2. STTR ELIGIBILITY: A SINGLE RESEARCH INSTITUTION MUST PERFORM AT LEAST 30% OF THE WORK IN PHASE I, PHASE II ...

CAN THERE BE A SECOND RESEARCH INSTITUTION IF ONE OF THE TWO RESEARCH INSTITUTIONS PERFORMS AT LEAST 30% OF THE WORK?

ANSWER: Yes.

Q23. THE TABLE ANNOUNCING THE TOPIC W SEED FOA STATES THAT "AWARDS MAY VARY BETWEEN \$200,000 AND \$500,000. AWARDS ARE ISSUED AS PHASE I OR PHASE I/II GRANTS WITH A GO/NO-GO MILESTONE AFTER PHASE I, AS APPLICABLE."

WE ARE APPLYING FOR A PHASE I GRANT. IS THERE A LIMIT ON THE BUDGET AMOUNT OR GRANT AMOUNT FOR A PHASE I ONLY GRANT?

ANSWER: See Section II.A (Award Overview) of the FOA.

Q24. WE ARE CONSIDERING APPLYING FOR DE-FOA-00001954, YET BEFORE WE TAKE THE EFFORT TO PREPARE A FULL APPLICATION WE WOULD LIKE TO GET CLARITY REGARDING THE RESPONSIVENESS CRITERIA AS DISCUSSED ON PAGE 18 OF THE FOA.

SECTION F.2 DISCUSSES THE TYPES OF SUBMISSIONS THAT MAY BE DEEMED NON-RESPONSIVE, AND AS ONE OF THE CRITERIA IT STATES "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 THE DEPARTMENT OF ENERGY."

WE HAVE COMPLETED A PHASE I PROJECT THROUGH THE DEPARTMENT OF ENERGY UNDER DE-FOA-2146. DUE TO COVID IMPACTS LAST YEAR WE WERE ALLOWED TO WAIT A YEAR FROM OUR INITIAL 2021 DATE FOR PHASE II SUBMITTAL, AND SUBMIT FOR THIS YEAR'S PHASE II RELEASE 2: DE-FOA-2572. THAT APPLICATION IS DUE APRIL 19 AND WE WILL BE APPLYING FOR PHASE II FUNDING UNDER THAT OPPORTUNITY.

WE HAVE NO WAY OF KNOWING IF WE WILL RECEIVE PHASE II FUNDING. OUR WORK IS IMPORTANT AND WE WANT IT TO CONTINUE, AND IT MEETS ALL OF THE REQUIREMENTS AND GOALS OF ARPA'S SEED PROGRAM - SUPPORTING ENTREPRENEURIAL ENERGY DISCOVERIES, AND IT IS A POTENTIALLY TRANSFORMATIVE TECHNOLOGY IN THE HYDROPOWER RESOURCE SPACE.

OUR BIG QUESTION IS WHETHER WE CAN ALSO APPLY FOR THIS ARPA-E OPPORTUNITY?

ANSWER: ARPA-E does not pre-assess applications but the above does not prohibit applicants from applying.

Q25. CAN YOU PLEASE ADDRESS THE FOLLOWING QUESTIONS:

- 1. IN THE ARPA-E FOE PORTAL IT LOOKS LIKE LETTERS OF SUPPORT ARE OPTIONAL, ARE LETTERS OF SUPPORT PREFERRED?**
- 2. WHICH SECTIONS NEED TO BE RESPECTED IN THE 8-PAGE LIMIT? SECTIONS 1-5 OR SECTIONS 1-4?**

IN THE TECHNICAL VOLUME TEMPLATE ON PAGE 1 IT STATES:

"INSTRUCTIONS FOR SECTIONS 1-5: THE CUMULATIVE LENGTH OF SECTIONS 1-5 SHALL NOT EXCEED 8 PAGES (THIS LIMIT DOES NOT INCLUDE THE EXECUTIVE SUMMARY)."

ON EVERY OTHER PAGE IT STATES:

"(1) NOTE THAT THE OVERALL 8-PAGE LIMIT FOR SECTIONS 1-4 MUST STILL BE RESPECTED."

- 3. HOW ARE EACH OF THE SECTIONS (1-5) IN THE TECHNICAL WORKPLAN WEIGHTED WITH RESPECT TO IMPORTANCE? FOR EXAMPLE IS SECTION 4 TECHNOLOGY TO MARKET MORE IMPORTANT THAN SECTION 2 PROPOSED WORK?**
- 4. SECTION 5 BUDGET SAYS TO PROVIDE A HIGH-LEVEL BUDGET SUMMARY. SF424A HAS THE DETAILED INFORMATION FOR THE BUDGET. WHAT SPECIFIC INFORMATION IS REQUIRED IN SECTION 5?**

ANSWER: 1. Letters of support are optional.

2. Sections 1-5.

3. See section V.A.1. Criteria for Full Applications of the FOA

4. See section IV.C.2&3 of the FOA

Q26. THE FOA STATES ON PAGE 5 UNDER THE REQUIRED DOCUMENTS CHECKLIST: SECTIONS 1-5 (14 PAGES MAX.)

UNDER APPENDIX W, 4. CONTENT AND FORM OF FULL APPLICATIONS, IT STATES: NOTE – SECTION AND PAGE MAXIMUMS FOR THIS TOPIC’S TECHNICAL VOLUME DIFFER FROM THE STANDARD TECHNICAL VOLUME TEMPLATE UNDER THIS FOA.

THE TEMPLATE YOU PROVIDED STATES: THE CUMULATIVE LENGTH OF SECTIONS 1-5 SHALL NOT EXCEED 8 PAGES

ARE WE ALLOWED 14 PAGES FOR SECTIONS 1-5?

ANSWER: It should be 8 pages, not 14.

Q27. I HAVE A FEW QUESTIONS REGARDING THE DE-FOA-0001954 TOPIC W – SEED FOA APPLICATION:

- 1) EARLIER FAQ QUESTIONS AND TECHNICAL VOLUME TEMPLATES REFERENCE THE 8-PAGE LIMIT FOR SECTIONS 1-5. THE "TOPIC V: TECHNICAL VOLUME TEMPLATE" CURRENTLY POSTED ON THE ARPA-E FUNDING OPPORTUNITY EXCHANGE STATES A 14 PAGE LIMIT FOR SECTIONS 1-5. WHICH IS CORRECT?**
- 2) APPENDIX W CONTAINS A TABLE WITH THE 6 CONTENT ITEMS OF THE FULL APPLICATION. SECTION IV.C ALSO LISTS THE "SUMMARY FOR PUBLIC RELEASE" AND "SUMMARY SLIDE" ITEMS, WHICH ARE NOT IN THE APPENDIX W TABLE. ARE THESE REQUIRED?**
- 3) ARE LETTERS OF COMMITMENT FROM PROJECT PARTNERS / SUBCONTRACTORS / CONSULTANTS TO BE INCLUDED? IF SO, WHERE DO THEY GET ATTACHED AND DO THEY COUNT TOWARDS PAGE LIMITS?**

ANSWER: 1.) 8 pages.

2.) They are both required.

3.) They are not required at application phase.

Q28. IS THERE A MAXIMUM AMOUNT FOR A PHASE I ONLY GRANT UNDER THE TOPIC W SEED FOA? ALSO, ARE THERE DIFFERENT MAXIMUMS FOR SBIR AND STTR GRANTS?

ANSWER: From Section II.A. (Award Overview), the maximum award amount for a Phase I award is \$259,613. Awards may vary between \$200,000 and \$500,000. The maximum award amounts are the same for SBIR and STTR grants.

Q29. UNDER THE FOA "W: SUPPORTING ENTREPRENEURIAL ENERGY DISCOVERIES (SEED)" IT ASKS APPLICANTS FOR THE "TECHNICAL AREA OF INTEREST" BUT I CAN NOT FIND THE LIST OF POTENTIAL "TECHNICAL AREAS OF INTEREST"

SOME OF THE OTHER LETTERED FOAS IN DOCUMENT TITLED "DE-FOA-0001954_MODIFICATION_21_FINAL" LIST "TECHNICAL AREAS OF INTEREST" BUT I DO NOT SEE A SIMILAR LIST FOR TOPIC W. TOPIC W DOES LIST "ARPA-ES MISSION AREAS", IS THIS WHAT WE ARE SUPPOSED TO USE?

ANSWER: Applications are sought that address one or more of ARPA-E's Mission Areas in Section I.A of the FOA.

Q30. WE HAVE THE FOLLOWING QUESTIONS ON THE ABOVE-REFERENCED FOA:

- 1. COULD YOU PLEASE CLARIFY IF APPLICANTS SHOULD INCLUDE BOTH PHASE I AND PHASE II ACTIVITIES WITHIN BUDGETED PERIODS?**
- 2. IS THE \$500K BUDGET LIMIT FOR PHASE I, PHASE II, OR BOTH?**
- 3. IF \$500K LIMIT IS FOR PHASE I, THEN WHAT IS THE BUDGET LIMIT FOR PHASE II?**
- 4. IS THERE ANY BUDGET LIMIT ON CONTRACTUAL WORK CONDUCTED BY A PARTNER INSTITUTION?**
- 5. WE COULD NOT LOCATE THE BUDGET JUSTIFICATION WORKBOOK IN THE TEMPLATES FOR THIS FOA. COULD YOU PLEASE PROVIDE DIRECTION ON WHERE THIS WORKBOOK IS LOCATED?**
- 6. THE BUDGET GUIDANCE STATES “APPLICANTS MUST COMPLETE EACH TAB OF THE BUDGET JUSTIFICATION WORKBOOK FOR THE PROJECT AS A WHOLE AND PROVIDE REQUESTED DOCUMENTATION.” THERE IS ONLY ONE TAB ASSOCIATED WITH THE SF 424A EXCEL SPREADSHEET. PLEASE CLARIFY WHERE WE CAN FIND THESE OTHER TABS.**

ANSWER: 1. Both.

2. Both.

3. The budget is \$500k for both.

4. The funding provided by ARPA-E is limited to \$500k.

5. Please reference the DE-FOA-0001954 funding opportunity announcement on the ARPA-E Funding Opportunity Exchange website “Required Application Documents” section.

6. The content and form of applications submitted in response to Targeted Topic W is set forth in the table found at FOA Appendix T, Section 4. The “Budget Justification/ SF-424A Workbook Guidance” is designed for non-fixed grant FOAs. Additional tabs are not required for Topic W: SEED.

Q31. I AM THRILLED TO SUBMIT FOR DE-FOA-0001954, BUT I HAVE A FEW QUESTIONS THAT I WAS UNABLE TO FIND THE FAQs:

- 1. SECTION LENGTHS UNDER THE TOPIC W EXAMPLE - ON PAGE 1 IT SAYS SECTIONS 1-5 MUST NOT EXCEED 8 PAGES, BUT THE REST OF THE PAGES SAY SECTIONS 1-4 MUST NOT EXCEED 8 PAGES. WHICH ONE IS IT?**
- 2. I HAVE NOTICED IN A COUPLE PLACES IT MENTIONS A 5% TT&O IN THE BUDGET. I COULDN'T FIND AN EXPLANATION OF THIS IN THE FOA DESCRIPTION OR FAQs. IS THERE A PLACE I CAN LEARN MORE ABOUT WHAT THIS IS?**
 - A. I HAVE SEEN A REFERENCE TO SECTION IV.G.8 IN THE FOA, BUT THIS MUST BE AN OLD REFERENCE AS THIS DOES NOT EXIST IN THE CURRENT FOA.**
- 3. UNDER SF-424A EXAMPLE EXCEL SHEET (TEMPLATE DOCS), IT DOES NOT INCLUDE ANY OF THE DETAIL FROM THE SUPPORTING PAGES OF THE BUDGET JUSTIFICATION WORKSHEET. IS THERE ANOTHER PLACE TO SUBMIT THE FULL WORKSHEET OR DOES ARPA-E NOT WANT THAT SUBMITTED (I.E. ONLY SUBMIT THE SINGLE SUMMARY TAB)?**
- 4. UNDER THE SF-424A EXAMPLE SHEET, THE SHEET AUTOMATICALLY ASSUMES THAT BUDGET PERIOD 1 IS 1 YEAR (CELL D43), AND DOES NOT INCLUDE ANY OF THE PHASE 2 MONEY I HAVE ALLOCATED IN THE FIRST YEAR, SO I WILL HAVE TO ONLY INCLUDE PHASE 1 IN MY QUARTERLY BUDGET ESTIMATES TO MAKE THE REVIEW TAB GREEN, IS THIS OK?**
- 5. IS THERE ANY GUIDANCE ON LEAD ORGANIZATION % UNDER "GENERAL" TAB IN THE ARPA SUBMISSION TABS? MY COMPANY HAS NO PARTNERSHIPS OR JV AGREEMENTS, SO I ASSUME THIS IS 100% EVEN IF CONTRACTORS PERFORM TASKS FOR THE COMPANY?**

ANSWER:

1. Sections 1-5 are limited to 8 pages.
2. TT&O is Technology Transfer and Outreach activities. TT&O is not required under this topic.
3. See response to Q30.6 above.
4. Applicants may segregate budgets by equating Budget Period 1 with SBIR/STTR Phase I, and Budget Period 2 with SBIR/STTR Phase II.
5. ARPA-E will not pre-assess applicant's proposed budget submissions. Refer to Section IX. Glossary of the DE-FOA-0001954 of the FOA for the definition of "Project Team"

Q32. EXCEPT THE ARPA-E'S MISSION AREAS, COULD YOU PLEASE SHARE THE SPECIFIC AREAS OF INTEREST FOR THIS ROUND OF SEED?

ANSWER: Please refer to the ARPA-E DE-FOA-0001954 Topic W: SEED Funding Opportunity for guidance on technical requirements.

Q33. I WAS READING THE SOLICITATION FOR DE-FOA-0001954 AND IT STATES "ARPA-E MAY ISSUE ONE, MULTIPLE, OR NO AWARDS UNDER THIS FOA. AWARDS MAY VARY BETWEEN \$200,000 AND \$500,000. AWARDS ARE ISSUED AS PHASE I OR PHASE I/II GRANTS, WITH A GO/NO-GO MILESTONE AFTER PHASE I, AS APPLICABLE." TO APPLY FOR A PHASE I/II GRANT, WOULD THE FOLLOWING BE ACCEPTABLE?

PHASE I – 12 MONTHS ~ \$259,613 WITH GO/NO-GO MILESTONES AFTER PHASE I THAT NEED TO BE MET TO INITIATE PHASE II

PHASE II – 12 MONTHS ~ \$240,387.

DO WE LIST OUT AND DESCRIBE ALL PHASES AND TASKS IN THE TECHNICAL PROPOSAL?

IF ONLY APPLYING FOR PHASE I, IS THE LIMIT \$259,613?

ALSO, ARE PATENT COSTS LIMITED TO \$30,000 FOR PHASE I/II GRANT OR FOR EACH PHASE?

ANSWER:

ANSWER: ARPA-E will not pre-assess applicants budgets submissions. From Section II.A. (Award Overview), the maximum award amount for a Phase I award is \$259,613. The \$30,000 cap for patent costs applies to the total award.

Q34. WE HAVE INTEREST TO SUBMIT A STTR/SBIR APPLICATION FOR THE "SEED" OPPORTUNITY. THE PROPOSAL IS TO PROTOTYPE A NOVEL LIGHTWEIGHT WAVE ENERGY CONVERTER (WEC) FOR MARINE ENERGY HARVESTING.

I HAVE SOME QUESTION TO ASK:

SHOULD THE PI BE FROM OUR SMALL BUSINESS OR FROM RESEARCH INSTITUTION, I.E., PROFESSOR? WHAT'S THE MAXIMUM AMOUNT FOR A PHASE I PROJECT FOR 1-2 YEARS (THIS IS NOT CLEAR IN THE FOA STATEMENT)?

ANSWER: ARPA-E will not pre-assess applicants technical submissions. The maximum amount is \$500k.

Q35. WE ARE CURRENTLY PUTTING TOGETHER OUR APPLICATION FOR THIS PROGRAM AND ARE VERY EXCITED ABOUT THE PROSPECT.

WE HAVE WORKED WITH THE NSF SBIR PROGRAM AND ARE FAMILIAR WITH THE RULE THAT NO LESS THAN 2/3 OF THE TOTAL BUDGET MUST BE USED FOR THE PRIMARY BUSINESS APPLICANT. FOR EXAMPLE, IF THE PROPOSED PROJECT ISSUES SUBAWARDS TO UNIVERSITIES OR RESEARCH CENTERS, THE TOTAL CANNOT EXCEED 1/3 OF THE TOTAL GRANT BUDGET.

WE DID NOT FIND REFERENCE TO THIS IN THE BUDGET GUIDELINES, BUT WE FELT IT WOULD BE BEST TO DOUBLE CHECK DIRECTLY.

ANSWER: See Section III.A. of the FOA

Q36. WE REQUEST SOME CLARIFICATION ABOUT THE PHASE I VS. I/II GRANTS, AWARD AMOUNT, AND PERIOD OF PERFORMANCE.

IN SECTION IIA OF THE FOA (PAGE 11), IT IS STATED, "APPLICANTS MUST APPLY FOR A COMBINED PHASE I/II/IIS AWARD." AND "THE MAXIMUM AWARD AMOUNT FOR A PHASE I AWARD IS \$259,613 AND THE MAXIMUM AMOUNT FOR A PHASE I/II AWARD IS \$1,990,364 ."

HOWEVER, FOR THE SEED PROGRAM (PAGE 229), IT IS STATED "THE MAXIMUM AMOUNT OF ANY GRANT AWARDED UNDER THIS TARGETED TOPIC IS \$500,000." AND ON PAGE 228, "AWARDS ARE ISSUED AS PHASE I OR PHASE I/II GRANTS, WITH A GO/NO-GO MILESTONE AFTER PHASE I, AS APPLICABLE."

QUESTIONS:

- 1. ARE WE REQUIRED TO APPLY FOR A COMBINED PHASE I/II/IIS AWARD?**
- 2. IS THE 24 MONTH MAXIMUM PERFORMANCE PERIOD FOR PHASE I OR FOR BOTH PHASE I/II?**
- 3. WHAT IS THE MAXIMUM PHASE 1 TIME PERIOD?**
- 4. UNDER THIS PROGRAM, WHAT IS THE MAXIMUM AWARD FOR A PHASE I AND THE MAXIMUM FOR PHASE I/II?**

ANSWER:

1. No
2. Both Phases.
3. There is only a total maximum time period of 24 months.
4. See the answer to question 3 above.