

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. Concept Paper Phase Questions:

Q1. HOW IS FUNDING PLANNED FOR AN FFRDC SUB ON A PROJECT UNDER THIS FOA? WILL THIS BE THROUGH AN AGREEMENT BETWEEN THE PRIME SBIR AND FFRDC (AS IN THE PAST) OR WILL THE FFRDC BE FUNDED THROUGH WORK AUTHORIZATION

ANSWER: Please see CIRCULAR SBIR/STTR FOA Section II.C.2. "Funding Agreements with FFRDCs/DOE Labs, GOGOs, and Federal Instrumentalities.

Q2. OUR COMPANY IS COMMERCIALIZING *REDACTED***, WHICH PROVIDES SIGNIFICANT ENHANCEMENTS IN CELL CYCLE-LIFE AND OFFERS A RANGE OF POSSIBILITIES IN CELL DESIGN. OUR SOLUTION APPEARS TO DIRECTLY SUPPORT THE OBJECTIVES OF THE PROGRAM, HOWEVER I WASN'T ABLE TO FIND IF THERE WERE SPECIFIC DELIVERABLES (E.G., A QUANTITY OF MATERIALS, A NUMBER OF CELLS TO BE DELIVERED FOR 3RD PARTY TESTING) THAT ARE REQUIRED DURING THE ENGAGEMENT WITH ARPA-E FOR SOLUTIONS THAT ENHANCE ACTIVE MATERIALS CHEMISTRIES AND ELECTROCHEMICAL PROCESSES.**

ANSWER: Please, consider Table 1 to 4 for the list of metrics for Categories A to D. Deliverables are important in assessing the concept papers but are specified by the applicants themselves.

Q3. I'M REACHING OUT ON BEHALF OF*REDACTED***, A US-BASED LI-ION BATTERY RECYCLING COMPANY PROVIDING FULL LIFECYCLE SOLUTIONS. WHILE ***REDACTED*** IS A SMALL BUSINESS, WE'VE RECEIVED AN \$80M COMMITMENT FROM A PRIVATE EQUITY FUND WITH BILLIONS UNDER MANAGEMENT. WOULD THAT FUNDING DISQUALIFY US FROM CONSIDERATION UNDER THIS FOA? OR ARE THERE ANY OTHER ELIGIBILITY REQUIREMENTS FOR FOA 3324 THAT MIGHT BE IMPLICATED OR A LIMIT TO THE AMOUNT OF FUNDING THAT A COMPANY CAN HAVE RAISED TO APPLY?**

ANSWER: Small business determinations are made in accordance with criteria established by the Small Business Administration (SBA). For more information on small business classification, please see the answer to question 3.4 on ARPA-E's General Questions website.

Q4. WE HAVE A FEW QUESTIONS REGARDING THE CONTENT IN FOA:

- 1. ON PDF PAGE 24, THE FOA STATES THAT TAKEN TOGETHER PHASES I/II/IIS MAY BE FUNDED UP TO A TOTAL OF \$4,398,504. HOWEVER, ON THE SUMMARY PAGE, THE FOA STATES THAT THE MAXIMUM IS \$5M. COULD YOU PLEASE CLARIFY WHICH FIGURE IS CORRECT?**
- 2. WE ARE STILL UNCLEAR ABOUT THE DIFFERENCE BETWEEN PHASE I, II, AND IIS . HOW ARE THOSE PHASES DIVIDED AND HOW RECIPIENTS ARE SELECTED TO THE NEXT PHASE AFTER THE PREVIOUS PHASE IS DONE? WILL ADMINISTRATORS ISSUE A GO/NO-GO DECISION AT THE END OF PHASE I AND II BEFORE RECIPIENTS ARE ALLOWED TO PROGRESS TO THE SUBSEQUENT PHASE?**
- 3. ON PDF PAGE 25, SECTION IIC, WE READ “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.” DOES THIS MEAN THAT IF SELECTED FOR PHASE I, RECIPIENTS WILL RECEIVE UPFRONT PAYMENT FOR THE ENTIRE FUNDS OF PHASE I, BUT IF PROGRESSING TO PHASE II AND IIS, RECIPIENTS WILL SEND PERIODIC INVOICES TO ARPA-E FOR REIMBURSEMENT?**
- 4. ON PDF PAGE 43, THERE IS A FUND LIMITATION REGARDING CONFERENCE FEES. YOU SET A LIMIT OF \$20,000 FOR EACH CONFERENCE. IS THIS LIMIT ONLY FOR CONFERENCE TICKETS AND BOOTH RENTAL OR DOES IT INCLUDE ALL OTHER RELATED TRAVEL EXPENSES SUCH AS LODGING, FLIGHTS ETC.?**
- 5. IS THIS \$20,000 CONFERENCE LIMIT PER PERSON OR THE ENTIRE GROUP?**
- 6. ON PDF PAGE 40, THE FOA STATES THAT ARPA-E WILL REIMBURSE RECIPIENTS UP TO \$30,000 FOR THE PATENT COSTS. IS THIS \$30,000 FOR EACH PATENT OR FOR ALL POTENTIAL PATENTS UNDER THE PROJECT?**
- 7. MAY APPLICANTS REQUEST REIMBURSEMENT FOR MAINTENANCE FEES OF EXISTING PATENTS THAT WILL BE USED DURING THE PROJECT?**

ANSWER:

1. For information on funding limits for awards selected under FOA #DE-FOA-0003324 (CIRCULAR SBIR/STTR) please see the information in section II.A. of the FOA (“Award Overview”) pertaining to SBIR/STTR awards.
2. This question is premature and will be addressed during negotiation.
3. Fixed amount awards are generally reimbursed based on milestone achievement instead of actual expenditures. For more information on fixed amount awards, please see the Uniform Grant Guidance, 2 CFR 200.201 (b). For more information on ARPA-E’s award terms and

conditions regarding award payment, please follow the link to our model funding agreements for SBIR/STTR projects linked in section II.C. (“ARPA-E Funding Agreements”) of the FOA.

4. Section G.10. of the FOA (“Conference Spending”) provides guidance on conferences that are proposed, organized and funded through ARPA-E awards. This section does not pertain to conferences organized by groups other than the recipient and considered allowable, allocable, reasonable, and necessary to achieve the goals and objectives of the award.
5. Please see the answer to section #4 of this question.
6. Please see section G.III. (“Patent Costs”) of the FOA or the answer to question 7.18 on ARPA-E's General Questions webpage for more information on patent costs.
7. No. In order for a cost to be eligible for reimbursement it must be allowable, allocable, reasonable, and necessary to the performance of the funded award according to the Uniform Grant Guidance. These terms are defined in the Cost Principles at 2 CFR 200.402-406.

II. Full Application Phase Questions:

Q5. THE STTR GUIDELINES STATE THAT 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 LEAST 30% OF THE WORK IN PHASE I, PHASE II, AND/OR PHASE IIS, AS MEASURED BY THE TOTAL PROJECT COST. IS THIS % DEFINED FOR EACH PHASE SEPARATELY OR FOR THE TOTAL BUDGET?

ANSWER: For information on eligibility as a Small Business Concern, please refer to SBA’s SBIR/STTR Program website at <https://www.sbir.gov/about>.

Q6. WE ARE AN FFRDC CONTRIBUTING TO A LARGER PROPOSAL FOR OUR PRIME. IN REVIEWING THE BUSINESS ASSURANCES AND DISCLOSURES FORM, THERE IS NO REQUEST FOR A FIELD WORK PROPOSAL. THE FWP REQUIREMENT IS STILL LISTED WITHIN THE FOA BUT IT IS NOT PART OF THE “ARPA-E_340A_SBIR-STTR_-_BUSINESS_ASSURANCES_DISCLOSURES_FORM_(1).DOCX” TEMPLATE THAT WAS PROVIDED IN THE EXCHANGE. SINCE IT IS NOT A PART OF THE FORM, SHOULD WE JUST INCLUDE A FIELD WORK PROPOSAL AS PART OF OUR BUDGET BACKUP PAPERWORK?

ANSWER: Please submit the Business Assurances and Disclosures Form relevant to your organization with the section required. This form 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.