



DE-FOA-0002239 – ASCEND SBIR/STTR

Questions can be sent to ARPA-E-CO@hq.doe.gov

FIRST DEADLINE FOR QUESTIONS TO ARPA-E-CO@HQ.DOE.GOV:

5 PM ET, MONDAY, JANUARY 21

SECOND DEADLINE FOR QUESTIONS TO ARPA-E-CO@HQ.DOE.GOV:

5 PM ET, TUESDAY MAY 12, 2020

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. What is the minimum percentage of the total budget for the prime applicant?

ANSWER: Refer to FOA Section III.A.

II. Full Application Phase Questions:

Q2. Our firm was encouraged to submit a full proposal submission in response to the ARPA-E ASCEND SBIR program (DE-FOA-0002239), and we are aware of the proposal format as well as the documents that need to be uploaded, according to the ARPA-E website. Our question is related to the technical volume content that ARPA-E expects. Is it fair to assume that the applicant has to explain the entire Phase I, Phase II and Phase IIS plans in the proposal? Or does ARPA-E envision more of a Phase I description only and the offeror will be invited at the end of Phase I to submit a Phase II proposal/plan?

ANSWER: As set forth in FOA Section II.A: *[a]pplicants must apply for a Combined Phase I/II/IIS Award.*

Q3. In the announcement modification 1 for the subject FOA, we are uncertain how to present our task plan and budget. Section 3 of the announcement states there is an ASCEND Phase 1 (up to 18 months) and Phase 2 (up to 24 months). ASCEND Phase 1 includes SBIR/STTR Phase I and a portion of Phase II. ASCEND Phase 2 includes the balance of SBIR/STTR Phase II and Phase IIs. In section II.A of the announcement it lists maximum award amounts for each SBIR/STTR Phase I/II/IIs. Our question....are anticipated awards going to fund work per the SBIR/STTR Phases I/II/IIs, or will funding be broken down per ASCEND Phase 1 (up to 18 months) and Phase 2 (up to 24 months)? If awards will be issued for the ASCEND Phase 1 and Phase 2, what is the maximum award amount for each of these Phases?

ANSWER: No maximum amounts have been established for ASCEND Phase 1 and ASCEND Phase 2. Cost estimates for ASCEND Phase I and ASCEND Phase 2 are driven by technical considerations, as noted in FOA Section I.C:

The ASCEND program will incorporate two phases. ASCEND Phase 1 (SBIR/STTR Phase I and portion of SBIR/STTR Phase II) calls for conceptual designs and computer simulations of motor, its drive, and their integration, as well as subsystem/component level demonstrations, as necessary, for the proposed key enabling technologies to support the design and simulated performance projections. ASCEND Phase 1 (SBIR/STTR Phase I and portion of SBIR/STTR Phase II) will be 18 months long. Subject to the availability of appropriated funds, projects that



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achieve technical success in ASCEND Phase 1 (SBIR/STTR Phase I and portion of SBIR/STTR Phase II) may, at ARPA-E's sole discretion, proceed to the second phase of the program to develop, fabricate, and test an integrated motor and drive developmental prototype (≥ 250 kW) comprised of an electric motor, its drive and associated thermal management system (TMS). See section I.E.3 (Program Structure and Deliverables) for further details.

Budgets should be presented as set forth in the file titled *Budget Justification/SF-424A Workbook* which clearly delineates the presentation by both ASCEND Phase 1 and Phase 2, and SBIR/STTR Phases I/II/IIS. The maximum amounts for SBIR/STTR Phases I/II/IIS are set forth at FOA Section II.A.

Q4. This question is in reference to the FOA for the ASCEND SBIR/STTR Award Overview section (Section II.A). Specifically, I'm referencing the text "Combined Phase I/II/IIS awards may be funded up to \$3,677,642. Funding amounts will be consistent with the Phase I and Phase II limits posted on the SBA's website. ... In the event that ARPA-E selects Phase I only or Phase I/II only, then the maximum award amount for a Phase I award is \$256,580 and the maximum amount for a Phase I/II award is \$1,967,111."

My interpretation of this section is as follows: the combination of SBIR Phase I and the two parts of the SBIR Phase II (in the Budget Justification Workbook, these are shown in the colors pink, blue, and green) should not exceed \$1,967,111 and that the limit for the SBIR Phase I (in pink) is \$256,580. If the SBIR Phase I amount is less than \$256,580, then the two parts of Phase II (in blue and green) can be up to the Total Project Costs of Phase I (in pink) subtracted from \$1,967,111. Finally, the combined total amount for SBIR Phase I/II/IIS can't exceed \$3,677,642 — this means that if, for example, the total for SBIR Phase I/II (in pink, blue, and green on the spreadsheet) were to add up to the limit (\$1,967,111), then the maximum limit for Phase IIS would be \$1,710,531 (which is \$3,677,642 minus \$1,967,111). If the total combined amount for SBIR Phase I/II (in pink, blue, and green on the spreadsheet) is less than the limit of \$1,967,111, then the maximum amount for Phase IIS would increase, equaling that combined amount subtracted from \$3,677,642.

Is this interpretation 100% correct? If incorrect, can you please clarify?

ANSWER: Footnote 38 (p.22) states:

For current SBIR Phase I and Phase II funding amounts, see <https://www.sbir.gov/about/about-sbir>. ... Phase IIS funding amounts are equal to Phase II funding amounts for ... SBIR ... awards.

As found by following the referenced hyperlink:

As of November, 2019, agencies may issue a Phase I award (including modifications) up to \$256,580 and a Phase II award (including modifications) up to \$1,710,531 without seeking SBA approval.



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