

QUESTIONS AND ANSWERS

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I. FREQUENTLY ASKED QUESTIONS:

Q1. If I have questions about this funding announcement, who do I contact?

ANSWER: Please see the FOA guidance on submitting FOA content questions and response publication. Applicants may submit questions regarding this ARPA-E's Funding Opportunity Announcement (FOA) to ARPA-E-CO@hq.doe.gov. All emails must include the FOA name and number in the subject line. The cover page and Executive Summary of the Funding Opportunity Announcement state the deadlines for submitting questions to ARPA-E-CO@hq.doe.gov.

Q2. How will I receive a response to questions submitted to arpa-e-co@hq.doe.gov about this FOA?

ANSWER: Responses are posted in the "Frequently Asked Questions" section of ARPA-E's website. There are general FAQs and a FAQ page for each FOA.

ARPA-E will post responses on a weekly basis to any questions that are received.

ARPA-E will cease to accept questions approximately 5 business days in advance of each submission deadline. Responses to questions received before the cutoff will be posted approximately one business day in advance of the submission deadline. ARPA-E may re-phrase questions or consolidate similar questions for administrative purposes.

Q3. Will ARPA-E post a response to every question submitted to arpa-e-co@hq.doe.gov?

ANSWER: No. ARPA-E will only post responses to questions that have not already been addressed by a published FAQ. Also, ARPA-E may consolidate similar questions for administrative purposes.

Q4. If I have questions about ARPA-E exchange, who do I contact?

ANSWER: Applicants may submit questions regarding ARPA-E's online application portal, ARPA-E eXCHANGE, to ExchangeHelp@hq.doe.gov. All emails must include the name and number of the Funding Opportunity Announcement in the subject line.

Q5. Can I speak or meet with the ARPA-E Program Director or other ARPA-E personnel about this funding opportunity announcement?

ANSWER: No. Upon the issuance of this Funding Opportunity Announcement (FOA), ARPA-E Programs and other ARPA-E personnel are prohibited from communicating (in writing or otherwise) with Applicants, or potential Applicants, regarding the FOA. This "quiet period" remains in effect until ARPA-E's public announcement of its project selections. During the "quiet period," Applicants may submit questions regarding the FOA to ARPA-E-CO@hq.doe.gov with the FOA name and number in the subject line. Applicants may also submit questions regarding ARPA-E's online application portal, ARPA-E eXCHANGE, to ExchangeHelp@hq.doe.gov with the FOA name and number in the subject line. ARPA-E will not accept or respond to communications received by other means (e.g., fax, telephone, mail, hand delivery). Emails sent to other email addresses will be disregarded.

Q6. Can a person be PI on one proposal and a Co-PI on a second separate proposal?

ANSWER: Yes, but the applications must be scientifically distinct from one another.

Q7. May applicants submit more than one Concept Paper to this funding opportunity?

ANSWER: Yes, but each Concept Paper submission must be scientifically distinct.

Q8. I have developed a technology that may be a good fit for this funding opportunity. Will ARPA-E please review the attached project information and let me know if I should make a submission to this funding opportunity.

ANSWER: No. Applicants must review the Technical Requirements of this funding opportunity to determine if their technology warrants a submission to ARPA-E.

II. Questions for week ending: JUNE 14, 2013

Q9. Dr. *** at the University of ***** has some questions about the FOA and would like to speak directly with the project manager. Could we have contact information?**

ANSWER: No, applicants may not speak directly with the program director. For more information, please see the response to Q1 above.

Q10. The FOA indicates (section III.D.1) a cost share requirement of at least 20% for phase II and IIs, as applicable. Are the funding limits listed in section II.A (e.g., \$3,225,000 for I/II/IIs) the maximum government share or the maximum total (including cost share)?

ANSWER: The funding limits listed in Section II.A of the FOA are the maximum federal share.

Q11. Are small business concerns that are majority-owned by multiple venture capital operating companies, hedge funds, and/or private equity firms eligible to apply to this FOA?

ANSWER: According to SBA's Guide to SBIR/STTR Eligibility (http://sbir.gov/sites/default/files/elig_size_compliance_guide.pdf):

"A majority (more than 50%) of your firms' equity (e.g., stock) must be directly owned and controlled by one of the following:

- 1) One or more individuals who are citizens or permanent resident aliens of the US,
- 2) Other for-profit small business concerns (each of which is directly owned and controlled by individuals who are citizens or permanent resident aliens of the US).
- 3) A combination of (1) and (2) above.
- 4) Multiple venture capital operating companies, hedge funds, private equity firms, or any combination of these, so long as no one such firm owns or controls more than 50% of the equity. Note: This option is allowed only for SBIR awards from agencies that are using the authority provided in § 5107 of the SBIR/STTR Reauthorization Act (majority-VC-owned authority), 15 U.S.C. § 638(dd)(1).

*The venture capital operating company, hedge fund or private equity firm must have a place of business located in the United States and be created or organized in the United States, or under the law of the United States or of any State.”

ARPA-E intends to make some SBIR awards using the authority set forth in item 4) above. Thus, small business concerns that meet the ownership and control requirements identified in item 4) are eligible to apply to this FOA.