



DE-FOA-0002505 – REMEDY SBIR/STTR

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

FIRST DEADLINE FOR QUESTIONS: 5 PM ET, MAY 11, 2021
SECOND DEADLINE FOR QUESTIONS: 5 PM ET, AUGUST 13, 2021

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. 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 Program Directors 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). E-mails sent to other e-mail addresses will be disregarded.

Q2. I submitted a Concept Paper to the ARPA-E OPEN 2021 funding opportunity that would be a good fit for the the DE-FOA-0002505 REMEDY SBIR/STTR funding Opportunity. Should I submit my Concept Paper to the REMEDY Funding Opportunity also?

ANSWER: Applicants who submitted REMEDY eligible Concept Papers to the OPEN 2021 FOA but would rather submit to either the REMEDY or REMEDY SBIR/STTR FOA, should send a withdrawal request to ARPA-E-CO@hq.doe.gov including their OPEN 2021 Concept Paper Control Number. ARPA-E can then withdraw that Concept Paper and the Applicant can then submit a Concept Paper to the applicable REMEDY FOA instead.

Q3. Does the company (small business) need to be founded prior to submission of full application under this FOA? If not, would I have time till the agency is ready to release the award to establish my company?

ANSWER: For the REMEDY SBIR/STTR FOA, SBA rules and guidelines apply and require registration prior to submitting an application (see http://sbir.gov/sites/default/files/elig_size_compliance_guide.pdf). For ARPA-E purposes, "application" means a Full Application; you do not need to register your company prior to submitting a Concept Paper. Applicants have the ability to change or update their submissions via the ARPA-E eXCHANGE application portal up until the applicant's Full Application is submitted. ARPA-E will be in touch with the applicant thereafter to ensure the small business is founded prior to award.



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Q4. We are developing an internal pipeline repair robots for gas and oil pipelines. CEOs of the largest gas/oil companies, such as Saudi Aramco, TOTAL, Shell, etc, have shown interest in using our robots when commercialized. Does it fit into your DE-FOA-0002505?

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.

Q5. These FOA's appear identical, apart from one apparently being administered as an ARPA-e award and the other being administered as a SBIR/STTR award.

Can you indicate what this distinction means in practice? All other technical narrative & administrative requirements appear the same.

ANSWER: The Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs are highly competitive programs that encourage domestic small businesses with the potential for commercialization to engage in Federal Research/Research and Development (R/R&D). In addition to ARPA-E-specific requirements identified in the FOA, the SBIR/STTR funding opportunities are administered in accordance with the Small Business Act and policy directive issued by the U.S. Small Business Administration (SBA); the SBIR/STTR funding opportunities have different eligibility criteria, and the contents of the attachments to awards issued under the SBIR/STTR funding opportunities differ from those issued under the non-SBIR/STTR funding opportunity. More information about SBIR/STTR awards can be found at <https://www.sbir.gov>.

Q6. I just realized there are two FOAs that seem very similar, except for a few details.

Is there a document that describes the differences between the two FOAs?

Can we submit applications under both?

Will Concept Papers for each FOA be reviewed by separate technical groups, or will the same group review both Concept Paper submissions?

Will any sort of preference be given to one FOA over the other?

ANSWER: One of the FOAs is for SBIR/STTR awards. Please see the above answer for more information on the program.

Small businesses that qualify as a "Small Business Concern", as defined in the SBA's "Guide to SBIR/STTR Program Eligibility" (http://sbir.gov/sites/default/files/elig_size_compliance_guide.pdf) may apply to only one of the two ARPA-E REMEDY FOAs: DE-FOA-0002505 (SBIR/STTR) or DE-FOA-0002504. 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-0002505 (SBIR/STTR), please review the eligibility requirements in Sections III.A – III.D of that FOA.

With respect to the individuals that will be reviewing submissions to the FOA, see Section V.B.2 (ARPA-E Reviewers) of the FOA for more information. The same individuals may or may not review for both FOAs.

No preference is given to either FOA.

QUESTIONS AND ANSWERS

Q7. I am finalizing my submission for DE-FOA-0002505, and it has two requirements that I want to make sure I get correct:

- (1) Assigned control number is required in the header – where do I obtain this number? I could not find anything on it in the FAQs.**
- (2) It requires a lead investigator's name, I assume that is the submitter (i.e. me), or is this a reference to the ARPA-E examiner who will be judging the concept papers?**

ANSWER:

7.1. The ARPA-E Funding Opportunity Exchange website assigns a Control Number when an applicant does the following:

- (1) Log into the ARPA-E Funding Opportunity Exchange website.
- (2) Locate the Funding Opportunity announcement.
- (3) Click the Apply button.
- (4) Complete the Concept Paper Details page.
- (5) Click the "Create Concept Paper" button located at the bottom of the page. The Control Number should then be assigned automatically.

7.2. The lead investigator is the person designated by the applicant who will serve in that role for the project team if the submission results in an award.

Q8. Greetings DOE,

- 1. Earlier, in response to your DE-FOA-0002459, I submitted a concept paper for an engine operating on natural gas for use in compression in the natural gas pipelines. While the scope of the aims of this new project would be different, the science would be essentially the same as that of DE-FOA-0002459. Thus, were I to respond to DE-FOA-0002505 would I have to cancel my pending DE-FOA-0002459 submission?**
- 2. If the answer to my question 1. is NO: would I also be able to respond to DE-FOA-0002504 with a scaled up (far more extensive) project proposal (Concept Paper)?**

ANSWER:

1. So long as the concept paper submitted to the REMEDY SBIR/STTR FOA (DE-FOA-0002505) is scientifically distinct from the concept paper submitted to the OPEN 2021 FOA (DE-FOA-0002459), then you would not need to cancel your OPEN 2021 FOA submission in order to submit to the REMEDY SBIR/STTR FOA. If the concept paper is not scientifically distinct, please refer to question 2, above.
2. 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.



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Q9. We recently reviewed this grant opportunity and were seeking information about the close date - if there is flexibility?

ANSWER: ARPA-E does not anticipate extending the submission deadlines at this time. We strongly recommend submitting concept papers and full applications by the stated deadlines.

II. Full Application Phase Questions:

Q10. Would it be possible to get clear guidance on how to structure proposal plan, as the FOA has mixed messages.

Both are indicated:

Page 13: Stage 1 (\$1-2 million) and Stage 2 (+\$2-3 million)

Page 33: Phase I/II/III (\$259k Phase I, Phase I+II, \$1.9 million, Phase I/II/III \$3.7 million).

Is Stage 1 considered Phase I and II and Stage 2 phase IIs? How does the budget need be ordered?

Combining the ARPA-E and SBIR funding structures is a little confusing.

ANSWER: As Section I.C.2. notes, ARPA-E anticipates selecting 10-14 project teams for Stage 1 (a 12-18 month period with a budget of \$1-2MM per team), and down-select 4-7 project teams for Stage 2 (an additional budget of \$2-3MM per team and an additional period of performance). Total duration for the two stages is intended to be 36 months. It is up to each applicant to propose appropriate budgets and periods of performance for each SBIR/STTR Phase (I/II/III) -- keeping in mind the maximum amounts for each Phase identified in the FOA -- to meet ARPA-E's expectations for the two programmatic stages described in Section I.C.2 and above. If needed, it would be acceptable to split SBIR/STTR Phase II between Stage 1 and Stage 2. ARPA-E may, at its discretion, issue one, multiple, or no awards..



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Q11. I have the following questions related to REMEDY SBIR/STTR (DE-FOA-0002505) -

- (1) While submitting the full application, there are several places where one needs to fill out the % of work done by lead small business (SB) and others e.g. Team Members tab. However, the system accepts only 1 number for each entity. Hence, what number we should enter if % work are different during different phases. E.g. Under SBIR category, if SB and collaborator wants to do 80% and 20% in Ph I, 50% and 50% in Ph II and 60% and 40% in Ph IIs respectively, how can one fill out a single number for the % work by SB and collaborator? If I assume the total budget requested for PhI is \$200k, PhII \$1M and PhIIs \$1M, then using the above splits, % of total funds going to SB and collaborator will be 57% and 43% respectively. If I use these numbers to fill in for the full application, then 57% work by SB will appear not to satisfy PhI rule of 67%.**
- (2) If the collaborating organization wants to do 15% during Ph I and Ph II and 5% during Ph IIs, does it need to fill up its budget worksheet for only PhI and PhII?**
- (3) Is it possible to change the % work done by SB and others for Ph IIs (i.e. Stage 2) in the updated Stage 2 budget that Stage 1 teams have to submit to get funding for Stage 2?**

ANSWER: ARPA-E can provide the requested service for applicants that indicate exactly which cells they would like to have unlocked. Please contact arpa-e-co@hq.doe.gov for assistance.