

**FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY ANNOUNCEMENT**



**ADVANCED RESEARCH PROJECTS AGENCY – ENERGY (ARPA-E)  
U.S. DEPARTMENT OF ENERGY**

***REDUCING EMISSIONS OF METHANE EVERY DAY  
OF THE YEAR SBIR/STTR (REMEDY SBIR/STTR)  
METHANE EMISSIONS ABATEMENT PROGRAM***

Announcement Type: ~~Initial Announcement~~ **Modification 01**

Funding Opportunity No. DE-FOA-0002505

CFDA Number 81.135

<b>Funding Opportunity Announcement (FOA) Issue Date:</b>	April 8, 2021
<b>First Deadline for Questions to <a href="mailto:ARPA-E-CO@hq.doe.gov">ARPA-E-CO@hq.doe.gov</a>:</b>	5 PM ET, May 11, 2021
<b>Submission Deadline for Concept Papers:</b>	9:30 AM ET, May 21, 2021
<b>Second Deadline for Questions to <a href="mailto:ARPA-E-CO@hq.doe.gov">ARPA-E-CO@hq.doe.gov</a>:</b>	5 PM ET, <b>TBD August 13, 2021</b>
<b>Submission Deadline for Full Applications:</b>	9:30 AM ET, <b>TBD August 25, 2021</b>
<b>Submission Deadline for Replies to Reviewer Comments:</b>	5 PM ET, <b>TBD October 5, 2021</b>
<b>Expected Date for Selection Notifications:</b>	<b>TBD November 2021</b>
<b>Total Amount to Be Awarded</b>	Approximately \$35 million, subject to the availability of appropriated funds to be shared between FOAs DE-FOA-0002504 and DE-FOA-0002505.
<b>Anticipated Awards</b>	ARPA-E may issue one, multiple, or no awards under this FOA. Awards may vary between \$259,613 and \$3,721,115.

- For eligibility criteria, see Section III.A – III.D of the FOA.
- For cost share requirements under this FOA, see Section III.E of the FOA.
- To apply to this FOA, Applicants must register with and submit application materials through ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/Registration.aspx>). For detailed guidance on using ARPA-E eXCHANGE, see Section IV.H.1 of the FOA.
- Applicants are responsible for meeting each submission deadline. Applicants are strongly encouraged to submit their applications at least 48 hours in advance of the submission deadline.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

- For detailed guidance on compliance and responsiveness criteria, see Sections III.F.1 through III.F.4 of the FOA.

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## MODIFICATIONS

All modifications to the Funding Opportunity Announcement (FOA) are highlighted in yellow in the body of the FOA.

Mod. No.	Date	Description of Modifications
01	7/12/21	<ul style="list-style-type: none"><li>• Inserted certain deadlines, including the deadlines for submitting questions and Full Applications, see Cover Page and Required Documents Checklist.</li><li>• Revised the Required Documents Checklist and Sections IV.D, IV.E, and IV.G of the FOA to provide guidance on required application forms and the content and form of Full Applications and Replies to Reviewer Comments. Applicants are strongly encouraged to use the templates provided on ARPA-E eXCHANGE (<a href="https://arpa-e-foa.energy.gov">https://arpa-e-foa.energy.gov</a>).</li><li>• Inserted additional Responsiveness criteria, see Section III.F.2 of the FOA.</li><li>• Inserted criteria that ARPA-E will use to evaluate Full Applications, see Section V.A.2 of the FOA.</li><li>• Inserted criteria that ARPA-E will use to evaluate Replies to Reviewer Comments in Section V.A.3 of the FOA.</li><li>• Inserted information on the anticipated announcement and award dates, see Section V.C of the FOA.</li><li>• Inserted information concerning Full Application Notifications, see Section VI.A.3 of the FOA.</li><li>• Inserted Administrative and National Policy Requirements, see Section VI.B of the FOA.</li><li>• Inserted Reporting Requirements, see Section VI.C of the FOA.</li><li>• Revised section on Title to Subject Inventions, see Section VIII.A of the FOA.</li></ul>

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## **REQUIRED DOCUMENTS CHECKLIST**

For an overview of the application process, see Section IV.A of the FOA.

For guidance regarding requisite application forms, see Section IV.B of the FOA.

For guidance regarding the content and form of Concept Papers, Full Applications, and Replies to Reviewer Comments, see Sections IV.C, IV.D, and IV.E of the FOA.

SUBMISSION	COMPONENTS	OPTIONAL/ MANDATORY	FOA SECTION	DEADLINE
Concept Paper	<ul style="list-style-type: none"> <li>Each Applicant must submit a Concept Paper in Adobe PDF format by the stated deadline. The Concept Paper must not exceed 7 pages in length including graphics, figures, and/or tables (except the required Gantt Chart and the optional LCA and LCCA spreadsheets) and must include the following: <ul style="list-style-type: none"> <li>Concept Summary</li> <li>Innovation and Impact</li> <li>Proposed Work</li> <li>Team Organization and Capabilities</li> </ul> </li> </ul>	Mandatory	IV.C	9:30 AM ET, May 21, 2021
Full Application	<p>[TO BE INSERTED BY FOA MODIFICATION IN JUNE 2021]</p> <ul style="list-style-type: none"> <li>Each Applicant must submit a Technical Volume in Adobe PDF format by the stated deadline. The Technical Volume must include the following: <ul style="list-style-type: none"> <li>Executive Summary (1 page max.)</li> <li>Sections 1-5 (20 pages max.) <ul style="list-style-type: none"> <li>1. Innovation and Impact</li> <li>2. Proposed Work <ul style="list-style-type: none"> <li>The required one-page Gantt Chart will not count as part of the 20 page limit for Sections 1-5.</li> </ul> </li> <li>3. Team Organization and Capabilities</li> <li>4. Technology to Market</li> <li>5. Budget</li> </ul> </li> <li>Bibliographic References (no page limit)</li> <li>Personal Qualification Summaries (each Personal Qualification Summary limited to 3 pages in length, no cumulative page limit)</li> </ul> </li> <li>The Technical Volume must be accompanied by: <ul style="list-style-type: none"> <li>LCA and LCCA Spreadsheets (no page limit, Microsoft Excel Format)</li> <li>SF-424 (no page limit, Adobe PDF format);</li> <li>Budget Justification Workbook/SF424A (no page limit, Microsoft Excel format)</li> <li>Summary for Public Release (250 words max., Adobe PDF format);</li> </ul> </li> </ul>	Mandatory	IV.D	9:30 AM ET, <del>TBD August</del> 25, 2021

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

	<ul style="list-style-type: none"><li>○ SBA Company Registration Certificate generated in the SBA Company Registry (<a href="http://sbir.gov/registration">http://sbir.gov/registration</a>) (Adobe PDF format);</li><li>○ If applicable, Certification for Applicants that are (a) Majority-Owned by Multiple Venture Capital Operating Companies, Hedge Funds, or Private Equity Firms; and/or (b) joint ventures minority-owned by a foreign entity (Adobe PDF format);</li><li>○ Summary Slide (1 page limit, Microsoft PowerPoint format); and</li><li>○ Completed and signed Business Assurances &amp; Disclosures Form (no page limit, Adobe PDF format).</li></ul>			
Reply to Full Application Reviewer Comments	<p>[TO BE INSERTED BY FOA MODIFICATION IN JUNE 2021]</p> <ul style="list-style-type: none"><li>• Each Applicant may submit a Reply to Full Application Reviewer Comments in Adobe PDF format. This submission is optional. The Reply may include:<ul style="list-style-type: none"><li>○ Up to 2 pages of text; and</li><li>○ Up to 1 page of images.</li></ul></li></ul>	Optional	IV.E	5 PM ET, <del>TBD</del> October 5, 2021



## **I. FUNDING OPPORTUNITY DESCRIPTION**

### **A. AGENCY OVERVIEW**

The Advanced Research Projects Agency – Energy (ARPA-E), an organization within the Department of Energy (DOE), is chartered by Congress in the America COMPETES Act of 2007 (P.L. 110-69), as amended by the America COMPETES Reauthorization Act of 2010 (P.L. 111-358), as further amended by the Energy Act of 2020 (P.L. 116-260) to:

- “(A) to enhance the economic and energy security of the United States through the development of energy technologies that—
- (i) reduce imports of energy from foreign sources;
  - (ii) reduce energy-related emissions, including greenhouse gases;
  - (iii) improve the energy efficiency of all economic sectors;
  - (iv) provide transformative solutions to improve the management, clean-up, and disposal of radioactive waste and spent nuclear fuel; and
  - (v) improve the resilience, reliability, and security of infrastructure to produce, deliver, and store energy; and
- (B) to ensure that the United States maintains a technological lead in developing and deploying advanced energy technologies.”

ARPA-E issues this Funding Opportunity Announcement (FOA) under its authorizing statute codified at 42 U.S.C. § 16538. The FOA and any awards made under this FOA are subject to 2 C.F.R. Part 200 as supplemented by 2 C.F.R. Part 910.

ARPA-E funds research on and the development of transformative science and technology solutions to address the energy and environmental missions of the Department. The agency focuses on technologies that can be meaningfully advanced with a modest investment over a defined period of time in order to catalyze the translation from scientific discovery to early-stage technology. For the latest news and information about ARPA-E, its programs and the research projects currently supported, see: <http://arpa-e.energy.gov/>.

**ARPA-E funds transformational research.** Existing energy technologies generally progress on established “learning curves” where refinements to a technology and the economies of scale that accrue as manufacturing and distribution develop drive down the cost/performance metric in a gradual fashion. This continual improvement of a technology is important to its increased commercial deployment and is appropriately the focus of the private sector or the applied technology offices within DOE. By contrast, ARPA-E supports transformative research that has the potential to create fundamentally new learning curves. ARPA-E technology projects typically start with cost/performance estimates well above the level of an incumbent technology. Given the high risk inherent in these projects, many will fail to progress, but some may succeed in generating a new learning curve with a projected cost/performance metric that is significantly lower than that of the incumbent technology.

**ARPA-E funds technology with the potential to be disruptive in the marketplace.** The mere creation of a new learning curve does not ensure market penetration. Rather, the ultimate value of a technology is determined by the marketplace, and impactful technologies ultimately become disruptive – that is, they are widely adopted and displace existing technologies from the marketplace or create entirely new markets. ARPA-E understands that definitive proof of market disruption takes time, particularly for energy technologies. Therefore, ARPA-E funds the development of technologies that, if technically successful, have clear disruptive potential, e.g., by demonstrating capability for manufacturing at competitive cost and deployment at scale.

**ARPA-E funds applied research and development.** The Office of Management and Budget defines “applied research” as an “original investigation undertaken in order to acquire new knowledge...directed primarily towards a specific practical aim or objective” and defines “experimental development” as “creative and systematic work, drawing on knowledge gained from research and practical experience, which is directed at producing new products or processes or improving existing products or processes.”<sup>1</sup> Applicants interested in receiving financial assistance for basic research (defined by the Office of Management and Budget as “experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts”)<sup>2</sup> should contact the DOE’s Office of Science (<http://science.energy.gov/>). Office of Science national scientific user facilities (<http://science.energy.gov/user-facilities/>) are open to all researchers, including ARPA-E Applicants and awardees. These facilities provide advanced tools of modern science including accelerators, colliders, supercomputers, light sources and neutron sources, as well as facilities for studying the nanoworld, the environment, and the atmosphere. Projects focused on early-stage R&D for the improvement of technology along defined roadmaps may be more appropriate for support through the DOE applied energy offices including: the Office of Energy Efficiency and Renewable Energy (<http://www.eere.energy.gov/>), the Office of Fossil Energy (<http://fossil.energy.gov/>), the Office of Nuclear Energy (<http://www.energy.gov/ne/office-nuclear-energy>), and the Office of Electricity Delivery and Energy Reliability (<http://energy.gov/oe/office-electricity-delivery-and-energy-reliability>).

## **B. SBIR/STTR PROGRAM OVERVIEW**

The Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs are Government-wide programs authorized under Section 9 of the Small Business Act (15 U.S.C. § 638). The objectives of the SBIR program are to (1) stimulate technological innovation in the private sector, (2) strengthen the role of Small Business Concerns in meeting Federal R&D needs, (3) increase private sector commercialization of innovations derived from Federal R&D activities, (4) foster and encourage participation by socially and economically

<sup>1</sup> OMB Circular A-11 ([https://www.whitehouse.gov/wp-content/uploads/2018/06/a11\\_web\\_toc.pdf](https://www.whitehouse.gov/wp-content/uploads/2018/06/a11_web_toc.pdf)), Section 84, pg. 3.

<sup>2</sup> OMB Circular A-11 ([https://www.whitehouse.gov/wp-content/uploads/2018/06/a11\\_web\\_toc.pdf](https://www.whitehouse.gov/wp-content/uploads/2018/06/a11_web_toc.pdf)), Section 84, pg. 3.

disadvantaged and women-owned Small Business Concerns, and (5) improve the return on investment from Federally funded research and economic benefits to the Nation. The objective of the STTR program is to stimulate cooperative partnerships of ideas and technologies between Small Business Concerns and partnering Research Institutions through Federally funded R&D activities.<sup>3</sup>

ARPA-E administers a joint SBIR/STTR program in accordance with the Small Business Act and the SBIR and STTR Policy Directive issued by the U.S. Small Business Administration (SBA).<sup>4</sup> ARPA-E provides SBIR/STTR funding in three phases (Phase I, Phase II, and Phase IIS).

## **C. PROGRAM OVERVIEW**

### **1. INTRODUCTION**

REMEDY (Reducing Emissions of Methane Every day of the Year) is a 3-year, \$35MM research program to reduce methane emissions from three sources in the oil, gas, and coal value chain. The goal is to reverse the rate of accumulation of methane in the atmosphere, decrease atmospheric methane concentration, and thus ameliorate climate change. The target sources are:

- Exhaust from natural gas-fired lean-burn engines, used to drive compressors, generate electricity, and increasingly, repower ships;
- Flares required for safe operation of oil and gas facilities; and
- Coal mine ventilation air methane (VAM) exhausted from operating underground mines.

These sources are responsible for at least 10% of US anthropogenic methane emissions.

The REMEDY program seeks highly replicable system-level technical solutions that achieve an overall methane conversion of 99.5%, reduce net greenhouse gas emissions > 87% on a life-cycle basis, have a levelized cost of carbon less than \$40/ton CO<sub>2</sub><sup>e</sup>, and address techno-economic issues related to commercialization. Systems must incorporate technologies that can operate at lean- and ultra-lean methane concentrations integrated with sensors and/or control algorithms to quantify emission reduction and ensure consistent operation. Stage 1 of the program will be used to screen concepts, and projects selected to continue in Stage 2 will confirm metrics in a limited field test or larger, extended-lab-scale test.

The REMEDY program addresses methane, a powerful greenhouse gas, and complements programs focused on CO<sub>2</sub> reduction. REMEDY metrics will facilitate comparison of methane

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<sup>3</sup> Research Institutions include FFRDCs, nonprofit educational institutions, and other nonprofit research organizations owned and operated exclusively for scientific purposes. Eligible Research Institutions must maintain a place of business in the United States, operate primarily in the United States, or make a significant contribution to the U.S. economy through the payment of taxes or use of American products, materials, or labor.

<sup>4</sup> See 84 Fed. Reg. 12794 (Apr. 2, 2019).

reduction processes with CO<sub>2</sub> reduction processes.<sup>5,6</sup> REMEDY augments and extends but will not duplicate existing initiatives focused on methane reduction, such as the Environmental Protection Agency (EPA) Natural Gas Star program and Coalbed Methane Outreach Program (CMOP), the DOE Fossil Energy Flare Reduction program, and the Oil and Gas Climate Initiative. Recovery or conversion to high-value products is allowed, provided techno-economic and environmental metrics are met.

## 2. SCOPE, SCHEDULE, AND BUDGET

ARPA-E's mission includes reducing energy-related emissions. The 2018 EPA Greenhouse Gas Inventory (GHGI) shows anthropogenic methane emissions of 634 MM ton CO<sub>2</sub><sup>e</sup> using a greenhouse gas warming potential (GWP) of 25. These methane emissions account for 10% of US anthropogenic greenhouse gas emissions.<sup>7</sup> REMEDY addresses three emission sources associated with the fossil energy value chain: exhaust from natural gas-fired lean-burn engines, flares required for safe operation of oil and gas equipment, and coal mine VAM exhaust, that collectively account for at least 60 MM ton CO<sub>2</sub><sup>e</sup>/yr.

The three sources share several common attributes:

- They are an inherent feature of the fossil energy value chain. Natural gas-fired lean-burn engines are used to drive compressors in the oil and gas upstream and midstream sectors; generate electricity at power and combined heat and power facilities; and provide propulsion for ships, ferries, and barges in the marine sector. Flares are required for safe operation of oil and gas facilities. VAM systems are required for safe operation of underground coal mines.
- These sources have a high potential to be addressed with replicate system-level solutions. There are ~50,000 natural gas-fired lean-burn engines, approximately 300,000 flares, and 239 active coal mines with VAM. A solution for one engine, flare, or mine can be readily translated across the entire cohort. REMEDY seeks system-level solutions that leverage replication of engineering, development of product line families, and economies of fabrication/numbers (i.e., making large numbers of similar devices) vs economies of scale (i.e., making larger size units) to drive down unit costs.
- They require technologies that operate in lean- and ultra-lean methane concentration ranges in order to achieve 99.5% methane conversion. The core methane reduction technologies and sensors associated with control algorithms and emission quantification

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<sup>5</sup> See, e.g.,

[https://netl.doe.gov/projects/files/CostandPerformanceofBituminousCoalandNGPlantswithCCSRev4\\_091020.pdf](https://netl.doe.gov/projects/files/CostandPerformanceofBituminousCoalandNGPlantswithCCSRev4_091020.pdf).

<sup>6</sup> Gillingham, K and Stock, J.H, "The Cost of Reducing Greenhouse Gas Emissions", J Economic Perspectives, Vol. 32 (4), p. 73-72, Fall 2018.

<sup>7</sup> Inventory of U.S. Greenhouse Gas Emissions Sinks: 1990-2018, EPA Report, April 2020,

<https://www.epa.gov/sites/production/files/2020-04/documents/us-ghg-inventory-2020-main-text.pdf>.

reduction need to operate at methane concentrations below 10,000 parts per million (ppm).

- There has been relatively little R&D investment in reducing methane emissions from these sources.

REMEDY submissions and teams will preferably include: a complete system, technologies that can operate at lean- and ultra-lean methane concentrations, integrated sensors and/or control algorithms to quantify emission reduction and ensure consistent operation, and team members with manufacturing and operations expertise. Commercialization of REMEDY technologies will require that components be integrated to create comprehensive service offerings by parties who are familiar with the respective requirements of their customers. Submissions that do not include a complete system will need to describe their plans for integrating their proposed methane abatement technology into comprehensive systems, through partnerships or other commercialization plans, in order to qualify for the second stage of the program. Teams that lack manufacturing or operations expertise will need to describe their plans to develop and refine capital and operating cost inputs during the execution of the project.

The program has two stages. Submissions need to discuss project plans and budgets for both stages. In Stage 1, performers will test their technology in a lab setting, confirm operation of instruments and control systems, establish that the system meets Stage 1 performance metrics, and address techno-economic issues. For Stage 1, the intent is to fund 10-14 teams for a 12-18 month period, with a budget of \$1-2MM per team.

At the conclusion of Stage 1, project teams interested in proceeding to Stage 2 will be required to submit the following to ARPA-E:

- Detailed Stage 2 system engineering specifications/design
- Updated Stage 2 scope/schedule/budget, including status of field test site selection and permitting (if required); and time to procure, build, and install the Stage 2 system.

Deliverables mentioned above will be assessed against the merit review criteria in Section V.A. of the FOA, in consideration of the following:

- Successful achievement of technical and commercialization milestones for Stage 1
- Compliance with all award terms and requirements
- Evidence that the teams are meeting performance metrics and addressing techno-economic issues discussed in Section I.C.5

Projects selected for Stage 2 will test and validate their integrated systems using a limited field test or similarly scaled larger, extended-scale laboratory test. ARPA-E assumes that there may

be additional tasks, such as modeling and further lab-based testing, that run in parallel with such testing. The system will be assessed against more stringent Stage 2 metrics, and teams are expected to address the techno-economic issues with more detailed analysis and/or experimental results. The intent is to fund 4-7 teams for a total duration of 36 months (the total of both stages), with an additional budget of \$2-3MM per team for Stage 2 (in addition to the respective team's Stage 1 budget).

The scope of the REMEDY program is intended to avoid duplication of current initiatives to reduce methane emissions across the fossil energy value chain. The oil and gas sector have voluntary partnerships such as the EPA's Natural Gas Star and Oil and Gas Climate Initiative. The focus of these programs includes leak detection, reducing fugitive emissions from valves and compressors, eliminating pneumatic vents, and developing best practices for operation and maintenance to reduce process upsets. DOE Fossil Energy has programs to reduce associated gas flaring that results when oil wells are put into production before gas infrastructure is available. Within the coal industry, the EPA's voluntary Coalbed Methane Outreach Program (CMOP) promotes methane recovery/utilization projects and VAM emission reduction using commercial technologies such as state-of-the-art Reversible Thermal Oxidizers (RTO). Submissions covering commercial technology, incremental improvements to existing processes, or duplicating the efforts of these programs are outside the scope of the REMEDY program.

### 3. IMPACT

The REMEDY program is intended to reduce US anthropogenic methane emissions by 10% in the near term. As noted above, methane is a powerful greenhouse gas. Although ARPA-E uses the EPA's 100-year GWP of 25 for methane, shorter term methane GWP is ~ 80.<sup>8</sup> Using the higher GWP, the REMEDY program targets emissions greater than 150 MM ton/yr CO<sub>2</sub><sup>e</sup>.

REMEDY addresses technically challenging methane emissions from the fossil energy (oil, gas, and coal) value chains (production, transmission, distribution, and use). Numerous studies show methane emissions from oil and gas operations may be underestimated during normal operations and as a result of normal and upset conditions.<sup>9,10,11,12</sup> For example, Figure 1, below, shows Alvarez, et al. estimations for oil and gas methane emissions compared to the GHGI.

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<sup>8</sup> P. Balcombe, *et al.*, "Methane Emissions: Choosing the Right Climate Metric and Time Horizon", *Environ. Sci.: Processes Impacts*, Vol. 20, p. 1323-1339, 2018.

<sup>9</sup> Alvarez, *et al.*, "Assessment of Methane Emissions from the U.S. Oil and Gas Supply Chain", *Science*, Vol. 361, p. 186-188, 2018.

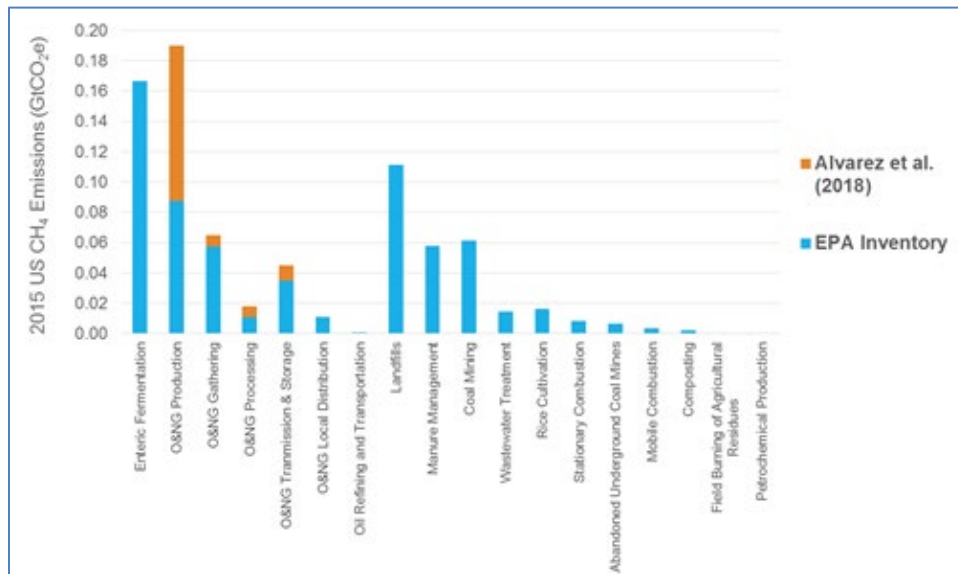
<sup>10</sup> Pandey, *et al.*, "Satellite Observations Reveal Extreme Methane Leakage from a Natural Gas Well Blowout", *Proceedings of the National Academy of Sciences*, Vol. 116(52), p. 26376-26381, 2019.

<sup>11</sup> Duren, *et al.*, "California's Methane Super-emitters", *Nature*, Vol. 575(7781), p. 180-184, 2019.

<sup>12</sup> Heath, *et al.*, <https://www.nrel.gov/docs/fy19osti/68478.pdf>.



Figure 1 Methane emissions by EPA(7) and Alvarez(9)



The coal value chain also releases methane. VAM emissions, which are not required to be treated, account for 70% of all coal mining methane emissions.<sup>13</sup>

Technologies supported under the REMEDY program should have replicable engineering and hardware design bases; that is, the goal of these technologies is that commercialization should not require bespoke solutions. Rapid commercialization is promoted by economies of fabrication/numbers drive down unit costs. These features will facilitate deployment and a near-term decrease in methane emissions. Consequently, commercialization of REMEDY systems can proceed quickly.

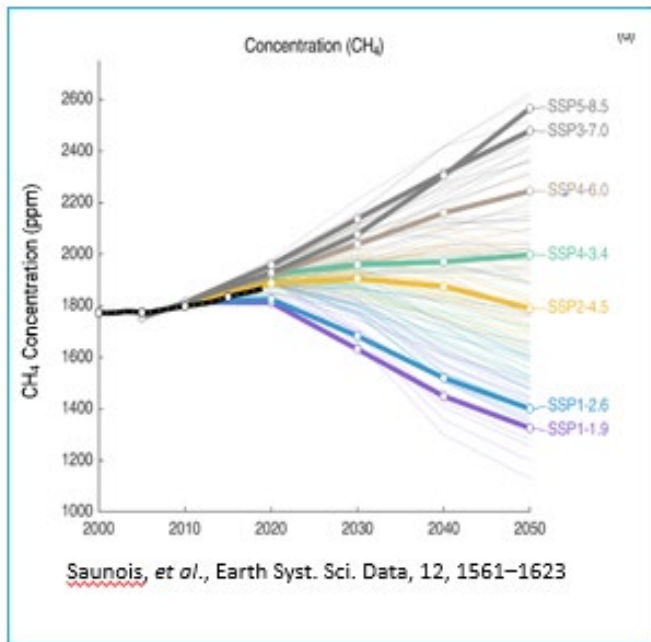
As discussed by Saunio et al., reducing methane emissions 10-20% can begin to reverse the concentration of methane in the atmosphere, as shown in Figure 2, below.<sup>14</sup> The Saunio paper quantifies natural sinks in the atmosphere and soil that remove the majority of methane emissions. Increases in anthropogenic sources since the start of the Industrial Age have resulted in net accumulation of methane in the atmosphere, increasing its concentration 260% to ~2 ppm. Saunio notes that due to natural sinks, stabilization or reduction in methane emissions can lead to a rapid decline in atmospheric methane concentration. Consequently, it

<sup>13</sup> CMOP Webinar - Ventilation Air Methane Projects in the United States: Barriers and Potential Opportunities, Feb 27, 2020, <https://www.epa.gov/cmop/ventilation-air-methane-vam-projects-united-states-barriers-and-potential-opportunities>.

<sup>14</sup> Saunio, et al., "The Global Methane Budget 2000-2017", Earth Syst. Sci. Data, Vol. 12, p. 1561–1623, 2020, <https://doi.org/10.5194/essd-12-1561-2020>.

is not necessary to eliminate all methane emissions to have an immediate impact on atmospheric methane concentration.

**Figure 1 Scenarios to Decrease Atmospheric Methane Concentration (14)**



#### 4. STATE OF THE ART FOR METHANE OXIDATION

One metric for REMEDY systems is 99.5% methane conversion. The state of the art conversion efficiencies across the three target sources vary. Natural gas-fired lean-burn engines “slip” 2-5% of the inlet fuel into the exhaust gas,<sup>15</sup> resulting in a state of the art conversion efficiency of 95-98%. Per the EPA’s AP-42 Compilation of Air Pollutant Emission Factors, flares meeting EPA design specifications are presumed to have 98% combustion efficiency.<sup>16</sup> VAM system are designed for mine safety; methane emissions are not required to be controlled; the state of the art VAM methane conversion is zero.

To achieve 99.5% methane conversion, REMEDY systems will need to react methane in lean- and ultra-lean conditions. Figure 3, below, shows methane concentration and flow rates for the three sources. The colors in Figure 3 are intended to reflect temperature: VAM at ambient temperature, engine exhaust 450-500 °C, and flare plume > 1000 °C. Methane emission concentrations fall below the lower flammability limit for all three sources. Meeting this 99.5% methane conversion metric will require extending oxidation or conversion reactions to lean- or ultra-lean conditions.

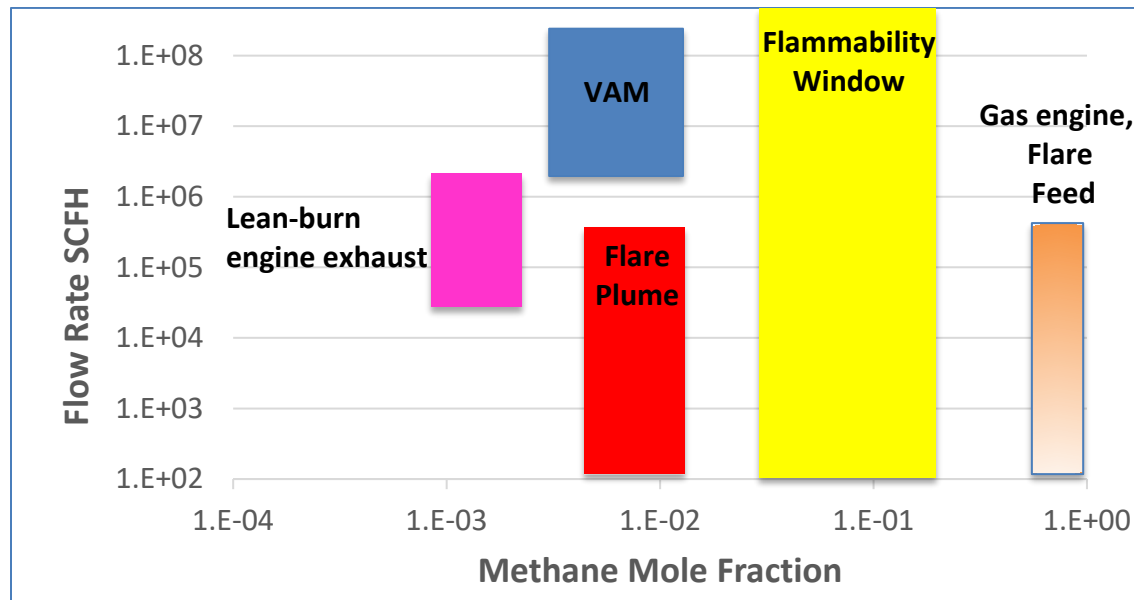
<sup>15</sup> Stenersen, et al., “GHG and NO<sub>x</sub> Emissions from Gas Fueled Engines”, Report from SINTEF Ocean AS, 2017.

<sup>16</sup> See <https://www3.epa.gov/ttnchie1/ap42/ch13/final/c13s05.pdf>.



Figure 3 also shows that gas flow rates can range over a wide range for each of the three sources, suggesting that multiple system designs may be required for each of the three sources.

Figure 2 Methane Concentration and Gas Flow Rate for Lean-burn Engines, Flares, and VAM



Air permits place limits on criteria pollutants<sup>17</sup>, but methane is specifically excluded from limits on volatile organic compounds (VOC) in Federal<sup>18</sup> and most state regulations, with the notable exception of California. Given the limited legal/regulatory emphasis on methane emissions, there has been little incentive to reduce methane emissions from the target sources, or to develop new technologies. In parallel, there have been relatively few related R&D programs. Consequently, there are no commercial technologies that guarantee 99.5% methane conversion for gas-fired lean-burn engines, flares, or VAM.

Technical approaches to oxidize methane in lean and ultra-lean conditions include catalysts, reactive additives, and increasing temperature, which can be used individually and in combination. In parallel there has been significant progress in the partial oxidation of methane under rich conditions to high-value products and the oxidation of VOCs under lean and ultra-lean conditions. These approaches and advances may inform options for REMEDY systems.

For example, VOC catalysts are deployed today on lean-burn engines. The catalysts typically use platinum group metals (PGM) such as Pd on Al<sub>2</sub>O<sub>3</sub>. VOC catalysts require operating temperatures greater than 550 °C to attain >70% methane oxidation. Lean-burn engine exhaust is cooler (450-500 °C) due to the high air/fuel ratio. To compensate for the lower

<sup>17</sup> See <https://www.epa.gov/stationary-engines/compliance-requirements-stationary-engines>.

<sup>18</sup> See, e.g., 40 CFR Part 51 Section 51.100.

temperature, the precious metal loading is increased to ~100-200 g Pd/ft<sup>3</sup>, increasing catalyst costs.<sup>19</sup> Despite the higher loading, methane oxidation is still limited to ~70% conversion at these lower temperatures. An alternative approach is increasing the exhaust temperature by thermal and electric means<sup>20</sup>, which incurs CAPEX and OPEX penalties.

PGM catalysts are sensitive to several poisons, including water, which is inherent in the exhaust gas.<sup>21</sup> Sulfur, for example, has a detrimental effect on methane oxidation conversion.<sup>22</sup> Catalysts can be thermally regenerated, for example, by varying the air/fuel ratio. However, thermal cycling can cause Pd sintering, affect the structural stability of the catalyst support, and increase the light-off temperature, lowering methane oxidation.<sup>22,23,24</sup>

Mixed oxide catalysts such as NiCo<sub>2</sub>O<sub>4</sub> are promising cost-effective catalyst candidates for methane oxidation in the temperature range of 350 – 550 °C.<sup>25</sup> An optimal mix of Co and Ni at 50% each promotes the highest activity among transition metals for methane oxidation.<sup>26</sup> A Co<sub>3</sub>O<sub>4</sub>/CeO<sub>2</sub> nanocomposite catalyst demonstrated high methane oxidation rates at 200-500 °C.<sup>27</sup>

The literature on partial methane oxidation may provide insights on catalysts for total methane oxidation. Significant progress has been reported in using metal-exchanged zeolites for methane oxidation into liquid fuels.<sup>28</sup> Pd/zeolite composites are being investigated to promote

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<sup>19</sup> Raj, A., "Methane Emission Control", Johnson-Matthey Technology Review, Vol. 60(4), p. 228-235, 2016.

<sup>20</sup> Liu, *et al.*, "Catalytic Combustion of Lean Methane Assisted by Electric Field over Pd/Co<sub>3</sub>O<sub>4</sub> Catalysts at Low Temperature", J. Shanghai Jiaotong Univ. (Sci.), Vol. 23, p. 8–17, 2018.

<sup>21</sup> Yoshifuru Nitta, Yudai Yamasaki, Evaluation of Effective Active Site on Pd Methane Oxidation. Catalyst in Exhaust Gas of Lean Burn Gas Engine, ICEF2019-7152, V001T04A003; 12 pages (2019)

<sup>22</sup> Lampert, *et al.*, "Palladium Catalyst Performance for Methane Emissions Abatement from Lean Burn Natural Gas Vehicles", Applied Catalysis B: Environmental 14, 211-223, 1997.

<sup>23</sup> Kinnunen, *et al.*, "Case Study of a Modern Lean Burn Methane Combustion Catalyst for Automotive Applications: What are the Deactivation and Degradation Mechanisms", Applied Catalysis B: Environmental 207, 114-119, 2017.

<sup>24</sup> Auvinen, *et al.*, "Development of a Rapid Ageing Technique for Modern Methane Catalysts in the Laboratory: Why does SO<sub>2</sub> Concentration Play an Essential Role", Applied Catalysis B: Environmental 258, 117976, 2019.

<sup>25</sup> Tao, *et al.*, "Understanding complete oxidation of methane on spinel oxides at a molecular level", Nature Communications 6, 7798, 2015.

<sup>26</sup> Tae Hwan Lim, *et al.*, "Effect of Co/Ni ratios in cobalt nickel mixed oxide catalysts on methane combustion", Applied Catalysis A: General, Vol. 505, p. 62-69, 2015.

<sup>27</sup> Dou, *et al.*, "Complete Oxidation of Methane on Co<sub>3</sub>O<sub>4</sub>/CeO<sub>2</sub> Nanocomposite: A Synergic Effect", Catalyst Today, Vol. 311, p. 48-55, Aug 1, 2018.

<sup>28</sup> Yua, *et al.*, "Conversion of Methane into Liquid Fuels – Bridging Thermal Catalysts with Electrocatalysis", Advanced Energy Materials, Vol. 10(40), p. 2002154, 2020.

methane oxidation as well.<sup>29</sup> Technological advancements in photocatalysis<sup>30</sup>, electro-catalysis<sup>31</sup> and plasma catalysis<sup>32</sup> also show promise for methane oxidation to CO<sub>2</sub>.

Additives, such as H<sub>2</sub><sup>33</sup> and ethane<sup>34</sup> enhance methane oxidation. Studies show that ozone (O<sub>3</sub>) promotes natural gas ignition in pre-mixed natural gas engines, reducing hydrocarbon and CO emissions at low engine load conditions.<sup>35</sup> However, ozone also has the potential to create trace amounts of oxygenated hazardous air pollutants (HAPs), increase NO<sub>x</sub>, or enter the atmosphere. Hydroxyl radicals (OH) are part of the reaction mechanism for tropospheric methane oxidation.<sup>36</sup> OH radicals may result in HAPs, CO and/or O<sub>3</sub> emissions.<sup>37</sup>

## 5. TECHNO-ECONOMIC ISSUES

The three target sources share several techno-economic issues, which must be addressed by all submissions. Impacts need to be quantified in the provided Life Cycle Analysis (LCA) and Levelized Cost of Carbon Abatement (LCCA) spreadsheets. The LCA and LCCA must be calculated over the life of the equipment.

- Historically, methane emission reduction was not a primary design objective for equipment used in these three sources. Gas-fired engines are sized for specific loads with expectations for fuel efficiency and reliability. Flares and VAM units are safety devices. Proposed REMEDY systems must identify and address impacts to other operating criteria, including equipment performance (capacity, output, efficiency, downtime), emissions other than methane, and safety. Impact on externalities, including water use, noise, view shed (e.g., flare luminosity) must also be addressed.
- System-level solutions share similar challenges for all three sources. The design of the core methane oxidation chemistry/process design may involve similar catalysts,

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<sup>29</sup> Losch, *et al.*, "Modular Pd/Zeolite Composites Demonstrating the Key Role of Support Hydrophobic/Hydrophilic Character in Methane Catalytic Combustion", ACS Catalysis, Vol. 9(6), p. 4742-4753, 2019.

<sup>30</sup> Yu, *et al.*, "Selective photocatalytic conversion of methane into carbon monoxide over zinc-hetero-polyacid-titania nanocomposites", Nature Communications, Vol. 10(700), 2019.

<sup>31</sup> Boyd, *et al.*, "Electro-Oxidation of Methane on Platinum under Ambient Conditions", ACS Catalysis, Vol. 9(8), p. 7578-7587, 2019.

<sup>32</sup> Zhou, *et al.*, "Light-driven methane dry reforming with single atomic site antenna-reactor plasmonic photocatalysts", Nature Energy, Vol. 5, p. 61-70, 2020.

<sup>33</sup> Soltic, *et al.*, "Efficiency and Raw Emissions Benefits from Hydrogen Addition to Methane in a Pre-chamber Equipped Engine", International Journal of Hydrogen Energy, Vol. 45, p. 23638-23652, 2020.

<sup>34</sup> Ahmad, *et al.*, "Impact of Ethane Enrichment on Diesel-Methane Dual-Fuel Combustion," SAE Technical Paper 2020-01-0305, 2020, <https://doi.org/10.4271/2020-01-0305>.

<sup>35</sup> Mohammadi, *et al.*, "Study on Combustion Control in Natural Gas PCCI Engines With Ozone Addition to Intake Gas", SAE Technical Paper 2006-01-0419, 2006.

<sup>36</sup> Rigby, *et al.*, "Role of atmospheric oxidation in recent methane growth", PNAS, Vol. 114(21), p. 5373-377, 2017.

<sup>37</sup> Tie, *et al.*, "Net yield of OH, CO and O<sub>3</sub> from the oxidation of atmospheric methane", Atmospheric Environment. Part A General Topics, Vol. 26(1), p. 125-136, 1992.

computational fluid dynamics and heat transfer, and materials issues. Control systems and required methane reduction quantification will require flow measurement (or a surrogate), possibly upstream feed gas analysis (species or overall calorific content) and downstream sensors for methane concentration. Minor or trace species could be an issue for all three sources, although possibly for different reasons.

- The sites are typically remote, resulting in high costs for utilities and operation and maintenance (O&M) costs. Due to remoteness, it is typically not economical to recover or monetize the methane. Systems that propose to monetize methane must address the economics for marketing their product(s), and demonstrate a market that would use at least 1 billion cubic feet methane/yr.
- Robust processes are required. Engine and VAM flow rates typically vary over a factor of two, and flare flow rates can vary by more than an order of magnitude. Gas composition, including methane concentration, can vary, often in an unpredictable manner. Trace components which impact operations and/or corrosion can vary with time and across sites. Downtime is expensive, due to high O&M costs and potential need to shut down equipment and lose operating revenue. Operating problems may also result in high methane emissions. Test programs need to demonstrate performance over the full range of flow rate and concentration, address trace species, and show the process can load follow and be compatible with upstream equipment.
- System performance may change over time, due to a variety of causes (e.g., catalyst deactivation, corrosion/material fatigue, instrument calibration, etc.). Test programs need to discuss how equipment maintenance intervals and service life will be determined, and how changes in performance with time will be quantified.

The following sections summarize specific techno-economic issues that must be addressed for submissions targeting specific sources.

## 5.A. LEAN-BURN ENGINE TECHNO-ECONOMIC ISSUES

Natural gas-fired engines are found across the oil and gas value chain. Reciprocating internal combustion engines (RICE) are the dominant engine type. There are more than 60,000 RICE units in the upstream/midstream oil and gas sector,<sup>38</sup> where they are used to drive compressors, pumps, and other hardware. The 2014 GHGI includes 52,000 compressor drives in the upstream sector.<sup>39</sup> There are another 6000 engines of various configurations used by interstate pipelines.<sup>40</sup> Natural gas-fired engines are also used to generate electricity. EIA's

<sup>38</sup> Technical communications with a high horse-power original equipment manufacturer.

<sup>39</sup> EPA Office of Air Quality Planning and Standards (OAQPS), "Oil and Natural Gas Sector Compressors", April 2014, <http://www.ourenergypolicy.org/wp-content/uploads/2014/04/epa-compressors.pdf>.

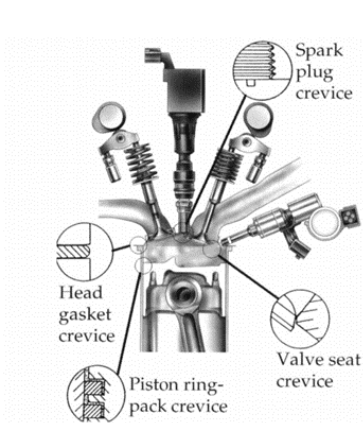
<sup>40</sup> Hohn, K. et al., Final Report: Cost-Effective Reciprocating Engine Emissions Control and Monitoring for E&P Field and Gathering Engines, 2011 <https://www.osti.gov/servlets/purl/1032856>.

2019 inventory includes ~1100 RICE units which generated 5.2 GW of electricity.<sup>41</sup> EPA identifies 2000 RICE units with 2.3 GW capacity used in combined heat and power (CHP) facilities.<sup>42</sup>

RICE units can be classified as rich-burn (stoichiometric) or lean-burn (diesel or spark-ignited natural gas). REMEDY is focused on natural gas-fired lean-burn engines. The majority of RICE units used in oil and gas upstream/midstream, electric generation, and CHP are natural gas-fired lean-burn engines. Liquefied natural gas (LNG) powered marine vessels are a rapidly emerging market for very large lean-burn engines. There are approximately 500 marine vessels that use lean-burn engines.<sup>43</sup>

As noted above, methane emissions, also called methane slip, from lean-burn natural gas engines ranges from 2-5% of the inlet fuel volume.<sup>15</sup> Although there are large number of engine models, all lean burn engines share common features that result in very similar composition of exhaust gas. In lean-burn engines methane slip results from gas by-passing the combustion zone. As shown in Figure 3, below, the air/fuel mixture entering the engine can pass through crevice volumes located within the cylinder components of the engine. Examples include the area between cylinder head and piston liner, between piston top land and cylinder liner and behind the anti-polishing ring.<sup>44</sup> Unburned hydrocarbon emissions from the piston top land and the cylinder liner are reported to be significant among the three sources of methane slip from the engine cylinders.

Figure 4 Lean Burn Engine Crevices<sup>44</sup>



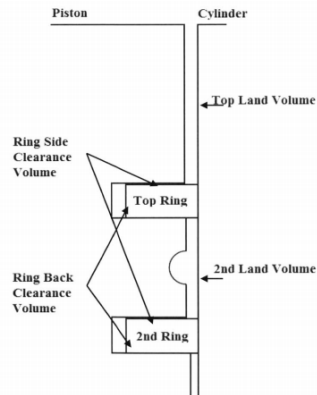
Different Engine Crevices in a Spark Ignited Engine

<sup>41</sup> See <https://www.eia.gov/outlooks/steo/data/browser>.

<sup>42</sup> See [https://www.epa.gov/sites/production/files/2015-07/documents/catalog\\_of\\_chp\\_technologies\\_section\\_2\\_technology\\_characterization\\_-\\_reciprocating\\_internal\\_combustion\\_engines.pdf](https://www.epa.gov/sites/production/files/2015-07/documents/catalog_of_chp_technologies_section_2_technology_characterization_-_reciprocating_internal_combustion_engines.pdf).

<sup>43</sup> ICCT Working Paper, "The climate implications of using LNG as a marine fuel", January 2020, [https://theicct.org/sites/default/files/publications/Climate\\_implications\\_LNG\\_marinefuel\\_01282020.pdf](https://theicct.org/sites/default/files/publications/Climate_implications_LNG_marinefuel_01282020.pdf).

<sup>44</sup> Smith, P., "Crevice volume effect on spark ignition efficiency", Master's Thesis, MIT, 2013.



**Piston-Ring Pack Crevices**

Methane slip from lean-burn engines is likely underestimated in the GHGI. The Greenhouse Gas Reporting Program (GHGRP) requires GHG emission reporting for oil and gas facilities that emit >25,000 ton CO<sub>2</sub>/yr.<sup>45</sup> Facilities would need to include multiple engines and/or other CO<sub>2</sub> source to meet this reporting threshold. In addition, emission factors for lean-burn engines may underestimate methane slip. Based on the number of lean-burn engines in the oil and gas, electric generation, and CHP sectors, and assuming 2% methane slip, methane emissions from such engines are likely greater than 15 MM ton CO<sub>2</sub><sup>e</sup>/yr.

The marine sector could become a large source of methane emissions, as fleets convert from bunker fuel to LNG. LNG reduces sulfur, black carbon, and CO<sub>2</sub> emissions; however, methane slip is an emerging concern.<sup>46</sup> The ~500 marine lean-burn engines in service today have the potential to emit an estimated 5.4 MM ton CO<sub>2</sub><sup>e</sup>/yr. Methane emissions are estimated to increase to 17 MM ton by 2030 as additional LNG-powered vessels enter into service. **Error! Bookmark not defined.** The marine industry anticipates converting one third of the fleet to LNG with lean-burn engines,<sup>47</sup> which could result in more than 60 MM ton CO<sub>2</sub><sup>e</sup>/yr methane emissions.

There are several issues for systems addressing methane emissions from lean-burn engines:

- One approach is to replace all lean-burn engines with technologies that do not emit methane, such as electric drives, rich-burn engines, etc. While technically feasible, the cost would be very high, and the time to replace all the engines could be decades. REMEDY is seeking alternatives to engine replacement that would have significantly lower cost and faster implementation.
- A second approach is reducing or eliminating crevice volumes. Coincident with reducing methane slip, engineering designs suggest reducing the crevice volumes in piston top

<sup>45</sup> Greenhouse Gas Reporting Program, <https://www.epa.gov/ghgreporting>

<sup>46</sup> Fourth IMO GHG Study 2020 – Final report, MEPC 75/7/15, <https://www.imo.org/en/MediaCentre/HotTopics/Pages/Reducing-greenhouse-gas-emissions-from-ships.aspx>.

<sup>47</sup> DNV-GL Maritime Forecast to 2050, <https://eto.dnvgl.com/2018/maritime>.



land could increase efficiency 2.3-3.5% per 1000 m<sup>3</sup> of displacement within the cylinder.<sup>44</sup> This option may be interesting for new engines. However, it would not likely impact methane emissions for many years since the existing fleet of lean-burn engines has a long service life, in many cases exceeding 50 years.<sup>48</sup> Submissions for retrofitting engines to reduce crevice volume need to demonstrate a market of at least 5000 amenable engines and address timing for retrofits to be implemented.

- Engines are typically at remote sites. Utilities (electricity, water) may be limited, and requiring these inputs must include and justify their costs. Delivering consumables (i.e., reagents) could be expensive. Technologies that require consumables (for analogy, diesel exhaust fluid required for Selective Catalytic Reduction (SCR) units) need to include the delivered cost of the consumables as well as cost for storage and environmental/permitting issues. O&M labor costs will typically exceed \$200/hr. Maintenance intervals for the proposed system must be specified, particularly maintenance intervals that differ from standard maintenance requirements for lean-burn engines.
- Submissions must address the impact of engine load cycles, which can result in start/stop heating cooling cycles, and variable operating rates which change inlet and exhaust flow rates, composition, and temperature.
- Submissions must address potential poisons/trace species that could impact catalyst and/or corrosion. The trace species could be part of the fuel gas (i.e., H<sub>2</sub>S, heavy hydrocarbons), exhaust stream (H<sub>2</sub>O, NO<sub>x</sub>, SO<sub>x</sub>, particulates), or originate from the engine oil (P, Zn).

## 5.B. FLARE TECHNO-ECONOMIC ISSUES

Flares are used throughout the oil and gas upstream and midstream sectors. Although the number of flares is unknown, an extrapolation can be made based on the 100,000 flares in Texas, per a report by DOE Fossil Energy.<sup>49</sup> Texas produces 41% of US oil<sup>50</sup> and has 30% of US oil and gas wells.<sup>51</sup> Extrapolation suggests the existence of 250,000-500,000 flares in the US. The National Energy Technology Lab gas flaring report documents 78,000 flares in the Permian (Texas), Bakken (North Dakota) and Eagleford (Texas) basins.<sup>52</sup> Figure 5, below, shows that the distribution of flare sizes follows a rough power-law distribution, with a large number of smaller

<sup>48</sup> S. Clowney, Compressor and Pump Station Research, DOT/PRCI Pipeline R&D Forum, December 11-12, 2003 Washington, DC.

<sup>49</sup> Natural Gas Flaring and Venting: State and Federal Regulatory Overview, Trends, and Impacts, June 2019.

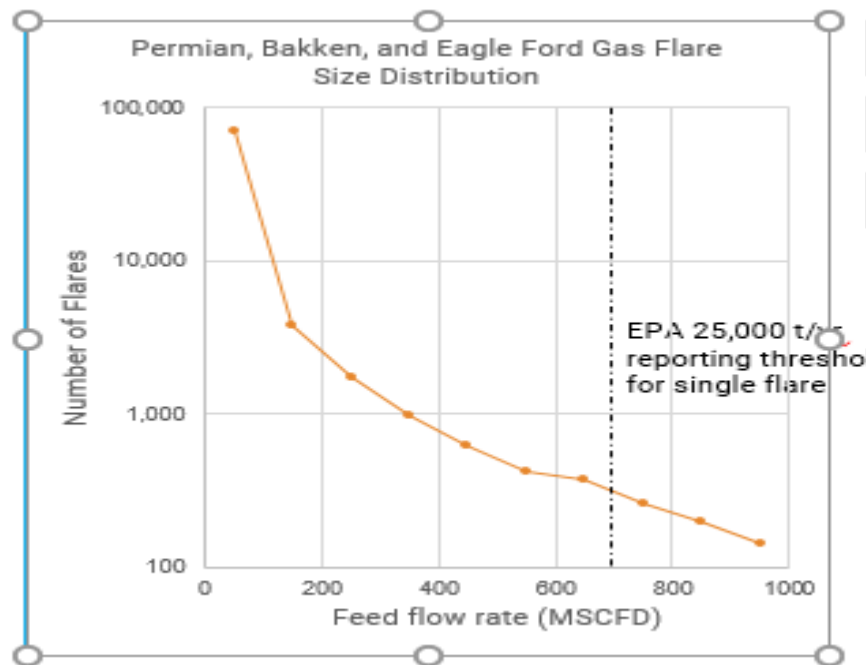
<sup>50</sup> <https://www.eia.gov/energyexplained/oil-and-petroleum-products/where-our-oil-comes-from.php>.

<sup>51</sup> The Distribution of U.S. Oil and Natural Gas Wells by Production Rate, December 2020, [https://www.eia.gov/petroleum/wells/pdf/full\\_report.pdf](https://www.eia.gov/petroleum/wells/pdf/full_report.pdf).

<sup>52</sup> Flaring Fact Sheets by Basins in US, National Energy Technology Laboratory (NETL), 2020.

flares and fewer large flares. It also shows that more than 90% of flares are below the GHGRP threshold of 25,000 ton/yr CO<sub>2</sub>, which may partially account for the lack of data on the number of flares.<sup>45</sup>

Figure 5 Flares in the Permian (TX), Bakken (ND) and Eagle Ford (TX) Basins<sup>52</sup>



There is considerable debate regarding methane emissions from flares. As noted above, flares that meet EPA design specifications are presumed to achieve 98% combustion efficiency. Using the data from the NETL and DOE reports, and assuming 98% combustion efficiency, 2018 calculated methane emissions for the three regions was 8 MM ton CO<sub>2</sub><sup>e</sup>. The smaller flares account for the majority of flared gas volume: 27% of total flared gas from the smallest flares, more than 50% from flares < 300,000 SCFD, and less than 5% from the largest flares. As noted above, the combustion efficiency for smaller flares is more sensitive to operating conditions. Consequently, and perhaps counterintuitively, improved design for smaller flares has the highest potential for reducing methane emissions.

Extrapolating methane emissions from the three regions across all US associated gas fields is difficult, but a conservative estimate is an additional 5-10 MM ton CO<sub>2</sub><sup>e</sup>/yr based on the total volumes of associated gas produced, and adjusting for the higher rates of flaring in the three regions. However, several factors support that contention that flare methane emissions may be larger than 13-18 MM ton/yr CO<sub>2</sub><sup>e</sup> calculated assuming 98% combustion efficiency.

The presumed 98% efficiency may not apply to methane in flares used in the oil and gas sectors. EPA regulations require flares be qualified using a propylene/propane mixture under



the assumption that propylene is more difficult to combust than methane.<sup>53</sup> Propylene is not present in oil and gas feeds to flares, and the ignition temperature for propylene is 120 °C lower than methane. The database used to define the EPA allowable operating parameters for flares has limited data for methane.<sup>54</sup>

Currently oil and gas flares are exempted from field testing/verification. Consequently, the actual methane emission rates for flares have a high degree of uncertainty. Several studies indicate that actual emissions are higher than expected when assuming 98% combustion efficiency. The Fossil Energy report discusses under-reporting for very large flares based on satellite data.<sup>45</sup> Smaller flares, which account for a relatively large fraction of total flared gas volume, are known to be more susceptible to wind and gas composition.<sup>55</sup> While a 2014 aerial survey of 11 flares showed very high combustion efficiencies,<sup>56</sup> more recent aerial surveys covering a larger number of facilities with better instruments have observed flares operating below 98% combustion efficiency, and in some cases flares not lit and venting.<sup>57,58</sup>

New flare designs, including enclosed ground flares and high-pressure multi-point ground flares, which operate outside the prior EPA design window, have been reviewed by the EPA.<sup>59,60</sup> EPA issued approval for these as an Alternative Means of Emission Limitation at specific sites. These recent advances suggest that new operating windows may be available for alternative flare designs.

There are several issues for systems addressing methane emissions from flares:

- Advances in indirect flare emission measurements, including LiDAR, multi-spectral IR, pFTIR and DIAL, have the potential to measure flare plume emissions more accurately than previous analytical techniques that required directly sampling the flare plume. Applicants need to discuss the precision and accuracy of methods they will consider for establishing flare combustion efficiency in Stage 1 and Stage 2.
- Flares need to meet combustion efficiency and “no smoke” criteria. In some cases these two objectives are incompatible. For example, over-steaming or over-airing eliminates

<sup>53</sup> See [https://www.epa.gov/sites/production/files/2020-11/documents/report\\_ef\\_ong\\_2018.pdf](https://www.epa.gov/sites/production/files/2020-11/documents/report_ef_ong_2018.pdf).

<sup>54</sup> Evans, S., “It’s Time to Re-Think Flare Velocity Limits”, WPCA News, Fall 2018.

<sup>55</sup> Matthew Johnson, “Flare Efficiency & Emissions: Past & current research”, Carleton Univ., Dec. 2008, [https://www.globalmethane.org/documents/events\\_oilgas\\_20081203\\_oilgas-5Dec08\\_johnson.pdf](https://www.globalmethane.org/documents/events_oilgas_20081203_oilgas-5Dec08_johnson.pdf).

<sup>56</sup> Caulton, *et al.*, “Methane Destruction Efficiency of Natural Gas Flares Associated with Shale Formation Wells”, *Environ. Sci. Technol.*, Vol. 48, p. 9548–9554, 2014, [dx.doi.org/10.1021/es500511w](https://doi.org/10.1021/es500511w).

<sup>57</sup> Gvakharia, *et al.*, “Methane, Black Carbon, and Ethane Emissions from Natural Gas Flares in the Bakken Shale, North Dakota”, *Environmental Science and Technology*, Vol. 51, p. 5317–5325, 2017, [doi.org/10.1021/acs.est.6b05183](https://doi.org/10.1021/acs.est.6b05183).

<sup>58</sup> See <https://www.daily-times.com/story/money/industries/oil-gas/2020/12/21/new-mexico-permian-san-juan-basins-methane-leaks-increase/3997573001/>.

<sup>59</sup> See AP 42 Chapter 13.5 Industrial Flares, 2-18, [https://www.epa.gov/sites/production/files/2020-10/documents/13.5\\_industrial\\_flares.pdf](https://www.epa.gov/sites/production/files/2020-10/documents/13.5_industrial_flares.pdf).

<sup>60</sup> See [https://www.epa.gov/sites/production/files/2020-11/documents/report\\_ef\\_ong\\_2018.pdf](https://www.epa.gov/sites/production/files/2020-11/documents/report_ef_ong_2018.pdf).

smoke but can decrease combustion efficiency. Proposed systems must show they can meet both criteria.

- Most flares are small, and costs for measurement and control hardware could be prohibitive. Applicants must describe approaches for qualifying designs or family of designs for small flares that provide assurance that performance targets will be achieved under the full range of field conditions if instruments are not economical, for example using designs based on computational fluid dynamics and/or control algorithms that are confirmed with field tests.

### 5.C. VENTILATED AIR METHANE (VAM) TECHNO-ECONOMIC ISSUES

VAM systems are designed for mine safety. VAM methane emissions are recognized, but not required to be controlled, despite the fact that ventilation air methane is the largest source of methane emissions from coal mines.<sup>61,62</sup> Methane concentration in the mine needs to be maintained below the lower explosive limit (~4%), and typically range from 0.2-2%. The CMOP 2010 report provides details on VAM concentrations and flow rates for mines by Mine Safety and Health Administration (MSHA) district.<sup>63</sup> The 2018 EPA GHGI has net methane emission from VAM at 39 MM ton CO<sub>2</sub><sup>e</sup>.<sup>7</sup>

There are few commercial options for VAM gas. In some US mines, conventional coal bed methane wells recover methane ahead of the mining operations, preventing emissions by capturing 19 MM ton CO<sub>2</sub><sup>e</sup> methane in 2018.<sup>64</sup> The only commercial technology deployed in the US is Regenerative Thermal Oxidation (RTO), which can achieve 97% methane conversion during normal operations.<sup>65</sup> The Department of Energy funded an RTO study and pilot plant from 2002-2009.<sup>66</sup> There were multiple projects planned in the 2010 timeframe in anticipation of enactment of a carbon trading requirement in the United States.<sup>67</sup> Globally, at least six RTO commercial projects were reported to have run by 2019.<sup>68</sup> Unfortunately, the US and global

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<sup>61</sup> Carothers, F. P. & Deo, M., "Technical and economic assessment: Mitigation of methane emissions from coal mine ventilation air," Washington, DC: EPA, 2000.

<sup>62</sup> Somers, J.M. & H.L. Schultz, Thermal oxidation of coal mine ventilation air methane, U.S./North American Mine Ventilation Symposium, Reno, NV, 2008, [https://swap.stanford.edu/20130415225046/http://www.epa.gov/cmop/docs/2008\\_mine\\_vent\\_symp.pdf](https://swap.stanford.edu/20130415225046/http://www.epa.gov/cmop/docs/2008_mine_vent_symp.pdf).

<sup>63</sup> U.S. Underground Coal Mine Ventilation Air Methane Exhaust Characterization, July 2010 [https://www.fs.usda.gov/nfs/11558/www/nepa/68608\\_FSPLT2\\_126053.pdf](https://www.fs.usda.gov/nfs/11558/www/nepa/68608_FSPLT2_126053.pdf).

<sup>64</sup> EPA Green House Gas Inventory, 2018.

<sup>65</sup> D. Kay, Vamox®RTO Technology, CMOP Program Webinar Feb 27, 2020.

<sup>66</sup> Capture and Use of Coal Mine Ventilation Air Methane, Final Report of Work Performed October 1, 2002 through October 31, 2008. [https://www.fs.usda.gov/nfs/11558/www/nepa/68608\\_FSPLT2\\_126051.pdf](https://www.fs.usda.gov/nfs/11558/www/nepa/68608_FSPLT2_126051.pdf)

<sup>67</sup> J.M. Somers and H.L. Schultz, Coal mine ventilation air emissions: project development planning and mitigation technologies, 13th United States/North American Mine Ventilation Symposium, 2010 – Hardcastle & McKinnon (Eds.)

<sup>68</sup> Ventilation Air Methane (VAM) Utilization Technologies, U.S. EPA Report, July 2019, [https://www.epa.gov/sites/production/files/2017-01/documents/vam\\_technologies-1-2017.pdf.pdf](https://www.epa.gov/sites/production/files/2017-01/documents/vam_technologies-1-2017.pdf.pdf).

markets for these technologies have not matured. As of 2020 there is only one operating RTO project in the US, and two others outside the US.<sup>68</sup>

Karacan, *et al.*,<sup>69</sup> and the EPA<sup>61</sup> reviewed the state of the art. Several concepts have been discussed, including using novel reactors.<sup>70,71,72</sup> and incorporating catalysts in RTO to make a Regenerative Catalytic Oxidizer (RCO)<sup>73,74</sup> or a Catalytic Recuperative Oxidizer (CRO),<sup>75</sup> which are used commercially for VOC reduction.

Recent advances in other fields may be applicable to VAM systems. The state of the art discussion above outlined several catalysts and reactive additives that can enhance reactions under lean- and ultra-lean conditions, reduce methane oxidation temperatures below 1000 °C required for RTOs and 600-800 °C required for RCO/CROs, and may reduce H<sub>2</sub>O inhibition.

Interest in medium- and high-temperature thermal storage has led to development of new phase-change metals and metallic compounds with significantly higher heat capacities and thermal conductivity than ceramics used in RTO/RCO.<sup>76,77</sup> These materials could increase the system's thermal inertia and thermal conductivity, create more uniform temperature distributions, reduce cycle times, and increase tolerance to variable gas flow rates and methane concentration. There are also new thermal storage design concepts and computational models that could be used for advanced control algorithms.<sup>78,79,80</sup>

There are several issues for systems addressing methane emissions from VAM:

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<sup>69</sup> C.O. Karacan, *et al.*, "Coal mine methane: a review of capture and utilization practices with benefits to mining safety and to greenhouse gas reduction", *Int. J Coal Geology*, Vol. 86, p. 121-156, 2011.

<sup>70</sup> Fernandez, J., *et al.*, "Combustion of coal mine ventilation air methane in a regenerative combustor with integrated adsorption: Reactor design and optimization," *Applied Therm. Eng.*, Vol. 102, p. 167-175, 2016.

<sup>71</sup> Fu-xun, Z., "Catalytic deoxygenating characteristics of oxygen-bearing coal mine methane in the fluidized bed reactor," *J Fuel Chem Technol*, Vol. 4, p. 523-529, 2013.

<sup>72</sup> Lan, B. and Li, Y., "Numerical study on thermal oxidation of lean coal mine methane in a thermal flow-reversal reactor," *Chem. Eng. J.*, Vol. 351, p. 922-929, 2018.

<sup>73</sup> Marin, P., *et al.*, "Control of Regenerative catalytic oxidizers Used in Coal Mine Ventilation Air Methane Exploitation," *Process Safety and Environ Protection*, Vol. 134, p. 333-342, 2020.

<sup>74</sup> Coal Mine Methane Developments in the US, EPA, February 2019.

[https://www.epa.gov/sites/production/files/2016-03/documents/cmm\\_developments\\_in\\_the\\_us\\_2013.pdf](https://www.epa.gov/sites/production/files/2016-03/documents/cmm_developments_in_the_us_2013.pdf).

<sup>75</sup> P Hinde, *et al.*, "COMET® - A New VAM Abatement Technology", *Johnson Matthey Technol. Rev.*, Vol. 60(3), p. 211-221, 2016.

<sup>76</sup> Y. Zhao, *et al.*, "Medium- and high-temperature latent and thermochemical heat storage using metals and metallic compounds as heat storage media; a technical review", *Applied Energy*, Vol. 280, p. 115950, 2020.

<sup>77</sup> Sharar, D., *et al.*, "High-capacity high-power thermal energy storage using solid-solid martensitic transformations," *Appl. Therm. Eng.*, Vol. 187, p. 116490, 2021.

<sup>78</sup> M. Johnson, *et al.*, "Design of high temperature thermal energy storage for high power levels", *Sustainable Cities and Society*, Vol. 35, p. 758-763, Nov. 2017.

<sup>79</sup> G. Zanganeh, *et al.*, "Design of packed bed thermal energy storage systems for high-temperature industrial process heat", *Applied Energy*, Vol. 137, p. 812-822, January 1, 2015.

<sup>80</sup> L. Amiri, *et al.*, "Numerical evaluation of the transient performance of rock-pile seasonal thermal energy storage systems coupled with exhaust heat recovery, *Appl. Sci.*, Vol. 10, p. 7771, 2020, doi:10.3390/app10217771.

- VAM methane concentrations can fluctuate from 0.2% to 1.5% due to short term fluctuations and long-term changes in mining operation. Applicants need to discuss how their technology addresses the wide range of inlet concentrations.
- VAM systems are regulated by MSHA, which will also need to approve methane reduction systems. The approval process requires careful consideration of safety impacts. Proposed systems must discuss safety issues and mitigation strategies.
- VAM systems are inherently large. Applicants must address what scale of testing is required to address critical issues for system design, and how modeling results will be verified experimentally.

#### **D. PROGRAM OBJECTIVES**

The goal of the REMEDY program is to support the development of technologies that will reduce methane emissions from the three targeted sources. REMEDY seeks highly replicable system-level solutions that meet the performance metrics described in Section I.F. and address the techno-economic issues described above. Systems must integrate methane reduction technologies with sensors and/or control algorithms to quantify emission reduction and ensure consistent operation. Solutions must demonstrate ability to replicate engineering, develop product line families, and achieve low costs through economies of fabrication/numbers (i.e., making large numbers of similar devices) versus economies of scale (i.e., making larger size units).

Stage 2 testing is intended to de-risk the proposed systems such that the private sector or other government agencies would be willing to fund the next stages of commercialization.

Successful REMEDY systems will likely require diverse skill sets, and may benefit from adopting technologies developed for other applications. ARPA-E seeks to bring diverse communities of expertise together. REMEDY encourages teams with broad competencies, including:

- Methane reduction technology(ies) that operate in lean- and ultra-lean conditions, incorporating computational fluid dynamics, heat/mass transfer, and kinetics; hardware design; and design of experiments;
- Instrument and control systems, including methane sensors, measurement of feed and exhaust gas components/ poisons, control logic/digital twins;
- Systems Engineering, ideally with an identified commercialization party to do system integration/packaging;
- Sector domain expertise (engine, flare, VAM) to support market analysis and customer outreach; and

- Customer/operator expertise, to validate inputs to the LCCA spreadsheet.

The REMEDY program will accept submissions that do not include a complete system, provided Applicants can explain how their methane abatement approach will meet the technical criteria and the key integration issues for the system aspects that are not part of their submission. These Applicants will also need to describe their plans for integrating their products into a system that could be tested in Stage 2, how their approach will ultimately be commercialized, and submit a Stage 2 budget that incorporates system-level testing. ARPA-E strongly encourages diverse teams with complementary skills. Teams that lack manufacturing or operations expertise will need to discuss how they will develop capital and operating cost inputs for Stage 1 and refine these costs inputs in Stage 2. All Applicants need to provide details for the Tech-to-Market scope and schedule, outlining intellectual property sale/licensing, partnering, and/or other commercialization plans.

#### **E. TECHNICAL CATEGORIES OF INTEREST**

The critical factors for proposed REMEDY systems include such systems' ability to meet performance metrics, address techno-economic issues, and achieve scale. Example approaches include, but are not limited to:

- Natural gas-fired lean-burn engines: catalytic reactors treating exhaust gas; and additives to enhance methane combustion reaction rates, which preferably can be produced on-site;
- Flares: novel open or enclosed combustor designs, likely outside the EPA proscribed operating parameters; and additives or catalysts to ensure high combustion efficiency; and
- VAM: systems incorporating novel materials with enhanced properties (high thermal capacity and/or thermal conductivity) and/or catalysts.

ARPA-E anticipates Applicants will consider how novel thermal integration concepts, emerging manufacturing techniques, advanced control algorithms, and emerging methane sensors can enhance the performance of their systems.

Oxidation of methane to CO<sub>2</sub> is sufficient. REMEDY metrics incorporate the value proposition for processes that propose to monetize methane by capturing it for use or converting it to higher-value products. However, REMEDY does not prioritize monetization of methane over oxidation. As noted previously, submissions based on monetizing methane must demonstrate an amenable market, addressing impact of site locations/remoteness, volume of saleable product(s), and net revenue after delivering product(s) to market.

## **F. TECHNICAL PERFORMANCE REQUIREMENTS**

Proposed systems must meet the performance metrics and address the techno-economic issues identified in Section I.C.5.

### **7.1 Performance Metrics**

The Stage 1 and Stage 2 performance metrics are:

#### **Stage 1 (Lab demonstration)**

- Economics (per LCCA spreadsheet)
  - \$40-50/ton CO<sub>2</sub><sup>e</sup> levelized cost of carbon
- Environmental (per LCA spreadsheet)
  - 98-99.5% methane conversion efficiency
  - 85-87% Life Cycle Analysis (LCA) CO<sub>2</sub><sup>e</sup> reduction
  - No adverse environmental impacts

#### **Stage 2 (Systems-level solution in field/emulated-field setup)**

- Economics (per LCCA spreadsheet)
  - \$40/ton CO<sub>2</sub><sup>e</sup> levelized cost
- Environmental (per LCA spreadsheet)
  - 99.5% methane conversion efficiency
  - 87% LCA CO<sub>2</sub><sup>e</sup> reduction
  - No adverse environmental impacts

The performance metrics are quantified in the attached spreadsheet. Note that the attached spreadsheets GHG calculations currently include only carbon dioxide and methane. More detailed calculations for all incremental GHG emissions will be required during program execution. For purposes of calculating GHG emissions in a submission to this FOA, the GWPs for CH<sub>4</sub>, CO, and N<sub>2</sub>O are assumed to be 25, 3, and 298, respectively.

Applicants are expected to provide best estimates and justify their inputs in the application process. ARPA-E recognizes that initial inputs to the LCA and LCCA spreadsheets may have large ranges due to lack of data, need for improved experimental techniques, missing information, etc. Consequently, the target values for Stage 1 allow for a larger range. Awardees will be required to update the spreadsheets as they progress through Stage 1. The expectation is the continued refinement of cost and performance data, with decreasing error bands for all input parameters.



Processes are expected to meet all applicable permitting requirements, e.g., New Source Performance Standards (NSPS); National Pollutant Discharge Elimination System (NPDES); noise; light; etc.). Applicants must identify other potential environmental impacts and approaches to mitigate them.

Applicants must discuss how the proposed test programs will provide the data to support the inputs to the spreadsheets. The experimental program must address baseline conditions and an appropriate range of operating conditions/system parameters. It should quantify factors that may cause performance declines or equipment downtime.

ARPA-E recognizes that on-stream time for methane abatement technologies is critical. Applicants must address operating plans if methane control equipment is not operating. Ideally the maintenance schedule and on-stream time for the methane abatement technology will coincide with that for the upstream processes. If the methane control equipment requires maintenance when upstream equipment is operating, Applicants must specify if the upstream equipment will be shut down or continue to operate with uncontrolled methane emissions. If the upstream equipment will continue to operate, the uncontrolled methane emissions must be quantified in the LCA. If the upstream equipment will be shut down, the lost revenue must be quantified in the LCCA.

The base case conditions and ranges for operating parameters for engines, flares, and VAM units are listed in the following Tables:

Table 1 Natural Gas-fired Lean-Burn Engine Baseline Parameters

Parameter	Baseline Value	Comments/ Variable range
Rated Output	1000 bkW	50% - 100% of rated load
Rated Speed	1400 RPM	50% - 100% of rated speed
Exhaust gas flowrate	260 m <sup>3</sup> /min	Full load
Exhaust gas temperature	530C	Full load
Fuel consumption	10.3 MJ/bkW-hr	fuel @38 MJ/m <sup>3</sup>
Methane concentration	87%	
Methane Number	80	70-100
Sulfur	%	TBD
Relative Humidity	30%	
On-stream availability	85%	
CH <sub>4</sub>	4.2 g/bkW-hr	Assume 2.5% methane slip 50-100% rated load
NO <sub>x</sub>	0.7 g/bkW-hr	Assume constant over 50-100% rated load
CO	3.3 g/bkW-hr	Assume constant over 50-100% rated load
VOC	0.6 g/bkW-hr	Assume constant over 50-100% rated load
Baseline GHG emission from methane slip and methane combustion	4147 tonnes CO <sub>2</sub> <sup>e</sup> /yr	Simplified analysis if no other emissions change
Controlled GHG emission from methane slip and methane combustion	3589 tonnes CO <sub>2</sub> <sup>e</sup> /yr	99.5% (engine + technology)

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

Incremental methane reduction	558 tonnes CO <sub>2</sub> <sup>e</sup> /yr	
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Table 2 Flare Baseline Parameters

Parameter	Value	Comments
Design Capacity	100,000 scf/day	majority of flares in smallest size range
Average Capacity	50%	30-100%
On-stream availability	100%	
Flare gas composition		
Methane	65%	50-80%
Ethane	20%	
Propane	10%	
Butane	5%	
Baseline methane combustion efficiency (mole basis)	98%	Per EPA
NOx	0.068 lb/MMBtu	AP42
CO	0.37 lb/MMBtu	AP42
VOC	0.14 lb/MMBtu	AP42
Baseline GHG emission from methane slip and methane combustion	714 tonnes CO <sub>2</sub> <sup>e</sup> /yr	Simplified analysis if no other emissions change
Controlled GHG emission from methane slip and methane combustion	639 tonnes CO <sub>2</sub> <sup>e</sup> /yr	99.5% methane reduction
Incremental methane reduction	75 tonnes CO <sub>2</sub> <sup>e</sup> /yr	

Table 3 VAM Baseline Parameters

Parameter	Value	Comments
Location	Eastern US	
Capacity	100,000 scfm	
Average capacity	80%	50-100%
On-stream availability	95%	
Methane concentration	0.6%	0.2-1.6%
NOx	<0.2 ppm	West Liberty pilot test
CO	<1.5 ppm	West Liberty pilot test
VOC	0	West Liberty pilot test
Baseline GHG emission from methane slip and methane combustion	112,854 tonnes CO <sub>2</sub> <sup>e</sup> /yr	Simplified analysis if no other emissions change
Controlled GHG emission from methane slip and methane combustion	12,916 tonnes CO <sub>2</sub> <sup>e</sup> /yr	99.5% methane reduction
Incremental methane reduction	99,938 tonnes CO <sub>2</sub> <sup>e</sup> /yr	

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## **II. AWARD INFORMATION**

### **A. AWARD OVERVIEW**

ARPA-E expects to make approximately \$35 million available for new awards, to be shared between FOAs DE-FOA-0002505 and DE-FOA-0002505, subject to the availability of appropriated funds. ARPA-E anticipates selecting 10-14 Stage 1 teams, and down-selecting 4-7 Stage 2 teams under this FOA. ARPA-E may, at its discretion, issue one, multiple, or no awards.

ARPA-E will accept only new applications under this FOA. Applicants may not seek renewal or supplementation of their existing awards through this FOA.

ARPA-E plans to fully fund negotiated budgets at the time of award.

Applicants must apply for a Combined Phase I/II/IIS Award. Combined Phase I/II/IIS Awards are intended to develop transformational technologies with disruptive commercial potential. Such commercial potential may be evidenced by (1) the likelihood of follow-on funding by private or non-SBIR/STTR sources if the project is successful, or (2) the Small Business Concern's record of successfully commercializing technologies developed under prior SBIR/STTR awards. Phase IIS awards are a "sequential" (i.e., additional) Phase II award, intended to allow the continued development of promising energy technologies. Combined Phase I/II/IIS awards may be funded up to \$3,721,115. Funding amounts will be consistent with the Phase I and Phase II limits posted on the SBA's website.<sup>81</sup>

ARPA-E reserves the right to select all or part of a proposed project (i.e. only Phase I, or only Phase I and Phase II). 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 \$259,613 and the maximum amount for a Phase I/II award is \$1,990,364.

The period of performance for funding agreements may not exceed 36 months for a Combined Phase I/II/IIS Award. ARPA-E expects the start date for funding agreements to be February 2022, or as negotiated.

### **B. RENEWAL AWARDS**

At ARPA-E's sole discretion, awards resulting from this FOA may be renewed by adding one or more budget periods, extending the period of performance of the initial award, or issuing a new award. Renewal funding is contingent on: (1) availability of funds appropriated by Congress for the purpose of this program; (2) substantial progress towards meeting the objectives of the approved application; (3) submittal of required reports; (4) compliance with the terms and

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<sup>81</sup> For current SBIR Phase I and Phase II funding amounts, see <https://www.sbir.gov/about/about-sbir>. For current STTR Phase I and Phase II funding amounts, see <https://www.sbir.gov/about/about-sttr>. Phase IIS funding amounts are equal to Phase II funding amounts for both SBIR and STTR awards.

conditions of the award; (5) ARPA-E approval of a renewal application; and (6) other factors identified by ARPA-E at the time it solicits a renewal application.

### **C. ARPA-E FUNDING AGREEMENTS**

Through cooperative agreements, other transactions, and similar agreements, ARPA-E provides financial and other support to projects that have the potential to realize ARPA-E's statutory mission. ARPA-E does not use such agreements to acquire property or services for the direct benefit or use of the U.S. Government.

Congress directed ARPA-E to "establish and monitor project milestones, initiate research projects quickly, and just as quickly terminate or restructure projects if such milestones are not achieved."<sup>82</sup> Accordingly, ARPA-E has substantial involvement in the direction of every Cooperative Agreement, as described in Section II.C below.

Cooperative Agreements involve the provision of financial or other support to accomplish a public purpose of support or stimulation authorized by Federal statute. Under Cooperative Agreements, the Government and Prime Recipients share responsibility for the direction of projects.

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.

ARPA-E encourages Prime Recipients to review the Model Cooperative Agreement, which is available at <https://arpa-e.energy.gov/technologies/project-guidance/pre-award-guidance/funding-agreements>.

### **D. STATEMENT OF SUBSTANTIAL INVOLVEMENT**

ARPA-E is substantially involved in the direction of projects from inception to completion. For the purposes of an ARPA-E project, substantial involvement means:

- Project Teams must adhere to ARPA-E's agency-specific and programmatic requirements.
- ARPA-E may intervene at any time in the conduct or performance of work under an award.
- ARPA-E does not limit its involvement to the administrative requirements of an award. Instead, ARPA-E has substantial involvement in the direction and redirection of the technical aspects of the project as a whole.
- ARPA-E may, at its sole discretion, modify or terminate projects that fail to achieve

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<sup>82</sup> U.S. Congress, Conference Report to accompany the 21<sup>st</sup> Century Competitiveness Act of 2007, H. Rpt. 110-289 at 171-172 (Aug. 1, 2007).

- predetermined Go/No Go decision points or technical milestones and deliverables.
- During award negotiations, ARPA-E Program Directors and Prime Recipients mutually establish an aggressive schedule of quantitative milestones and deliverables that must be met every quarter. In addition, ARPA-E will negotiate and establish “Go/No-Go” milestones for each project. If the Prime Recipient fails to achieve any of the “Go/No-Go” milestones or technical milestones and deliverables as determined by the ARPA-E Contracting Officer, ARPA-E may – at its discretion - renegotiate the statement of project objectives or schedule of technical milestones and deliverables for the project. In the alternative, ARPA-E may suspend or terminate the award in accordance with 2 C.F.R. §§ 200.339 and 200.340.
  - ARPA-E may provide guidance and/or assistance to the Prime Recipient to accelerate the commercial deployment of ARPA-E-funded technologies. Guidance and assistance provided by ARPA-E may include coordination with other Government agencies and nonprofits<sup>83</sup> to provide mentoring and networking opportunities for Prime Recipients. ARPA-E may also organize and sponsor events to educate Prime Recipients about key barriers to the deployment of their ARPA-E-funded technologies. In addition, ARPA-E may establish collaborations with private and public entities to provide continued support for the development and deployment of ARPA-E-funded technologies.

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<sup>83</sup> The term “nonprofit organization” or “nonprofit” is defined in Section IX.

### **III. ELIGIBILITY INFORMATION**

#### **A. ELIGIBLE APPLICANTS**

##### **1. SBIR ELIGIBILITY**

SBA rules and guidelines govern eligibility to apply to this FOA. For information on program eligibility, please refer to the SBIR/STTR website, available at <https://www.sbir.gov>, and to the “Eligibility” section for SBIR/STTR programs at <https://www.sbir.gov/about>.

A Small Business Concern<sup>84</sup> may apply as a Standalone Applicant<sup>85</sup> or as the lead organization for a Project Team.<sup>86</sup> If applying as the lead organization, the Small Business Concern must perform at least 66.7% of the work in Phase I and at least 50% of the work in Phase II and Phase IIS, as measured by the Total Project Cost.<sup>87</sup>

For information on eligibility as a Small Business Concern, please refer to SBA’s website (<https://www.sba.gov/content/am-i-small-business-concern>).

##### **2. STTR ELIGIBILITY**

SBA rules and guidelines govern eligibility to apply to this FOA. For information on program eligibility, please refer to the SBIR/STTR website, available at <https://www.sbir.gov>, and to the “Eligibility” section for SBIR/STTR programs at <https://www.sbir.gov/about>.

Only a Small Business Concern may apply as the lead organization for a Project Team. The 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

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<sup>84</sup> A Small Business Concern is a for-profit entity that: (1) maintains a place of business located in the United States; (2) operates primarily within the United States or makes a significant contribution to the United States economy through payment of taxes or use of American products, materials or labor; (3) is an individual proprietorship, partnership, corporation, limited liability company, joint venture, association, trust, or cooperative; and (4) meets the size eligibility requirements set forth in 13 C.F.R. § 121.702. Where the entity is formed as a joint venture, there can be no more than 49% participation by foreign business entities in the joint venture. Small Business Concerns that are majority-owned by multiple venture capital operating companies, hedge funds, or private equity firms are eligible to apply to this FOA.

<sup>85</sup> A “Standalone Applicant” is an Applicant that applies for funding on its own, not as part of a Project Team.

<sup>86</sup> The term “Project Team” is used to mean any entity with multiple players working collaboratively and could encompass anything from an existing organization to an ad hoc teaming arrangement. A Project Team consists of the Prime Recipient, Subrecipients, and others performing any of the research and development work under an ARPA-E funding agreement, whether or not costs of performing the research and development work are being reimbursed under any agreement.

<sup>87</sup> The Total Project Cost is the sum of the Prime Recipient share and the Federal Government share of total allowable costs. The Federal Government share generally includes costs incurred by GOGOs, FFRDCs, and GOCOs.

least 30% of the work in Phase I, Phase II, and/or Phase IIS, as measured by the Total Project Cost. Please refer to Section III.B.1 of the FOA for guidance on Research Institutions' participation in STTR projects.

For information on eligibility as a Small Business Concern, please refer to SBA's website (<https://www.sba.gov/content/am-i-small-business-concern>).

### **3. JOINT SBIR AND STTR ELIGIBILITY**

An Applicant that meets both the SBIR and STTR eligibility criteria above may request both SBIR and STTR funding if:

- The Small Business Concern is partnered with a Research Institution;
- The Small Business Concern performs at least 66.7% of the work in Phase I and at least 50% of the work in Phase II and/or Phase IIS (as applicable), as measured by the Total Project Cost;
- The partnering Research Institution performs 30-33.3% of the work in Phase I and 30-50% of the work in Phase II and/or Phase IIS (as applicable), as measured by the Total Project Cost; and
- The Principal Investigator (PI) is employed by the Small Business Concern. If the PI is employed by the Research Institution, submissions will be considered only under the STTR program.

### **B. ELIGIBLE SUBRECIPIENTS**

#### **1. RESEARCH INSTITUTIONS**

A Research Institution<sup>88</sup> may apply only as a member of a Project Team (i.e., as a Subrecipient to a Small Business Concern). In STTR projects, a single Research Institution must perform at least 30%, but no more than 60%, of the work under the award in Phase I, Phase II, and/or Phase IIS (as applicable), as measured by the Total Project Cost.

#### **2. OTHER PROJECT TEAM MEMBERS**

The following entities are eligible to apply for SBIR/STTR funding as a member of a Project Team (i.e., as a Subrecipient to a Small Business Concern):

- For-profit entities, including Small Business Concerns

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<sup>88</sup> Research Institutions include FFRDCs, nonprofit educational institutions, and other nonprofit research organizations owned and operated exclusively for scientific purposes. Eligible Research Institutions must maintain a place of business in the United States, operate primarily in the United States, or make a significant contribution to the U.S. economy through the payment of taxes or use of American products, materials, or labor.

- Nonprofits other than Research Institutions<sup>89</sup>
- Government-Owned, Government Operated laboratories (GOGOs)
- State, local, and tribal government entities
- Foreign entities<sup>90</sup>

In SBIR projects, Project Team members other than the lead organization, including but not limited to Research Institutions, may collectively perform no more than 33.3% of the work under the award in Phase I and no more than 50% of the work under the award in Phase II and/or Phase IIS. This includes efforts performed by Research Institutions.

In STTR projects, Project Team members (other than the lead organization and the partnering Research Institution) may collectively perform no more than 30% of work under the award in Phase I, Phase II, and/or Phase IIS.

## **C. ELIGIBLE PRINCIPAL INVESTIGATORS**

### **1. SBIR**

For the duration of the award, the PI for the proposed project (or, if multiple PIs, at least one PI) must be employed by, and perform more than 50% of his or her work for, the Prime Recipient. The Contracting Officer may waive this requirement or approve the substitution of the PI after consultation with the ARPA-E SBIR/STTR Program Director.

For projects with multiple PIs, at least one PI must meet the primary employment requirement. That PI will serve as the contact PI for the Project Team.

### **2. STTR**

For the duration of the award, the PI for the proposed project (or, if multiple PIs, at least one PI) must be employed by, and perform more than 50% his or her work for, the Prime Recipient or the partnering Research Institution. The Contracting Officer may waive this requirement or approve the substitution of the PI after consultation with the ARPA-E SBIR/STTR Program Director.

For projects with multiple PIs, at least one PI must meet the primary employment requirement. That PI will serve as the contact PI for the Project Team.

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<sup>89</sup>Nonprofit organizations described in section 501(c)(4) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995 are not eligible to apply for funding as a Subrecipient.

<sup>90</sup> All work by foreign entities must be performed by subsidiaries or affiliates incorporated in the United States (see Section IV.G.6 of the FOA). However, the Applicant may request a waiver of this requirement in the Business Assurances & Disclosures Form submitted with the Full Application.

**D. ELIGIBILITY OF PRIOR SBIR AND STTR AWARDEES: SBA BENCHMARKS ON PROGRESS TOWARDS COMMERCIALIZATION**

Applicants awarded multiple prior SBIR or STTR awards must meet DOE's benchmark requirements for progress towards commercialization before ARPA-E may issue a new Phase I award. For purposes of this requirement, Applicants are assessed using their prior Phase I and Phase II SBIR and STTR awards across all SBIR agencies. If an awardee fails to meet either of the benchmarks, that awardee is not eligible for an SBIR or STTR Phase I award and any Phase II award for a period of one year from the time of the determination.

ARPA-E applies two benchmark rates addressing an Applicant's progress towards commercialization: (1) the DOE Phase II Transition Rate Benchmark and (2) the SBA Commercialization Rate Benchmark:

- The DOE Phase II Transition Rate Benchmark sets the minimum required number of Phase II awards the Applicant must have received for a given number of Phase I awards received during the specified period. **This Transition Rate Benchmark applies only to Phase I Applicants that have received more than 20 Phase I awards during the last five (5) year period, excluding the most recently completed fiscal year.** DOE's Phase II Transition Rate Benchmark requires that 25% of all Phase I awards received over the past five years transition to Phase II awards.

The SBIR/STTR Phase II transition rates and commercialization rates are calculated using the data in the SBA's TechNet database. For the purpose of these benchmark requirements, awardee firms are assessed once a year, on June 1st, using their prior SBIR and STTR awards across all agencies. SBA makes this tabulation of awardee transition rates and commercialization rates available to all federal agencies. ARPA-E uses this tabulation to determine which companies do not meet the DOE benchmark rates and are, therefore, ineligible to receive new Phase I awards.

- The Commercialization Rate Benchmark sets the minimum Phase III<sup>91</sup> commercialization results that an Applicant must have achieved from work it performed under prior Phase II awards (i.e. this measures an Applicant's progress from Phase II or Phase IIS to Phase III awards). **This benchmark requirement applies only to Applicants that have received more than 15 Phase II awards during the last 10 fiscal years, excluding the two most recently completed fiscal years.**

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<sup>91</sup> Phase III refers to work that derives from, extends or completes an effort made under prior SBIR/STTR funding agreements, but is funded by sources other than the SBIR/STTR Program. Phase III work is typically oriented towards commercialization of SBIR/STTR research or technology. For more information please refer to the Small Business Administration's "Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Program Policy Directive" at [https://www.sbir.gov/sites/default/files/SBIR-STTR\\_Policy\\_Directive\\_2019.pdf](https://www.sbir.gov/sites/default/files/SBIR-STTR_Policy_Directive_2019.pdf).



The current Commercialization Benchmark requirement, agreed upon and established by all 11 SBIR agencies, is that the Applicants must have received, to date, an average of at least \$100,000 of sales and/or investments per Phase II award received, or have received a number of patents resulting from the relevant SBIR/STTR work equal to or greater than 15% of the number of Phase II awards received during the period.

- On June 1 of each year, SBIR/STTR awardees registered on SBIR.gov are assessed to determine if they meet the Phase II Transition Rate Benchmark requirement. (At this time, SBA is not identifying companies that fail to meet the Commercialization Rate Benchmark requirement). Companies that fail to meet the Phase II Transition Rate Benchmark as of June 1 of a given year will not be eligible to apply to an SBIR/STTR FOA for the following year. For example, if SBA determined on June 1, 2017 that a small business failed to meet the Phase II Transition Rate Benchmark requirement, that small business would not be eligible to apply to an ARPA-E SBIR/STTR FOA from June 1, 2017 to May 31, 2018.

**E. COST SHARING**<sup>92</sup>

**Cost sharing is not required for this FOA.**

**F. OTHER**

**1. COMPLIANT CRITERIA**

Concept Papers are deemed compliant if:

- The Applicant meets the eligibility requirements in Section III.A of the FOA;
- The Concept Paper complies with the content and form requirements in Section IV.C of the FOA; and
- The Applicant entered all required information, successfully uploaded all required documents, and clicked the “Submit” button in ARPA-E eXCHANGE by the deadline stated in the FOA.

Concept Papers found to be noncompliant may not be merit reviewed or considered for award. ARPA-E may not review or consider noncompliant Concept Papers, including Concept Papers submitted through other means, Concept Papers submitted after the applicable deadline, and incomplete Concept Papers. A Concept Paper is incomplete if it does not include required information. ARPA-E will not extend the submission deadline for Applicants that fail to submit required information and documents due to server/connection congestion.

Full Applications are deemed compliant if:

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<sup>92</sup> Please refer to Section VI.B.3-4 of the FOA for guidance on cost share payments and reporting.



- The Applicant submitted a compliant and responsive Concept Paper;
- The Applicant meets the eligibility requirements in Section III.A of the FOA;
- The Full Application complies with the content and form requirements in Section IV.D of the FOA; and
- The Applicant entered all required information, successfully uploaded all required documents, and clicked the “Submit” button in ARPA-E eXCHANGE by the deadline stated in the FOA.

Full Applications found to be noncompliant may not be merit reviewed or considered for award. ARPA-E may not review or consider noncompliant Full Applications, including Full Applications submitted through other means, Full Applications submitted after the applicable deadline, and incomplete Full Applications. A Full Application is incomplete if it does not include required information and documents, such as Forms SF-424 and SF-424A. ARPA-E will not extend the submission deadline for Applicants that fail to submit required information and documents due to server/connection congestion.

Replies to Reviewer Comments are deemed compliant if:

- The Applicant successfully uploads its response to ARPA-E eXCHANGE by the deadline stated in the FOA; and
- The Replies to Reviewer Comments comply with the content and form requirements of Section IV.E of the FOA.

ARPA-E will not review or consider noncompliant Replies to Reviewer Comments, including Replies submitted through other means and Replies submitted after the applicable deadline. ARPA-E will not extend the submission deadline for Applicants that fail to submit required information due to server/connection congestion. ARPA-E will review and consider each compliant and responsive Full Application, even if no Reply is submitted or if the Reply is found to be noncompliant.

## **2. RESPONSIVENESS CRITERIA**

ARPA-E performs a preliminary technical review of Concept Papers and Full Applications. The following types of submissions may be deemed nonresponsive and may not be reviewed or considered:

- Submissions that fall outside the technical parameters specified in this FOA.
- Submissions that have been submitted in response to currently issued ARPA-E FOAs.
- Submissions that are not scientifically distinct from applications submitted in response to currently issued ARPA-E FOAs.
- Submissions for basic research aimed solely at discovery and/or fundamental knowledge generation.

- Submissions for large-scale demonstration projects of existing technologies.
- Submissions for proposed technologies that represent incremental improvements to existing technologies.
- Submissions for proposed technologies that are not based on sound scientific principles (e.g., violates a law of thermodynamics).
- Submissions for proposed technologies that are not transformational, as described in Section I.A of the FOA.
- Submissions for proposed technologies that do not have the potential to become disruptive in nature, as described in Section I.A of the FOA. Technologies must be scalable such that they could be disruptive with sufficient technical progress.
- 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 Department of Energy.
- Submissions that are not distinct in scientific approach or objective from activities currently supported by or actively under consideration for funding by other government agencies or the private sector.
- Submissions that do not demonstrate how the proposed R&D plan and/or team members will support inputs to the LCA and LCCA spreadsheets needed by ARPA-E to evaluate the submission under the applicable merit review criteria provided in Section V.A of the FOA.
- Submissions that do not propose a Combined Phase I/II/IIS Award, as described in Section II.A of the FOA.
- Submissions that do not propose both Stage 1 and Stage 2.
- Full Application Submissions that do not include the one-page Gantt in the Technical Volume as well as the LCA and LCCA Spreadsheets.

### **3. SUBMISSIONS SPECIFICALLY NOT OF INTEREST**

Submissions that propose the following will be deemed nonresponsive and will not be merit reviewed or considered:

- Theoretical studies, analysis of existing processes, or lab-based experimental investigations of methane reduction technologies that do not establish how the proposed technology can be developed into a complete system.
- Submissions with a primary focus on methane leak detection, methane emission quantification, and/or methane sensor development. Note that methane sensor development is allowed in the context of a REMEDY system development effort, but methane sensor development cannot be the primary focus of the submission.
- Submissions that focus on oil and gas methane emissions from valves, compressors (versus the gas-fired lean-burn engines used as prime movers for compressors), or fugitive emissions that are can be addressed by routine maintenance and/or improvements in best practices.

- Submissions that focus on operations best practices, versus novel systems/hardware, to reduce methane emissions from the three sources.
- Submissions focused on engine retrofits, unless they can demonstrate scalability to more than 5000 engines, the economics of the retrofit in the LCCA, and justify the carbon footprint of materials used for the retrofit in the LCA.
- Flare reduction programs focused on associated gas flaring due to lack of natural gas takeaway capacity.
- Mine methane recovery projects addressing methane drainage ahead of mining.
- Energy recovery projects that require substantial inputs of external energy to monetize the lean methane found in any of the three sources (i.e., augmenting VAM to run a boiler or gas turbine).

#### **4. LIMITATION ON NUMBER OF SUBMISSIONS**

ARPA-E is not limiting the number of submissions from Applicants. Applicants may submit more than one application 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 REMEDY FOAs: ARPA-E FOA DE-FOA-0002505 (SBIR/STTR), Reducing Emissions of Methane Every Day of the Year SBIR/STTR (REMEDY SBIR/STTR), or ARPA-E FOA DE-FOA-0002504, Reducing Emissions of Methane Every Day of the Year (REMEDY). 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, please review the eligibility requirements in Sections III.A – III.D above.

## **IV. APPLICATION AND SUBMISSION INFORMATION**

### **A. APPLICATION PROCESS OVERVIEW**

#### **1. REGISTRATION IN SBA COMPANY REGISTRY**

The first step in applying to this FOA is registering in the U.S. Small Business Administration (SBA) Company Registry (<http://sbir.gov/registration>). Upon completing registration, Applicants will receive a unique small business Control ID and Registration Certificate in Adobe PDF format, which may be used at any participating SBIR and STTR agencies. Applicants that have previously registered in the SBA Company Registry need not register again.

Applicants that are sole proprietors and do not have an Employer Identification Number may use social security numbers for purposes of registering in the SBA Company Registry. Applicants that do not possess a Dun and Bradstreet Data Universal Numbering System (DUNS) number may also use their social security number in the SBA Company Registry.

Applicants must submit their Registration Certificate in ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov>) as part of their Full Application (see Section IV.D.5 of the FOA).

#### **2. REGISTRATION IN ARPA-E eXCHANGE**

The first step in applying to this FOA is registration in ARPA-E eXCHANGE, ARPA-E's online application portal. For detailed guidance on using ARPA-E eXCHANGE, please refer to Section IV.H.1 of the FOA and the "ARPA-E eXCHANGE User Guide" (<https://arpa-e-foa.energy.gov/Manuals.aspx>).

#### **3. CONCEPT PAPERS**

Applicants must submit a Concept Paper by the deadline stated in the FOA. Section IV.C of the FOA provides instructions on submitting a Concept Paper.

ARPA-E performs a preliminary review of Concept Papers to determine whether they are compliant and responsive, as described in Section III.F of the FOA. Concept Papers found to be noncompliant or nonresponsive may not be merit reviewed or considered for award. ARPA-E makes an independent assessment of each compliant and responsive Concept Paper based on the criteria and program policy factors in Sections V.A.1 and V.B.1 of the FOA.

ARPA-E will encourage a subset of Applicants to submit Full Applications. Other Applicants will be discouraged from submitting a Full Application in order to save them the time and expense of preparing an application submission that is unlikely to be selected for award negotiations. By discouraging the submission of a Full Application, ARPA-E intends to convey its lack of

programmatic interest in the proposed project. Such assessments do not necessarily reflect judgments on the merits of the proposed project. Unsuccessful Applicants should continue to submit innovative ideas and concepts to future FOAs.

#### **4. FULL APPLICATIONS**

Applicants must submit a Full Application by the deadline stated in the FOA. Applicants will have approximately 45 days from receipt of the Encourage/Discourage notification to prepare and submit a Full Application. Section IV.D of the FOA provides instructions on submitting a Full Application.

ARPA-E performs a preliminary review of Full Applications to determine whether they are compliant and responsive, as described in Section III.F of the FOA. Full Applications found to be noncompliant or nonresponsive may not be merit reviewed or considered for award. ARPA-E makes an independent assessment of each compliant and responsive Full Application based on the criteria and program policy factors in Sections V.A and V.B of the FOA.

#### **5. REPLY TO REVIEWER COMMENTS**

Once ARPA-E has completed its review of Full Applications, reviewer comments on compliant and responsive Full Applications are made available to Applicants via ARPA-E eXCHANGE. Applicants may submit an optional Reply to Reviewer Comments, which must be submitted by the deadline stated in the FOA. Section IV.E of the FOA provides instructions on submitting a Reply to Reviewer Comments.

ARPA-E performs a preliminary review of Replies to determine whether they are compliant, as described in Section III.F.1 of the FOA. ARPA-E will review and consider compliant Replies only. ARPA-E will review and consider each compliant and responsive Full Application, even if no Reply is submitted or if the Reply is found to be non-compliant.

#### **6. PRE-SELECTION CLARIFICATIONS AND “DOWN-SELECT” PROCESS**

Once ARPA-E completes its review of Full Applications and Replies to Reviewer Comments, it may, at the Contracting Officer’s discretion, conduct a pre-selection clarification process and/or perform a “down-select” of Full Applications. Through the pre-selection clarification process or down-select process, ARPA-E may obtain additional information from select Applicants through pre-selection meetings, webinars, videoconferences, conference calls, written correspondence, or site visits that can be used to make a final selection determination. ARPA-E will not reimburse Applicants for travel and other expenses relating to pre-selection meetings or site visits, nor will these costs be eligible for reimbursement as pre-award costs.

ARPA-E may select applications for award negotiations and make awards without pre-selection meetings and site visits. Participation in a pre-selection meeting or site visit with ARPA-E does not signify that Applicants have been selected for award negotiations.

## **7. SELECTION FOR AWARD NEGOTIATIONS**

ARPA-E carefully considers all of the information obtained through the application process and makes an independent assessment of each compliant and responsive Full Application based on the criteria and program policy factors in Sections V.A.2 and V.B.1 of the FOA. The Selection Official may select all or part of a Full Application for award negotiations. The Selection Official may also postpone a final selection determination on one or more Full Applications until a later date, subject to availability of funds and other factors. ARPA-E will enter into award negotiations only with selected Applicants.

Applicants are promptly notified of ARPA-E's selection determination. ARPA-E may stagger its selection determinations. As a result, some Applicants may receive their notification letter in advance of other Applicants. Please refer to Section VI.A of the FOA for guidance on award notifications.

### **B. APPLICATION FORMS**

Required forms for Full Applications are available on ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov>), including the SF-424 and Budget Justification Workbook/SF-424A. A sample Summary Slide is available on ARPA-E eXCHANGE. Applicants may use the templates available on ARPA-E eXCHANGE, including the template for the Concept Paper, the template for the Technical Volume of the Full Application, the template for the Summary Slide, the template for the Summary for Public Release, the template for the Reply to Reviewer Comments, and the template for the Business Assurances & Disclosures Form. A sample response to the Business Assurances & Disclosures Form is available on ARPA-E eXCHANGE.

### **C. CONTENT AND FORM OF CONCEPT PAPERS**

**The Concept Paper is mandatory** (i.e. in order to submit a Full Application, a compliant and responsive Concept Paper must have been submitted) and must conform to the following formatting requirements:

- The Concept Paper must not exceed seven (7) pages in length including graphics, figures, and/or tables (except the required Gantt Chart and the optional LCA and LCCA spreadsheets, provided in the FOA, which will not count as part of the 7 pages).
- The Concept Paper must be submitted in Adobe PDF format.
- The Concept Paper must be written in English.

- All pages must be formatted to fit on 8-1/2 by 11 inch paper with margins not less than one inch on every side. Single space all text and use Times New Roman typeface, a black font color, and a font size of 12 point or larger (except in figures and tables).
- The ARPA-E assigned Control Number, the Lead Organization Name, and the Principal Investigator's Last Name must be prominently displayed on the upper right corner of the header of every page. Page numbers must be included in the footer of every page.
- The first paragraph must include the Lead Organization's Name and Location, Principal Investigator's Name, Technical Category, Proposed Funding Requested (Federal and Cost Share), and Project Duration.

Concept Papers found to be noncompliant or nonresponsive may not be merit reviewed or considered for award (see Section III.F of the FOA).

Each Concept Paper must be limited to a single concept or technology. Unrelated concepts and technologies must not be consolidated into a single Concept Paper.

A fillable Concept Paper template is available on ARPA-E eXCHANGE at <https://arpa-e-foa.energy.gov>.

Concept Papers must conform to the content requirements described below. If Applicants exceed the maximum page length indicated above, ARPA-E will review only the authorized number of pages and disregard any additional pages.

## **1. CONCEPT PAPER**

### **a. CONCEPT SUMMARY**

- Describe the proposed system with minimal jargon, and identify the methane source(s) the proposed solution will address
- Address the general and specific techno-economic issues in Section I.C.5 relevant for the system and methane sources.
- If the submission does not include a complete system, explain to what extent the proposed technology addresses the general and specific Techno-economic issues in Section 5. Identify the additional components needed to form a complete system, and the critical system integration issues. Discuss plans for incorporating the proposed technology into a system.



## **b. INNOVATION AND IMPACT**

- Describe how the proposed effort represents an innovative and potentially transformational solution to the technical challenges posed by the FOA compared to existing technologies and their incremental improvement, or emerging technologies.
- Describe the background, theory, simulation, modeling, experimental data, or other sound engineering and scientific practices or principles that support the proposed approach can meet the performance metrics. Provide specific examples of model results, supporting data, and/or appropriate citations to the scientific and technical literature.
- Optional – LCA and LCCA Spreadsheets. To the extent possible, provide quantitative inputs to the LCA and LCCA spreadsheets in the Technical Performance Requirements in Section I.F of the FOA. Applicants must justify the cost inputs to the model, including discussing sources for capital and operating costs (e.g. CAPEX, OPEX, and maintenance inputs supported by commercial experience of Team members, etc.). Costs must be based on US-sourced equipment and fabrication. Applicants must discuss how they intend to develop/refine cost inputs if they do not have a commercialization partner and/or customer/user on their team.

## **c. PROPOSED WORK**

- Describe the key technical risks for the project. Identify if the approach requires one or more entirely new technical developments to be commercialized.
- Identify techno-economic challenges to be overcome for the proposed technology to be commercially relevant.
- Discuss key schedule risks for the project.
- Describe the proposed scope of work/schedule, list key milestones, and provide a Gantt chart. Discuss how the scope/tasks addresses the above technical risks, techno-economic challenges, and schedule risks.
- Discuss the scale of the Stage 1 and Stage 2 tests, if/how modeling will support scale-up, and how the scale of testing is relevant to the test objectives. Address scale-up risks, and how the proposed test scale will be relevant to commercial-scale equipment.
- Discuss technical risks that will not be addressed by the scope of work and how these will be mitigated.
- Discuss alternative approaches considered, if any, and why the proposed approach is most appropriate for the project objectives.
- If the submission does not include a complete system, describe the plan for integrating the proposed technology into a system that could be tested in Stage 2. Provide details for the Tech-to-Market scope and schedule, outlining intellectual property sale/licensing, partnering, and/or other commercialization routes to support system-level development.

**d. TEAM ORGANIZATION AND CAPABILITIES**

- Indicate the roles and responsibilities of the organizations and key personnel that comprise the Project Team.
- Provide the name, position, and institution of each key team member and describe in 1-2 sentences the skills and experience that he/she brings to the team.
- Identify key capabilities provided by the organizations comprising the Project Team and how those key capabilities will be used in the proposed effort.
- Identify (if applicable) previous collaborative efforts among team members relevant to the proposed effort.
- Identify any gaps in the Project Team, and how and when these gaps will be addressed. Teams that lack manufacturing or operations expertise need to discuss how they will develop capital and operating cost inputs for Stage 1 and refine these costs in Stage 2.

**D. CONTENT AND FORM OF FULL APPLICATIONS**

[TO BE INSERTED BY FOA MODIFICATION IN JUNE 2021]

Full Applications must conform to the following formatting requirements:

- Each document must be submitted in the file format prescribed below.
- The Full Application must be written in English.
- All pages must be formatted to fit on 8-1/2 by 11 inch paper with margins not less than one inch on every side. Single space all text and use Times New Roman typeface, a black font color, and a font size of 12 point or larger (except in figures and tables).
- The ARPA-E assigned Control Number, the Lead Organization Name, and the Principal Investigator's Last Name must be prominently displayed on the upper right corner of the header of every page. Page numbers must be included in the footer of every page.

Full Applications found to be noncompliant or nonresponsive may not be merit reviewed or considered for award (see Section III.F of the FOA).

Each Full Application should be limited to a single concept or technology. Unrelated concepts and technologies should not be consolidated in a single Full Application.

Fillable Full Application template documents are available on ARPA-E eXCHANGE at <https://arpa-e-foa.energy.gov>.

Full Applications must conform to the content requirements described below.

Component	Required Format	Description and Information
Technical Volume	PDF	The technical volume is the centerpiece of the Full Application. Applicants must provide a detailed description of the proposed R&D project and Project Team. The technical volume must include a one-page <i>legible</i> Gantt Chart, which will not count towards the 20-page limit for Sections 1-5.
LCA and LCCA Workbook	XLS	Applicants must justify the cost inputs to the model, including discussing sources for capital and operating costs (e.g. CAPEX, OPEX, and maintenance inputs supported by commercial experience of Team members, etc.). Costs must be based on US-sourced equipment and fabrication. Applicants must discuss how they intend to develop/refine cost inputs if they do not have a commercialization partner and/or customer/user on their team.
SF-424	PDF	Application for Federal Assistance. Applicants are responsible for ensuring that the proposed costs listed in eXCHANGE match those listed on forms SF-424 and SF-424A. Inconsistent submissions may impact ARPA-E's final award determination.
Budget Justification Workbook/SF-424A	XLS	Budget Information – Non-Construction Programs
Summary for Public Release	PDF	Short summary of the proposed R&D project. This summary is intended for public release.
Summary Slide	PPT	A four-panel project slide summarizing different aspects of the proposed R&D project.
SBA Company Registration Certificate	PDF	Registration Certificate generated upon completion of registration in the SBA Company Registry ( <a href="http://sbir.gov/registration">http://sbir.gov/registration</a> ).
Certification for Applicants that are (a) Majority-Owned by Multiple Venture Capital Operating Companies, Hedge Funds, or Private Equity Firms and/or (b) joint ventures minority-owned by a foreign entity (if applicable)	PDF	Requires SBIR Applicants that are majority-owned by multiple venture capital operating companies, hedge funds, or private equity firms or that are joint ventures minority-owned by a foreign entity to self-identify, provide certain information, and verify registration as such in the SBA Company Registry ( <a href="http://sbir.gov/registration">http://sbir.gov/registration</a> ).

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

<b>Business Assurances &amp; Disclosures Form</b>	PDF	Applicants should provide comprehensive responses to the questions on this form. Requires the Applicant to acknowledge eligibility with SBIR/STTR program requirements, make responsibility disclosures, and disclose potential conflicts of interest within the Project Team. This form requires the Applicant to describe the additionality and risks associated with the proposed project, disclose applications for funding currently pending with Federal and non-Federal entities, and disclose funding from Federal and non-Federal entities for work in the same technology area as the proposed R&D project. If the Applicant is a FFRDC/DOE Lab, requires the Applicant to provide written authorization from the cognizant Federal agency and, if a DOE/NNSA FFRDC/DOE Lab, a Field Work Proposal. This form allows the Applicant to request a waiver or modification of the Performance of Work in the United States requirement and/or the Technology Transfer & Outreach (TT&O) spending requirement. A sample response to the Business Assurances & Disclosures Form is also available on ARPA-E eXCHANGE.
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ARPA-E provides detailed guidance on the content and form of each component below.

## **1. FIRST COMPONENT: TECHNICAL VOLUME**

The Technical Volume must be submitted in Adobe PDF format. A Technical Volume template is available at <https://arpa-e-foa.energy.gov/Default.aspx#Foald56c93897-0001-44d1-917d-c8d4ef074910>, under the REMEDY SBIR/STTR FOA. The Technical Volume must conform to the content and form requirements included within the template, including maximum page lengths. If Applicants exceed the maximum page lengths specified for each section, ARPA-E may review only the authorized number of pages and disregard any additional pages, or ARPA-E may determine that the submission as a whole is noncompliant per Section III.F of the FOA.

The technical volume must include a one-page legible Gantt Chart, which will not count towards the 20-page limit for Sections 1-5.

Applicants must provide sufficient citations and references to the primary research literature to justify the claims and approaches made in the Technical Volume. ARPA-E and reviewers may review primary research literature in order to evaluate applications. However, ARPA-E and reviewers are under no obligation to review cited sources (e.g., Internet websites).

## **2. SECOND COMPONENT: LCA AND LCCA SPREADSHEETS**

Applicants must justify the cost inputs to the model, including discussing sources for capital and operating costs (e.g. CAPEX, OPEX, and maintenance inputs supported by commercial experience of Team members, etc.). Costs must be based on US-sourced equipment and fabrication. Applicants must discuss how they intend to develop/refine cost inputs if they do not have a commercialization partner and/or customer/user on their team.

## **3. THIRD COMPONENT: SF-424**

The SF-424 must be submitted in Adobe PDF format. This form is available on ARPA-E eXCHANGE at <https://arpa-e-foa.energy.gov>.

The SF-424 includes instructions for completing the form. Applicants must complete all required fields in accordance with the instructions. Applicants may identify and include in Block 14 the entities, their addresses, and corresponding census tract numbers for any project activities that will occur within any designated Qualified Opportunity Zone (QOZ). To locate Qualified Opportunity Zones go to: <https://www.cdfifund.gov/opportunity-zones>.

Prime Recipients and Subrecipients are required to complete SF-LLL (Disclosure of Lobbying Activities), available at <https://www.grants.gov/forms/post-award-reporting-forms.html>, if any non-Federal funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with your application or funding agreement. The completed SF-LLL must be appended to the SF-424.

ARPA-E provides the following supplemental guidance on completing the SF-424:

- Each Project Team should submit only one SF-424 (i.e., a Subrecipient should not submit a separate SF-424).
- The list of certifications and assurances in Block 21 can be found at <http://energy.gov/management/downloads/certifications-and-assurances-use-sf-424>.
- The dates and dollar amounts on the SF-424 are for the entire period of performance (from the project start date to the project end date), not a portion thereof.
- Applicants are responsible for ensuring that the proposed costs listed in eXCHANGE match those listed on forms SF-424 and SF-424A. Inconsistent submissions may impact ARPA-E's final award determination.

#### **4. FOURTH COMPONENT: BUDGET JUSTIFICATION WORKBOOK/SF-424A**

Applicants are required to complete the Budget Justification Workbook/SF-424A Excel spreadsheet. This form is available on ARPA-E eXCHANGE at <https://arpa-e-foa.energy.gov>. Prime Recipients must complete each tab of the Budget Justification Workbook for the project as a whole, including all work to be performed by the Prime Recipient and its Subrecipients and Contractors. The SF-424A form included with the Budget Justification Workbook will “auto-populate” as the Applicant enters information into the Workbook. Applicants should carefully read the “Instructions and Summary” tab provided within the Budget Justification Workbook. Subrecipient information must be submitted as follows:

- Each Subrecipient incurring greater than or equal to 10% of the Total Project Cost must complete a separate Budget Justification workbook to justify its proposed budget. These worksheets must be inserted as additional sheets within in the Prime Recipient’s Budget Justification.
- Subrecipients incurring less than 10% of the Total Project Cost are not required to complete a separate Budget Justification workbook. However, such Subrecipients are required to provide supporting documentation to justify their proposed budgets. At a minimum, the supporting documentation must show which tasks/subtasks are being performed, the purpose/need for the effort, and a sufficient basis for the estimated costs.

ARPA-E provides the following supplemental guidance on completing the Budget Justification Workbook/SF-424A:

- Applicants may request funds under the appropriate object class category tabs as long as the item and amount requested are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions described herein.
- If Patent costs are requested, they must be included in the Applicant’s proposed budget (see Section IV.G.3 of the FOA for more information on Patent Costs).
- Project Teams may, if desired include Technology Transfer & Outreach (TT&O) activities to promote and further the development and deployment of ARPA-E-funded technologies. This is not required and is up to the applicant to decide if appropriate for the proposed work.
- If included, all TT&O costs requested must be included in the Applicant’s proposed budget and identified as TT&O costs in the Budget Justification Workbook/SF-424A with the costs being requested under the “Other” budget category. All budgeted activities must relate to achieving specific objectives, technical milestones and deliverables outlined in Section 2.4 Task Descriptions of the Technical Volume.

- For more information, please refer to the ARPA-E Budget Justification Guidance document at <https://arpa-e-foa.energy.gov>.

## 5. FIFTH COMPONENT: SUMMARY FOR PUBLIC RELEASE

Applicants are required to provide a 250 word maximum Summary for Public Release. A Summary for Public Release template is available on ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov>). The Summary for Public Release must be submitted in Adobe PDF format. This summary should not include any confidential, proprietary, or privileged information. The summary should be written for a lay audience (e.g., general public, media, Congress) using plain English.

250 Words	SUMMARY FOR PUBLIC RELEASE	<p>Briefly describe the proposed effort, summarize its objective(s) and technical approach, describe its ability to achieve the “Program Objectives” (see Section I.C of the FOA), and indicate its potential impact on “ARPA-E Mission Areas” (see Section I.A of the FOA). The summary should be written at technical level suitable for a high-school science student and is designed for public release.</p> <p><b>INSTRUCTIONS:</b></p> <p>(1) The Summary for Public Release shall not exceed 250 words and shall be one paragraph.</p> <p>(2) The Summary for Public Release shall consist only of text—no graphics, figures, or tables.</p> <p>(3) For applications selected for award negotiations, the Summary may be used as the basis for a public announcement by ARPA-E; therefore, <b>this Cover Page and Summary should not contain confidential or proprietary information</b>. See Section VIII.I of the FOA for additional information on marking confidential information</p>
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## 6. SIXTH COMPONENT: SUMMARY SLIDE

Applicants are required to provide a single PowerPoint slide summarizing the proposed project. The slide must be submitted in Microsoft PowerPoint format. This slide will be used during ARPA-E’s evaluation of Full Applications. A summary slide template and a sample summary slide are available on ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov>). Summary Slides must conform to the content requirements described below:

- A Technology Summary;
  - Bullet points that describe novel aspects of the proposed technology and technology approach;
- A description of the technology’s impact;



- Quantitative description (through text or graphic) of the impact the proposed project will provide to the market and ARPA-E mission areas;
- Proposed Targets;
  - Including any important technical performance metrics and/or impact categories;
  - Including quantitative description of the state of the art;
  - Including quantitative descriptions of the proposed targets;
- Any key graphics (illustrations, charts and/or tables) summarizing technology development and/or impact;
- The project's key idea/takeaway;
- Project title and Principal Investigator information; and
- Requested ARPA-E funds and proposed Applicant cost share.

## **7. SEVENTH COMPONENT: SBA REGISTRATION CERTIFICATE**

Applicants are required to provide a copy of the SBA Registration Certificate generated in the SBA Company Registry (<http://sbir.gov/registration>) in Adobe PDF format (see Section IV.A.1 of the FOA). Applicants that have previously registered in the SBA Company Registry may submit a copy their existing Registration Certificate.

## **8. EIGHTH COMPONENT: CERTIFICATION FOR APPLICANTS THAT ARE (A) MAJORITY-OWNED BY MULTIPLE VENTURE CAPITAL OPERATING COMPANIES, HEDGE FUNDS, AND PRIVATE EQUITY FIRMS AND/OR (B) JOINT VENTURES MINORITY-OWNED BY A FOREIGN ENTITY**

Only those Applicants that are (a) majority-owned by multiple venture capital operating companies, hedge funds, or private equity firms and/or (b) joint ventures minority-owned by a foreign entity are required to complete the Certification for Applicants Majority-Owned by Multiple Venture Capital Operating Companies, Hedge Funds, and Private Equity Funds and Joint Venture Applicants Minority-Owned by Foreign Business Entities (VCOC/FJV Certification). The certification must be submitted in Adobe PDF format. This form is available on ARPA-E eXCHANGE at <https://arpa-e-foa.energy.gov>.

In the VCOC/FJV Certification, the Applicant is required to self-identify as an entity that falls into one of those categories, provide certain information, verify its ownership status, and verify that it has registered in the SBA Company Registry (<http://sbir.gov/registration>) as such an entity.

Applicants that are neither (a) majority-owned by multiple venture capital operating companies, hedge funds, or private equity firms nor (b) joint ventures minority-owned by a foreign entity are not required to complete the VCOC/FJV Certification.

## 9. NINTH COMPONENT: BUSINESS ASSURANCES & DISCLOSURES FORM

Applicants are required to provide the information requested in the Business Assurances & Disclosures Form. The information must be submitted in Adobe PDF format. A fillable Business Assurances & Disclosures Form template 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.

As described in the Business Assurances & Disclosures Form, the Applicant is required to:

- Acknowledge that it has reviewed SBA's eligibility requirements for the SBIR and STTR programs and that it anticipates that it will be able to certify eligibility to participate in ARPA-E's SBIR/STTR program at the time of award
- Disclose conditions bearing on responsibility, such as criminal convictions and Federal tax liability
- Disclose potential conflicts of interest within the Project Team
- If the project team includes a FFRDC/DOE Lab, submit written authorization from the cognizant Federal agency
- If the project team includes a DOE/NNSA FFRDC/DOE Lab, submit a Field Work Proposal.

In addition, ARPA-E is required by statute to "accelerat[e] transformational technological advances in areas that industry is by itself not likely to undertake because of technical and financial uncertainty."<sup>93</sup> In accordance with ARPA-E's statutory mandate, the Applicant is required to:

- Describe the additionality and risks associated with the proposed R&D project
- Disclose any applications for the same project or related work currently pending with any Federal or non-Federal entities
- Disclose all funding for work in the same technology area as the proposed project received from any Federal or non-Federal entity within the last 5 years.

The Applicant may use the Business Assurances & Disclosures Form to:

- Request authorization to perform some work overseas
- Each entity on a Project Team must also report the entity's DUNS number, confirmation of active registration in SAM, or the dates when the entity began or will begin the process of obtaining a DUNS number and/or register in SAM.

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<sup>93</sup> America COMPETES Act, Pub. L. No. 110-69, § 5012 (2007), as amended (codified at 42 U.S.C. § 16538).

## **E. CONTENT AND FORM OF REPLIES TO FULL APPLICATION REVIEWER COMMENTS**

~~[TO BE INSERTED BY FOA MODIFICATION IN JUNE 2021]~~

Written feedback on Full Applications is made available to Applicants before the submission deadline for Replies to Reviewer Comments. Applicants have a brief opportunity to prepare a short Reply to Reviewer Comments responding to one or more comments or supplementing their Full Application. A fillable Reply to Reviewer Comments template is available on ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov>).

Replies to Reviewer Comments must conform to the following requirements:

- The Reply to Reviewer Comments must be submitted in Adobe PDF format.
- The Reply to Reviewer Comments must be written in English.
- All pages must be formatted to fit on 8-1/2 by 11 inch paper with margins not less than one inch on every side. Use Times New Roman typeface, a black font color, and a font size of 12 points or larger (except in figures and tables).
- The Control Number must be prominently displayed on the upper right corner of the header of every page. Page numbers must be included in the footer of every page.

ARPA-E may not review or consider noncompliant Replies to Reviewer Comments (see Section III.F.1 of the FOA). ARPA-E will review and consider each compliant and responsive Full Application, even if no Reply is submitted or if the Reply is found to be noncompliant.

Replies to Reviewer Comments must conform to the following content and form requirements, including maximum page lengths, described below. If a Reply to Reviewer Comments is more than three pages in length, ARPA-E will review only the first three pages and disregard any additional pages. ARPA-E may review only the first three pages and disregard any additional pages, or ARPA-E may determine that the submission as a whole is noncompliant.

SECTION	PAGE LIMIT	DESCRIPTION
Text	2 pages maximum	<ul style="list-style-type: none"><li>• Applicants may respond to one or more reviewer comments or supplement their Full Application.</li></ul>
Images	1 page maximum	<ul style="list-style-type: none"><li>• Applicants may provide graphs, charts, or other data to respond to reviewer comments or supplement their Full Application.</li></ul>

## **F. INTERGOVERNMENTAL REVIEW**

This program is not subject to Executive Order 12372 (Intergovernmental Review of Federal Programs).

## **G. FUNDING RESTRICTIONS**

[TO BE INSERTED BY FOA MODIFICATION IN JUNE 2021]

### **1. ALLOWABLE COSTS**

All expenditures must be allowable, allocable, and reasonable in accordance with the applicable Federal cost principles. ARPA-E has listed the Federal cost principles for different categories of Applicants at <https://arpa-e.energy.gov/technologies/project-guidance/post-award-guidance>.

### **2. PRE-AWARD COSTS**

ARPA-E will not reimburse any pre-award costs incurred by Applicants before they are selected for award negotiations. Please refer to Section VI.A of the FOA for guidance on award notices.

Upon selection for award negotiations, Applicants may incur pre-award costs at their own risk, consistent with the requirements in 2 C.F.R. Part 200, as modified by 2 C.F.R. Part 910, and other Federal laws and regulations. ARPA-E generally does not accept budgets as submitted with the Full Application. Budgets are typically reworked during award negotiations. ARPA-E is under no obligation to reimburse pre-award costs if, for any reason, the Applicant does not receive an award or the award is made for a lesser amount than the Applicant expected, or if the costs incurred are not allowable, allocable, or reasonable.

### **3. PATENT COSTS**

For Subject Inventions disclosed to DOE under an award, ARPA-E will reimburse the Prime Recipient – in addition to allowable costs associated with Subject Invention disclosures - up to \$30,000 of expenditures for filing and prosecution of United States patent applications, including international applications (PCT application) submitted to the United States Patent and Trademark Office (USPTO).

The Prime Recipient may request a waiver of the \$30,000 cap. Note that patent costs are considered to be Technology Transfer & Outreach (TT&O) costs (see Section IV.G.8 of the FOA below), and should be requested as such.

#### **4. CONSTRUCTION**

ARPA-E generally does not fund projects that involve major construction. Recipients are required to obtain written authorization from the Contracting Officer before incurring any major construction costs.

#### **5. FOREIGN TRAVEL**

ARPA-E generally does not fund projects that involve foreign travel.

#### **6. PERFORMANCE OF WORK IN THE UNITED STATES**

ARPA-E strongly encourages interdisciplinary and cross-sectoral collaboration spanning organizational boundaries. Such collaboration enables the achievement of scientific and technological outcomes that were previously viewed as extremely difficult, if not impossible.

ARPA-E requires all work under ARPA-E funding agreements to be performed in the United States – i.e., Prime Recipients must expend 100% of the Total Project Cost in the United States. However, Applicants may request a waiver of this requirement where their project would materially benefit from, or otherwise requires, certain work to be performed overseas.

Applicants seeking a waiver of this requirement are required to include an explicit request in the Business Assurances & Disclosures Form, which is part of the Full Application submitted to ARPA-E. Such waivers are granted where there is a demonstrated need, as determined by ARPA-E.

#### **7. PURCHASE OF NEW EQUIPMENT**

All equipment purchased under ARPA-E funding agreements must be made or manufactured in the United States, to the maximum extent practicable. This requirement does not apply to used or leased equipment. The Prime Recipients are required to notify the ARPA-E Contracting Officer reasonably in advance of purchasing any equipment that is not made or manufactured in the United States with a total acquisition cost of \$250,000 or more. The ARPA-E Contracting Officer will provide consent to purchase or reject within 30 calendar days of receipt of the Recipient's notification.

#### **8. TECHNOLOGY TRANSFER AND OUTREACH**

ARPA-E is required to contribute a percentage of appropriated funds to Technology Transfer and Outreach (TT&O) activities. Project Teams have the option of spending a portion of Federal funding (i.e., the portion of the award that does not include the recipient's cost share) provided

by ARPA-E on TT&O activities to promote and further the development and deployment of ARPA-E-funded technologies.

All TT&O expenditures are subject to the applicable Federal cost principles (i.e., 2 C.F.R. 200 Subpart E and 48 C.F.R. Subpart 31). Examples of TT&O expenditures are as follows:

- Documented travel and registration for the ARPA-E Energy Innovation Summit and other energy-related conferences and events;
- Documented travel to meet with potential suppliers, partners, or customers;
- Documented work by salaried or contract personnel to develop technology-to-market models or plans;
- Documented costs of acquiring industry-accepted market research reports; and
- Approved patent costs.

ARPA-E will not reimburse recipients for TT&O costs considered to be unallowable in accordance with the applicable cost principles. Examples of unallowable TT&O expenditures include:

- Meals or entertainment;
- Gifts to potential suppliers, partners, or customers;
- TT&O activities that do not relate to the ARPA-E-funded technologies;
- Undocumented TT&O activities; and
- TT&O activities unrelated and/or unallocable to the subject award.

Applicants may choose to not include TT&O activities if appropriate, and do not need a waiver to do so.

For information regarding incorporation of TT&O costs into budget documentation, see Section IV.D.3 of the FOA.

## **9. LOBBYING**

Prime Recipients and Subrecipients may not use any Federal funds, directly or indirectly, to influence or attempt to influence, directly or indirectly, congressional action on any legislative or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. § 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

Prime Recipients and Subrecipients are required to complete and submit SF-LLL, "Disclosure of Lobbying Activities"

( <https://www.gsa.gov/forms-library/disclosure-lobbying-activities> )

if any non-Federal funds have been paid or will be paid to any person for influencing or attempting to influence any of the following in connection with your application:

- An officer or employee of any Federal agency,
- A Member of Congress,
- An officer or employee of Congress, or
- An employee of a Member of Congress.

## **10. CONFERENCE SPENDING**

Prime Recipients and Subrecipients may not use any Federal funds to:

- Defray the cost to the United States Government of a conference held by any Executive branch department, agency, board, commission, or office which is not directly and programmatically related to the purpose for which their ARPA-E award is made and for which the cost to the United States Government is more than \$20,000; or
- To circumvent the required notification by the head of any such Executive Branch department, agency, board, commission, or office to the Inspector General (or senior ethics official for any entity without an Inspector General), of the date, location, and number of employees attending such a conference.

## **11. INDEPENDENT RESEARCH AND DEVELOPMENT COSTS**

ARPA-E does not fund Independent Research and Development (IR&D) as part of an indirect cost rate under its financial assistance awards. IR&D, as defined at FAR 31.205-18(a), includes cost of effort that is not sponsored by an assistance agreement or required in performance of a contract, and that consists of projects falling within the four following areas: (i) basic research, (ii) applied research, (iii) development, and (iv) systems and other concept formulation studies.

ARPA-E's goals are to enhance the economic and energy security of the United States through the development of energy technologies and ensure that the United States maintains a technological lead in developing and deploying advanced energy technologies. ARPA-E accomplishes these goals by providing financial assistance for energy technology projects, and has well recognized and established procedures for supporting research through competitive financial assistance awards based on merit review of proposed projects. Reimbursement for independent research and development costs through the indirect cost mechanism could circumvent this competitive process.



To ensure that all projects receive similar and equal consideration, eligible organizations may compete for direct funding of independent research projects they consider worthy of support by submitting proposals for those projects to ARPA-E. Since proposals for these projects may be submitted for direct funding, costs for independent research and development projects are not allowable as indirect costs under ARPA-E awards. IR&D costs, however, would still be included in the direct cost base that is used to calculate the indirect rate so as to ensure an appropriate allocation of indirect costs to the organization's direct cost centers.

## **12. PROHIBITION ON CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT**

Per 2 C.F.R. § 200.216, recipients and subrecipients are prohibited from obligating or expending grant funds to: (1) procure or obtain; (2) extend or renew a contract to procure or obtain; or (3) enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115–232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities). Refer to 2 C.F.R. § 200.216 for possible additional prohibitions and limitations.

### **H. OTHER SUBMISSION REQUIREMENTS**

#### **1. USE OF ARPA-E eXCHANGE**

To apply to this FOA, Applicants must register with ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/Registration.aspx>). Concept Papers, Full Applications, and Replies to Reviewer Comments must be submitted through ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/login.aspx>). ARPA-E will not review or consider applications submitted through other means (e.g., fax, hand delivery, email, postal mail). For detailed guidance on using ARPA-E eXCHANGE, please refer to the “ARPA-E eXCHANGE Applicant Guide” (<https://arpa-e-foa.energy.gov/Manuals.aspx>).

Upon creating an application submission in ARPA-E eXCHANGE, Applicants will be assigned a Control Number. If the Applicant creates more than one application submission, a different Control Number will be assigned for each application.

Once logged in to ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/login.aspx>), Applicants may access their submissions by clicking the “My Submissions” link in the navigation on the left side of the page. Every application that the Applicant has submitted to ARPA-E and the

corresponding Control Number is displayed on that page. If the Applicant submits more than one application to a particular FOA, a different Control Number is shown for each application.

Applicants are responsible for meeting each submission deadline in ARPA-E eXCHANGE.

**Applicants are strongly encouraged to submit their applications at least 48 hours in advance of the submission deadline.** Under normal conditions (i.e., at least 48 hours in advance of the submission deadline), Applicants should allow at least 1 hour to submit a Concept Paper, or Full Application. In addition, Applicants should allow at least 15 minutes to submit a Reply to Reviewer Comments. Once the application is submitted in ARPA-E eXCHANGE, Applicants may revise or update their application until the expiration of the applicable deadline.

**Applicants should not wait until the last minute to begin the submission process.** During the final hours before the submission deadline, Applicants may experience server/connection congestion that prevents them from completing the necessary steps in ARPA-E eXCHANGE to submit their applications. **ARPA-E will not extend the submission deadline for Applicants that fail to submit required information and documents due to server/connection congestion.**

**ARPA-E may not review or consider incomplete applications and applications received after the deadline stated in the FOA.** Such applications may be deemed noncompliant (see Section III.F.1 of the FOA). The following errors could cause an application to be deemed “incomplete” and thus noncompliant:

- Failing to comply with the form and content requirements in Section IV of the FOA;
- Failing to enter required information in ARPA-E eXCHANGE;
- Failing to upload required document(s) to ARPA-E eXCHANGE;
- Failing to click the “Submit” button in ARPA-E eXCHANGE by the deadline stated in the FOA;
- Uploading the wrong document(s) or application(s) to ARPA-E eXCHANGE; and
- Uploading the same document twice, but labeling it as different documents. (In the latter scenario, the Applicant failed to submit a required document.)

ARPA-E urges Applicants to carefully review their applications and to allow sufficient time for the submission of required information and documents.

## **V. APPLICATION REVIEW INFORMATION**

### **A. CRITERIA**

ARPA-E performs a preliminary review of Concept Papers and Full Applications to determine whether they are compliant and responsive (see Section III.F of the FOA). ARPA-E also performs

a preliminary review of Replies to Reviewer Comments to determine whether they are compliant.

ARPA-E considers a mix of quantitative and qualitative criteria in determining whether to encourage the submission of a Full Application and whether to select a Full Application for award negotiations.

## **1. CRITERIA FOR CONCEPT PAPERS**

### *(1) Impact of the Proposed Technology Relative to FOA Targets (40%)*

This criterion involves consideration of the following:

- Demonstration of awareness of competing commercial and emerging technologies and justification that the proposed concept/technology provides significant improvement over existing solutions.
- The potential for a transformational and disruptive (not incremental) advancement compared to existing or emerging technologies; and
- Ability to meet the program metrics and addressing the Techno-economic issues.

### *(2) Program Plan (40%)*

This criterion involves consideration of the following:

- The feasibility of the proposed tasks, as justified by appropriate background, theory, simulation, modeling, experimental data, or other sound scientific and engineering practices;
- Sufficiency of technical approach to address the key technical risks and techno-economic challenges;
- Clearly defined milestones and ability to meet them; and
- If the proposal does not include a complete system, plans for integrating the proposed technology into a system that could be tested in Stage 2.

### *(3) Project Team (20%)*

This criterion involves consideration of the following:

- The demonstrated capabilities of the individuals and their organizations;
- The key roles, responsibilities, and contributions of the organizations comprising the Project Team

- Letters of Intent from Team members
- if applicable, previous collaborations among team members supporting the proposed project.
- Plans to address any gaps in the Project Team, including how and when these gaps will be addressed.

Submissions will not be evaluated against each other since they are not submitted in accordance with a common work statement.

## **2. CRITERIA FOR FULL APPLICATIONS**

~~[TO BE INSERTED BY FOA MODIFICATION IN JUNE 2021]~~

Full Applications are evaluated based on the following criteria:

### *(1) Impact of the Proposed Technology Relative to FOA Targets (35%)*

This criterion involves consideration of the following:

- Scope of the proposed technology as a complete system. If the proposal does not include a complete system, how the proposed technology will be integrated with the additional components.
- Amenable market for the proposed technology, and discussion of limitations for use across all target source(s).
- Awareness of competing commercial and emerging technologies and justification that the proposed concept/technology provides significant improvement over existing solutions.
- Addressing the General and source-specific techno-economic issues discussed in Section 1.C.5 of the FOA.
- Technical justification for inputs and the ability to meet the program metrics per the mandatory LCA and LCCA spreadsheets (note that the spreadsheets do not count against the 20 page limit for the Technical Volume; the spreadsheets are submitted separately).
- Strategy for commercialization of the technology, with defined roles for the team members, per the Tech to Market section. Timeline for commercialization and expected sales for five years following conclusion of the project. If the proposal does not include a complete system, discussion of Tasks and schedule for how the proposed technology would be commercialized.

**(2) Program Plan (35%)**

This criterion involves consideration of the following:

- Mandatory one-page Gantt chart (does not count against the 20 page limit for the Technical Volume).
- Team member(s)' roles and responsibilities, and overall project management.
- Ability of Stage 1 and Stage 2 test plans to address key technical and schedule risks, including the General and source-specific technical issues in Section 1.C.5 of the FOA., and discussion of issues that will not be addressed in either Stage 1 or Stage 2.
- Clearly defined milestones and ability to meet them.
- Ability to access required resources (people, equipment, software, etc).
- The feasibility of the proposed tasks, as justified by appropriate background, theory, simulation, modeling, experimental data, or other sound scientific and engineering practices;
- Scale of Stage 1 and Stage 2 tests relative to commercial units.
- If the proposal does not include a complete system, discussion of how the proposed technology would be integrated into a system that could be tested in Stage 2.

**(3) Project Team (30%)**

This criterion involves consideration of the following:

- The demonstrated capabilities of the individuals and their organizations;
- Clearly defined roles/responsibilities aligned with competencies, and contributions of the organizations comprising the Project Team
- Ability of the team to access required equipment, facilities, and expertise.
- Clear path towards commercialization during and after the project.
- Approaches for addressing gaps in team competencies.
- Letters of Intent and/or Letters of Support from Team member, suppliers, potential business or commercialization partners, and/or customers, etc. (Letters of Intent and/or Letters of Support (optional) should be uploaded separately from the Technical Volume)

Submissions will not be evaluated against each other since they are not submitted in accordance with a common work statement.

### **3. CRITERIA FOR REPLIES TO FULL APPLICATION REVIEWER COMMENTS**

~~[TO BE INSERTED BY FOA MODIFICATION IN JUNE 2021]~~

ARPA-E has not established separate criteria to evaluate Replies to Full Application Reviewer Comments. Instead, Replies to Full Application Reviewer Comments are evaluated as an extension of the Full Application. A description of the Replies to Full Application Reviewer Comments is in Section IV.A.5 of the FOA.

#### **B. REVIEW AND SELECTION PROCESS**

##### **1. PROGRAM POLICY FACTORS**

In addition to the above criteria, ARPA-E may consider the following program policy factors in determining which Concept Papers to encourage to submit a Full Application and which Full Applications to select for award negotiations:

- I. **ARPA-E Portfolio Balance.** Project balances ARPA-E portfolio in one or more of the following areas:
  - a. Diversity of technical personnel in the proposed Project Team;
  - b. Technological diversity;
  - c. Organizational diversity;
  - d. Geographic diversity;
  - e. Technical or commercialization risk; or
  - f. Stage of technology development.
- II. **Relevance to ARPA-E Mission Advancement.** Project contributes to one or more of ARPA-E's key statutory goals:
  - a. Reduction of U.S. dependence on foreign energy sources;
  - b. Stimulation of U.S. manufacturing and/or software development
  - c. Reduction of energy-related emissions;
  - d. Increase in U.S. energy efficiency;
  - e. Enhancement of U.S. economic and energy security; or
  - f. Promotion of U.S. advanced energy technologies competitiveness.
- III. **Synergy of Public and Private Efforts.**
  - a. Avoids duplication and overlap with other publicly or privately funded projects;
  - b. Promotes increased coordination with nongovernmental entities for demonstration of technologies and research applications to facilitate technology transfer; or

- c. Increases unique research collaborations.
- IV. **Low likelihood of other sources of funding.** High technical and/or financial uncertainty that results in the non-availability of other public, private or internal funding or resources to support the project.
- V. **High Project Impact Relative to Project Cost.**
- VI. **Qualified Opportunity Zone (QOZ).** Whether the entity is located in an urban and economically distressed area including a Qualified Opportunity Zone (QOZ) or the proposed project will occur in a QOZ or otherwise advance the goals of QOZ. The goals include spurring economic development and job creation in distressed communities throughout the United States. For a list or map of QOZs go to:  
<https://www.cdfifund.gov/opportunity-zones>.

## 2. ARPA-E REVIEWERS

By submitting an application to ARPA-E, Applicants consent to ARPA-E's use of Federal employees, contractors, and experts from educational institutions, nonprofits, industry, and governmental and intergovernmental entities as reviewers. ARPA-E selects reviewers based on their knowledge and understanding of the relevant field and application, their experience and skills, and their ability to provide constructive feedback on applications.

ARPA-E requires all reviewers to complete a Conflict-of-Interest Certification and Nondisclosure Agreement through which they disclose their knowledge of any actual or apparent conflicts and agree to safeguard confidential information contained in Concept Papers, Full Applications, and Replies to Reviewer Comments. In addition, ARPA-E trains its reviewers in proper evaluation techniques and procedures.

Applicants are not permitted to nominate reviewers for their applications. Applicants may contact the Contracting Officer by email ([ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov)) if they have knowledge of a potential conflict of interest or a reasonable belief that a potential conflict exists.

## 3. ARPA-E SUPPORT CONTRACTOR

ARPA-E utilizes contractors to assist with the evaluation of applications and project management. To avoid actual and apparent conflicts of interest, ARPA-E prohibits its support contractors from submitting or participating in the preparation of applications to ARPA-E.



By submitting an application to ARPA-E, Applicants represent that they are not performing support contractor services for ARPA-E in any capacity and did not obtain the assistance of ARPA-E's support contractor to prepare the application. ARPA-E will not consider any applications that are submitted by or prepared with the assistance of its support contractors.

### **C. ANTICIPATED ANNOUNCEMENT AND AWARD DATES**

~~[TO BE INSERTED BY FOA MODIFICATION IN JUNE 2021]~~

ARPA-E expects to announce selections for negotiations in approximately November 2021 and to execute funding agreements in approximately February 2022.

## **VI. AWARD ADMINISTRATION INFORMATION**

### **A. AWARD NOTICES**

#### **1. REJECTED SUBMISSIONS**

Noncompliant and nonresponsive Concept Papers and Full Applications are rejected by the Contracting Officer and are not merit reviewed or considered for award. The Contracting Officer sends a notification letter by email to the technical and administrative points of contact designated by the Applicant in ARPA-E eXCHANGE. The notification letter states the basis upon which the Concept Paper or Full Application was rejected.

#### **2. CONCEPT PAPER NOTIFICATIONS**

ARPA-E promptly notifies Applicants of its determination to encourage or discourage the submission of a Full Application. ARPA-E sends a notification letter by email to the technical and administrative points of contact designated by the Applicant in ARPA-E eXCHANGE. ARPA-E provides feedback in the notification letter in order to guide further development of the proposed technology.

Applicants may submit a Full Application even if they receive a notification discouraging them from doing so. By discouraging the submission of a Full Application, ARPA-E intends to convey its lack of programmatic interest in the proposed project. Such assessments do not necessarily reflect judgments on the merits of the proposed project. The purpose of the Concept Paper phase is to save Applicants the considerable time and expense of preparing a Full Application that is unlikely to be selected for award negotiations.

A notification letter encouraging the submission of a Full Application does not authorize the Applicant to commence performance of the project. Please refer to Section IV.G of the FOA for guidance on pre-award costs.

### **3. FULL APPLICATION NOTIFICATIONS**

~~[TO BE INSERTED BY FOA MODIFICATION IN JUNE 2021]~~

ARPA-E promptly notifies Applicants of its determination. ARPA-E sends a notification letter by email to the technical and administrative points of contact designated by the Applicant in ARPA-E eXCHANGE. The notification letter may inform the Applicant that its Full Application was selected for award negotiations, or not selected. Alternatively, ARPA-E may notify one or more Applicants that a final selection determination on particular Full Applications will be made at a later date, subject to the availability of funds and other factors.

Written feedback on Full Applications is made available to Applicants before the submission deadline for Replies to Reviewer Comments. By providing feedback, ARPA-E intends to guide the further development of the proposed technology and to provide a brief opportunity to respond to reviewer comments.

#### ***a. SUCCESSFUL APPLICANTS***

ARPA-E has discretion to select all or part of a proposed project for negotiation of an award. A notification letter selecting a Full Application for award negotiations does not authorize the Applicant to commence performance of the project. **ARPA-E selects Full Applications for award negotiations, not for award.** Applicants do not receive an award until award negotiations are complete and the Contracting Officer executes the funding agreement. ARPA-E may terminate award negotiations at any time for any reason.

Please refer to Section IV.G.2 of the FOA for guidance on pre-award costs.

#### ***b. POSTPONED SELECTION DETERMINATIONS***

A notification letter postponing a final selection determination until a later date does not authorize the Applicant to commence performance of the project. ARPA-E may ultimately determine to select or not select the Full Application for award negotiations.

Please refer to Section IV.G.2 of the FOA for guidance on pre-award costs.

### **C. UNSUCCESSFUL APPLICANTS**

By not selecting a Full Application, ARPA-E intends to convey its lack of programmatic interest in the proposed project. Such assessments do not necessarily reflect judgments on the merits of the proposed project. ARPA-E hopes that unsuccessful Applicants will submit innovative ideas and concepts for future FOAs.

## **B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

~~[TO BE INSERTED BY FOA MODIFICATION IN JUNE 2021]~~

The following administrative and national policy requirements apply to Prime Recipients. The Prime Recipient is the responsible authority regarding the settlement and satisfaction of all contractual and administrative issues, including but not limited to disputes and claims arising out of any agreement between the Prime Recipient and a FFRDC contractor. Prime Recipients are required to flow down these requirements to their Subrecipients through subawards or related agreements.

- If an award is made to a DOE/NNSA National Laboratory, all Disputes and Claims will be resolved in accordance with the terms and conditions of the DOE/NNSA National Laboratory's management and operating (M&O) contract, as applicable, in consultation between DOE and the prime awardee.
- If an award is made to another Federal agency or its FFRDC contractor, all Disputes and Claims will be resolved in accordance with the terms and conditions of the interagency agreement in consultation between DOE and the prime awardee.

### **1. DUNS NUMBER, UNIQUE ENTITY IDENTIFIER- AND SAM, FSRs, AND FEDCONNECT REGISTRATIONS**

Prime Recipients and Subrecipients are required to obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number at <http://fedgov.dnb.com/webform> and to register with the System for Award Management (SAM) at [www.sam.gov/SAM](http://www.sam.gov/SAM) and obtain a Unique Entity Identifier.

Prime Recipients and Subrecipients should commence this process as soon as possible in order to expedite the execution of a funding agreement. Obtaining a DUNS number and registering with SAM could take several weeks.

Prime Recipients are also required to register with the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS) at <https://www.fsrs.gov/>.<sup>94</sup> Prime Recipients are required to report to FSRS the names and total compensation of each of the Prime Recipient's five most highly compensated executives and the names and total compensation of each Subrecipient's five most highly compensated executives. Please refer to <https://www.fsrs.gov/> for guidance on reporting requirements.

ARPA-E may not execute a funding agreement with the Prime Recipient until it has obtained a DUNS number and completed its SAM and FSRS registrations. In addition, the Prime Recipient may not execute subawards with Subrecipients until they complete their SAM registrations. Prime Recipients and Subrecipients are required to keep their SAM and FSRS data current throughout the duration of the project.

Finally, Prime Recipients are required to register with FedConnect in order to receive notification that their funding agreement has been executed by the Contracting Officer and to obtain a copy of the executed funding agreement. Please refer to <https://www.fedconnect.net/FedConnect/> for registration instructions.

## **2. NATIONAL POLICY ASSURANCES**

Project Teams, including Prime Recipients and Subrecipients, are required to comply with the National Policy Assurances attached to their funding agreement in accordance with 2 C.F.R. 200.300. Refer to Attachment 6 of ARPA-E's Model Cooperative Agreement (<https://arpa-e.energy.gov/technologies/project-guidance/pre-award-guidance/funding-agreements>) for information on the National Policy Assurances.

## **3. ENVIRONMENTAL IMPACT QUESTIONNAIRE**

By law, ARPA-E is required to evaluate the potential environmental impact of projects that it is considering for funding. In particular, ARPA-E must determine before funding a project whether the project qualifies for a categorical exclusion under 10 C.F.R. § 1021.410 or whether it requires further environmental review (i.e., an environmental assessment or an environmental impact statement).

To facilitate and expedite ARPA-E's environmental review, Prime Recipients are required to complete an Environmental Impact Questionnaire during award negotiations. This form is available on ARPA-E eXCHANGE at <https://arpa-e.energy.gov/technologies/project->

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<sup>94</sup> The Federal Funding Accountability and Transparency Act, P.L. 109-282, 31 U.S.C. 6101 note.

[guidance/pre-award-guidance/required-forms-and-templates](#). The Environmental Impact Questionnaire is due within 21 calendar days of the selection announcement.

#### **4. TECHNOLOGY-TO-MARKET PLAN**

During award negotiations, Prime Recipients are required to negotiate and submit an initial Technology-to-Market Plan for Phase II and Phase IIS with the ARPA-E Program Director, and obtain the ARPA-E Program Director's approval prior to the execution of the award. Prime Recipients must show how any budgeted Technology Transfer and Outreach (TT&O) costs relate to furthering elements of the Technology-to-Market Plan. During the period of performance, Prime Recipients are required to provide regular updates on the initial Technology-to-Market plan and report on implementation of Technology-to-Market activities. Prime Recipients may be required to perform other actions to further the commercialization of their respective technologies. Prime Recipients are not required to negotiate a Technology-to-Market Plan for Phase I only awards.

ARPA-E may waive or modify this requirement, as appropriate.

#### **5. INTELLECTUAL PROPERTY AND DATA MANAGEMENT PLANS**

ARPA-E requires every Project Team to negotiate and establish an Intellectual Property Management Plan for the management and disposition of intellectual property arising from the project. The Prime Recipient must submit a completed and signed Intellectual Property Management plan to ARPA-E within six weeks of the effective date of the ARPA-E funding agreement. All Intellectual Property Management Plans are subject to the terms and conditions of the ARPA-E funding agreement and its intellectual property provisions, and applicable Federal laws, regulations, and policies, all of which take precedence over the terms of Intellectual Property Management Plans.

ARPA-E has developed a template for Intellectual Property Management Plans <https://arpa-e.energy.gov/technologies/project-guidance/post-award-guidance/project-management-reporting-requirements>) so as to facilitate and expedite negotiations between Project Team members. ARPA-E does not mandate the use of this template. ARPA-E and DOE do not make any warranty (express or implied) or assume any liability or responsibility for the accuracy, completeness, or usefulness of the template. ARPA-E and DOE strongly encourage Project Teams to consult independent legal counsel before using the template.

Awardees are also required, post-award, to submit a Data Management Plan (DMP) that addresses how data generated in the course of the work performed under an ARPA-E award will be preserved and, as appropriate, shared publicly. At that time ARPA-E may negotiate with the Prime Recipient a mutually agreeable list of data that may be released to the public and not

be treated as SBIR/STTR data. The Prime Recipient must submit a completed and signed DMP - as part of the Team's Intellectual Property Management Plan - to ARPA-E within six weeks of the effective date of the ARPA-E funding agreement.

## **6. U.S. COMPETITIVENESS**

A primary objective of DOE's multi-billion dollar research, development and demonstration investments – including ARPA-E awards - is advancement of new energy technologies, manufacturing capabilities, and supply chains for and by U.S. industry and labor. Therefore, in exchange for receiving taxpayer dollars to support an applicant's project, the applicant must agree to the following U.S. Competitiveness Provision as part of an award under this FOA.

### **U.S. Competitiveness**

The Contractor (Prime Recipient in ARPA-E awards) agrees that any products embodying any subject invention or produced through the use of any subject invention will be manufactured substantially in the United States unless the Contractor can show to the satisfaction of DOE that it is not commercially feasible. In the event DOE agrees to foreign manufacture, there will be a requirement that the Government's support of the technology be recognized in some appropriate manner, e.g., alternative binding commitments to provide an overall net benefit to the U.S. economy. The Contractor agrees that it will not license, assign or otherwise transfer any subject invention to any entity, at any tier, unless that entity agrees to these same requirements. Should the Contractor or other such entity receiving rights in the invention(s): (1) undergo a change in ownership amounting to a controlling interest, or (2) sell, assign, or otherwise transfer title or exclusive rights in the invention(s), then the assignment, license, or other transfer of rights in the subject invention(s) is/are suspended until approved in writing by DOE. The Contractor and any successor assignee will convey to DOE, upon written request from DOE, title to any subject invention, upon a breach of this paragraph. The Contractor will include this paragraph in all subawards/contracts, regardless of tier, for experimental, developmental or research work.

A subject invention is any invention conceived or first actually reduced in performance of work under an award. An invention is any invention or discovery which is or may be patentable. The contractor includes any awardee, recipient, sub-awardee, or sub-recipient.

As noted in the U.S. Competitiveness Provision, at any time in which an entity cannot meet the requirements of the U.S. Competitiveness Provision, the entity may request a modification or waiver of the U.S. Competitiveness Provision. For example, the entity may propose modifying the language of the U.S. Competitiveness Provision in order to change the scope of the requirements or to provide more specifics on the application of the requirements for a particular technology. As another example, the entity may

request that the U.S. Competitiveness Provision be waived in lieu of a net benefits statement or U.S. manufacturing plan. The statement or plan would contain specific and enforceable commitments that would be beneficial to the U.S. economy and competitiveness. Commitments could include manufacturing specific products in the U.S., making a specific investment in a new or existing U.S. manufacturing facility, keeping certain activities based in the U.S. or supporting a certain number of jobs in the U.S. related to the technology. If DOE, in its sole discretion, determines that the proposed modification or waiver promotes commercialization and provides substantial U.S. economic benefits, DOE may grant the request and, if granted, modify the award terms and conditions for the requesting entity accordingly.

The U.S. Competitiveness Provision is implemented by DOE pursuant to a Determination of Exceptional Circumstances (DEC) under the Bayh-Dole Act and DOE Patent Waivers. See Section VIII.A, "Title to Subject Inventions", of this FOA for more information on the DEC and DOE Patent Waiver.

## **7. CORPORATE FELONY CONVICTIONS AND FEDERAL TAX LIABILITY**

In submitting an application in response to this FOA, the Applicant represents that:

- It is not a corporation that has been convicted of a felony criminal violation under any Federal law within the preceding 24 months; and
- It is not a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

For purposes of these representations the following definitions apply: A Corporation includes any entity that has filed articles of incorporation in any of the 50 states, the District of Columbia, or the various territories of the United States [but not foreign corporations]. It includes both for-profit and non-profit organizations.

## **8. APPLICANT RISK ANALYSIS**

If selected for award negotiations, ARPA-E may evaluate the risks posed by the Applicant using the criteria set forth at 2 CFR §200.206(b)(ii). ARPA-E may require special award terms and conditions depending upon results of the risk analysis.

## **9. RECIPIENT INTEGRITY AND PERFORMANCE MATTERS**



Prior to making a Federal award, ARPA-E is required to review and consider any information about Applicants that is contained in the Office of Management and Budget's designated integrity and performance system accessible through SAM (currently the Federal Awardee Performance and Integrity Information System or FAPIIS) (41 U.S.C. § 2313 and 2 C.F.R. 200.206).

Applicants may review information in FAPIIS and comment on any information about itself that a Federal awarding agency previously entered into FAPIIS.

ARPA-E will consider any written comments provided by Applicants during award negotiations, in addition to the other information in FAPIIS, in making a judgment about an Applicant's integrity, business ethics, and record of performance under Federal awards when reviewing potential risk posed by Applicants as described in 2 C.F.R. §200.205.

## **10. NONDISCLOSURE AND CONFIDENTIALITY AGREEMENTS REPRESENTATIONS**

In submitting an application in response to this FOA the Applicant represents that:

- (1) **It does not and will not** require its employees or contractors to sign internal nondisclosure or confidentiality agreements or statements prohibiting or otherwise restricting its employees or contractors from lawfully reporting waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.
- (2) **It does not and will not** use any Federal funds to implement or enforce any nondisclosure and/or confidentiality policy, form, or agreement it uses unless it contains the following provisions:
  - a. *"These provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling."*
  - b. The limitation above shall not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

- c. Notwithstanding provision listed in paragraph (a), a nondisclosure confidentiality policy form or agreement that is to be executed by a person connected with the conduct of an intelligence or intelligence-related activity, other than an employee or officer of the United States Government, may contain provisions appropriate to the particular activity for which such document is to be used. Such form or agreement shall, at a minimum, require that the person will not disclose any classified information received in the course of such activity unless specifically authorized to do so by the United States Government. Such nondisclosure or confidentiality forms shall also make it clear that they do not bar disclosure to congress, or to an authorized official of an executive agency or the Department of Justice, that are essential to reporting a substantial violation of law.

## **C. REPORTING**

[TO BE INSERTED BY FOA MODIFICATION IN JUNE 2021]

Recipients are required to submit periodic, detailed reports on technical, financial, and other aspects of the project, as described in Attachment 4 to ARPA-E's Model Cooperative Agreement (<https://arpa-e.energy.gov/technologies/project-guidance/pre-award-guidance/funding-agreements>).

## **VII. AGENCY CONTACTS**

### **A. COMMUNICATIONS WITH ARPA-E**

Upon the issuance of a FOA, only the Contracting Officer may communicate with Applicants. ARPA-E personnel and our support contractors are prohibited from communicating (in writing or otherwise) with 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 are required to submit all questions regarding this FOA to [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov). Questions and Answers (Q&As) about ARPA-E and the FOA are available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, please send an email with the FOA name and number in the subject line to [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov). Due to the volume of questions received, ARPA-E will only answer pertinent questions that have not yet been answered and posted at the above link.

- ARPA-E will post responses on a weekly basis to any questions that are received that have not already been addressed at the link above. ARPA-E may re-phrase questions or consolidate similar questions for administrative purposes.
- ARPA-E will cease to accept questions approximately 10 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.
- Responses are published in a document specific to this FOA under “CURRENT FUNDING OPPORTUNITIES – FAQs” on ARPA-E’s website (<http://arpa-e.energy.gov/faq>).

Applicants may submit questions regarding ARPA-E eXCHANGE, ARPA-E’s online application portal, to [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov). ARPA-E will promptly respond to emails that raise legitimate, technical issues with ARPA-E eXCHANGE. ARPA-E will refer any questions regarding the FOA to [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov).

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.

During the “quiet period,” only the Contracting Officer may authorize communications between ARPA-E personnel and Applicants. The Contracting Officer may communicate with Applicants as necessary and appropriate. As described in Section IV.A of the FOA, the Contracting Officer may arrange pre-selection meetings and/or site visits during the “quiet period.”

**B. DEBRIEFINGS**

ARPA-E does not offer or provide debriefings. ARPA-E provides Applicants with a notification encouraging or discouraging the submission of a Full Application based on ARPA-E's assessment of the Concept Paper. In addition, ARPA-E provides Applicants with reviewer comments on Full Applications before the submission deadline for Replies to Reviewer Comments.

## **VIII. OTHER INFORMATION**

### **A. TITLE TO SUBJECT INVENTIONS**

Ownership of subject inventions is governed pursuant to the authorities listed below:

- Domestic Small Businesses, Educational Institutions, and Nonprofits: Under the Bayh-Dole Act (35 U.S.C. § 200 et seq.), domestic small businesses, educational institutions, and nonprofits may elect to retain title to their subject inventions;
- All other parties: The federal Non-Nuclear Energy Act of 1974, 42 U.S.C. 5908, provides that the government obtains title to new subject inventions unless a waiver is granted (see below):
  - Class Patent Waiver for Domestic Large Businesses: DOE has issued a class patent waiver that applies to this FOA. Under this class patent waiver, domestic large businesses may elect title to their subject inventions similar to the right provided to the domestic small businesses, educational institutions, and nonprofits by law. In order to avail itself of the class patent waiver, a domestic large business must agree to the U.S. Competitiveness Provision in accordance with Section VI.B.8. of this FOA.
  - Advance and Identified Waivers: For applicants that do not fall under the class patent waiver or the Bayh-Dole Act, those applicants may request a patent waiver that will cover subject inventions that may be made under the award, in advance of or within 30 days after the effective date of the award. Even if an advance waiver is not requested or the request is denied, the recipient will have a continuing right under the award to request a waiver for identified inventions, i.e., individual subject inventions that are disclosed to DOE within the time frames set forth in the award's intellectual property terms and conditions. Any patent waiver that may be granted is subject to certain terms and conditions in 10 CFR 784.
- DEC: On June 07, 2021, DOE approved a DETERMINATION OF EXCEPTIONAL CIRCUMSTANCES (DEC) UNDER THE BAYH-DOLE ACT TO FURTHER PROMOTE DOMESTIC MANUFACTURE OF DOE SCIENCE AND ENERGY TECHNOLOGIES. In accordance with this DEC, all awards, including sub-awards, under this FOA made to a Bayh-Dole entity (domestic small businesses and nonprofit organizations) shall include the U.S. Competitiveness Provision in accordance with Section VI.B.8 of this FOA. A copy of the DEC may be found on the DoE website. Pursuant to 37 CFR § 401.4, any Bayh-Dole entity affected by this DEC has the right to appeal it by providing written notice to DOE within 30 working days from the time it receives a copy of the determination.

### **B. GOVERNMENT RIGHTS IN SUBJECT INVENTIONS**

Where Prime Recipients and Subrecipients retain title to subject inventions, the U.S. Government retains certain rights.

## **1. GOVERNMENT USE LICENSE**

The U.S. Government retains a nonexclusive, nontransferable, irrevocable, paid-up license to practice or have practiced for or on behalf of the United States any subject invention throughout the world. This license extends to contractors doing work on behalf of the Government.

## **2. MARCH-IN RIGHTS**

The U.S. Government retains march-in rights with respect to all subject inventions. Through “march-in rights,” the Government may require a Prime Recipient or Subrecipient who has elected to retain title to a subject invention (or their assignees or exclusive licensees), to grant a license for use of the invention. In addition, the Government may grant licenses for use of the subject invention when Prime Recipients, Subrecipients, or their assignees and exclusive licensees refuse to do so.

The U.S. Government may exercise its march-in rights if it determines that such action is necessary under any of the four following conditions:

- The owner or licensee has not taken or is not expected to take effective steps to achieve practical application of the invention within a reasonable time;
- The owner or licensee has not taken action to alleviate health or safety needs in a reasonably satisfactory manner;
- The owner has not met public use requirements specified by Federal statutes in a reasonably satisfactory manner; or
- The U.S. Manufacturing requirement has not been met.

## **C. RIGHTS IN TECHNICAL DATA**

Data rights differ based on whether data is first produced under an award or instead was developed at private expense outside the award.

- Background or “Limited Rights Data”: The U.S. Government will not normally require delivery of technical data developed solely at private expense prior to issuance of an award, except as necessary to monitor technical progress and evaluate the potential of proposed technologies to reach specific technical and cost metrics.
- Generated Data: Pursuant to special statutory authority for SBIR/STTR awards, data generated under ARPA-E SBIR/STTR awards may be protected from public disclosure for twenty years from the date of award in accordance with provisions that will be set forth in the award. In addition, invention disclosures may be protected from

public disclosure for a reasonable time in order to allow for filing a patent application.

#### **D. PROTECTED PERSONALLY IDENTIFIABLE INFORMATION**

Applicants may not include any Protected Personally Identifiable Information (Protected PII) in their submissions to ARPA-E. Protected PII is defined as data that, if compromised, could cause harm to an individual such as identity theft. Listed below are examples of Protected PII that Applicants must not include in their submissions.

- Social Security Numbers in any form;
- Place of Birth associated with an individual;
- Date of Birth associated with an individual;
- Mother's maiden name associated with an individual;
- Biometric record associated with an individual;
- Fingerprint;
- Iris scan;
- DNA;
- Medical history information associated with an individual;
- Medical conditions, including history of disease;
- Metric information, e.g. weight, height, blood pressure;
- Criminal history associated with an individual;
- Ratings;
- Disciplinary actions;
- Performance elements and standards (or work expectations) are PII when they are so intertwined with performance appraisals that their disclosure would reveal an individual's performance appraisal;
- Financial information associated with an individual;
- Credit card numbers;
- Bank account numbers; and
- Security clearance history or related information (not including actual clearances held).

#### **E. FOAs AND FOA MODIFICATIONS**

FOAs are posted on ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/>), Grants.gov (<http://www.grants.gov/>), and FedConnect (<https://www.fedconnect.net/FedConnect/>). Any modifications to the FOA are also posted to these websites. You can receive an e-mail when a modification is posted by registering with FedConnect as an interested party for this FOA. It is recommended that you register as soon as possible after release of the FOA to ensure that you receive timely notice of any modifications or other announcements. More information is available at <https://www.fedconnect.net>.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line). AR-314-03.19



## **F. OBLIGATION OF PUBLIC FUNDS**

The Contracting Officer is the only individual who can make awards on behalf of ARPA-E or obligate ARPA-E to the expenditure of public funds. A commitment or obligation by any individual other than the Contracting Officer, either explicit or implied, is invalid.

ARPA-E awards may not be transferred, assigned, or assumed without the prior written consent of a Contracting Officer.

## **G. REQUIREMENT FOR FULL AND COMPLETE DISCLOSURE**

Applicants are required to make a full and complete disclosure of the information requested in the Business Assurances & Disclosures Form. Disclosure of the requested information is mandatory. Any failure to make a full and complete disclosure of the requested information may result in:

- The rejection of a Concept Paper, Full Application, and/or Reply to Reviewer Comments;
- The termination of award negotiations;
- The modification, suspension, and/or termination of a funding agreement;
- The initiation of debarment proceedings, debarment, and/or a declaration of ineligibility for receipt of Federal contracts, subcontracts, and financial assistance and benefits; and
- Civil and/or criminal penalties.

## **H. RETENTION OF SUBMISSIONS**

ARPA-E expects to retain copies of all Concept Papers, Full Applications, Replies to Reviewer Comments, and other submissions. No submissions will be returned. By applying to ARPA-E for funding, Applicants consent to ARPA-E's retention of their submissions.

## **I. MARKING OF CONFIDENTIAL INFORMATION**

ARPA-E will use data and other information contained in Concept Papers, Full Applications, and Replies to Reviewer Comments strictly for evaluation purposes.

Concept Papers, Full Applications, Replies to Reviewer Comments, and other submissions containing confidential, proprietary, or privileged information should be marked on the cover page with the following:

Notice of Restriction on Disclosure and Use of Data:

*This document contains trade secrets or commercial or financial information that is privileged or confidential and exempt from public disclosure and is submitted only for the purposes of internal agency review of this Application. The Government may not use or disclose any information herein without permission.*

The header and footer of every page that contains confidential, proprietary, or privileged information must be marked as follows: "Contains Confidential, Proprietary, or Privileged Information Exempt from Public Disclosure."

**J. ADDITIONAL NOTICES**

- This FOA is intended for informational purposes and reflects current planning. If there is any inconsistency between the information contained herein and the terms of any resulting SBIR or STTR funding agreement, the terms of the funding agreement are controlling.
- Before award of an SBIR or STTR funding agreement, ARPA-E may request the selectee to submit certain organizational, management, personnel, and financial information to assure responsibility of the Prime Recipient. In addition, selectees will be required to make certain legal commitments at the time of execution of funding agreements resulting from this FOA. ARPA-E encourages Prime Recipients to review the Model Cooperative Agreement for SBIR/STTR Awards, which is available at <https://arpa-e.energy.gov/?q=site-page/funding-agreements>.
- ARPA-E will not pay a fee or profit on Cooperative Agreements resulting from this FOA to recipients or subrecipients.
- Actual or suspected fraud, waste, or abuse may be reported to the DOE Office of Inspector General (OIG) at 1-800-541-1625.

**K. COMPLIANCE AUDIT REQUIREMENT**

A prime recipient organized as a for-profit entity expending \$750,000 or more of DOE funds in the entity's fiscal year (including funds expended as a Subrecipient) must have an annual compliance audit performed at the completion of its fiscal year. For additional information, refer to Subpart F of: (i) 2 C.F.R. Part 200, and (ii) 2 C.F.R. Part 910.

If an educational institution, non-profit organization, or state/local government is either a Prime Recipient or a Subrecipient, and has expended \$750,000 or more of Federal funds in the entity's fiscal year, the entity must have an annual compliance audit performed at the completion of its fiscal year. For additional information refer to Subpart F of 2 C.F.R. Part 200.

## **IX. GLOSSARY**

**Applicant:** The entity that submits the application to ARPA-E. In the case of a Project Team, the Applicant is the lead organization listed on the application.

**Application:** The entire submission received by ARPA-E, including the Preliminary Application, Full Application, Reply to Reviewer Comments, and Small Business Grant Application (if applicable).

**ARPA-E:** is the Advanced Research Projects Agency – Energy, an agency of the U.S. Department of Energy.

**Cost Sharing:** Is the portion of project costs from non-Federal sources that are borne by the Prime Recipient (or non-Federal third parties on behalf of the Prime Recipient), rather than by the Federal Government.

**Deliverable:** A deliverable is the quantifiable goods or services that will be provided upon the successful completion of a project task or sub-task.

**DOE:** U.S. Department of Energy.

**DOE/NNSA:** U.S. Department of Energy/National Nuclear Security Administration

**FFRDCs:** Federally Funded Research and Development Centers.

**FOA:** Funding Opportunity Announcement.

**GOCOs:** U.S. Government Owned, Contractor Operated laboratories.

**GOGOs:** U.S. Government Owned, Government Operated laboratories.

**Milestone:** A milestone is the tangible, observable measurement that will be provided upon the successful completion of a project task or sub-task.

**Nonprofit Organizations** (or *nonprofits*): Has the meaning set forth at 2 C.F.R. § 200.70.

**Prime Recipient:** The signatory to the funding agreement with ARPA-E.

**PI:** Principal Investigator.

**Project Team:** A Project Team consists of the Prime Recipient, Subrecipients, and others performing or otherwise supporting work under an ARPA-E funding agreement.

**SBA:** U.S. Small Business Administration.

**SBIR:** Small Business Innovation Research Program.

**Small Business:** Small businesses are domestically incorporated entities that meet the criteria established by the U.S. Small Business Administration's (SBA) "Table of Small Business Size Standards Matched to North American Industry Classification System Codes" (NAICS) (<http://www.sba.gov/content/small-business-size-standards>).

**Small Business Concern:** A for-profit entity that: (1) maintains a place of business located in the United States; (2) operates primarily within the United States or makes a significant contribution to the United States economy through payment of taxes or use of American products, materials or labor; (3) is an individual proprietorship, partnership, corporation, limited liability company, joint venture, association, trust, or cooperative; and (4) meets the size eligibility requirements set forth in 13 C.F.R. § 121.702. Where the entity is formed as a joint venture, there can be no more than 49% participation by foreign business entities in the joint venture. Such joint ventures must submit the VCOC/FJV Certification (the eighth component of the Full Application).

**Standalone Applicant:** An Applicant that applies for funding on its own, not as part of a Project Team.

**STTR:** Small Business Technology Transfer Program.

**Subject Invention:** Any invention conceived or first actually reduced to practice under an ARPA-E funding agreement.

**Task:** A task is an operation or segment of the work plan that requires both effort and resources. Each task (or sub-task) is connected to the overall objective of the project, via the achievement of a milestone or a deliverable.

**Total Project Cost:** The sum of the Prime Recipient share and the Federal Government share of total allowable costs. The Federal Government share generally includes costs incurred by GOGOs, FFRDCs, and GOCOs.

**TT&O:** Technology Transfer and Outreach. (See Section IV.G.8 of the FOA for more information).