

# SCALEUP Ready Self-Assessment

## Background:

- This document is intended to be referenced by potential applicants to the SCALEUP Ready NOFO as an initial gauge of readiness to request an optional Pre-Submission Discussion with ARPA-E Technology-to-Market Advisors (T2M) and/or submit an application for SCALEUP funding.
- Competitive SCALEUP applicants should be able to answer 'yes' to these questions and/or have a well-articulated strategy to address any gaps in their commercialization plan.
- While no requirement exists to document or submit applicant responses to these questions to apply for SCALEUP, potential applicants are highly encouraged to review the following questions prior to requesting an optional Pre-Submission Discussion (as described in Section IV.B of the NOFO) and/or submitting a SCALEUP application in eXCHANGE.
- Applicants should review the SCALEUP Ready NOFO, including all Eligibility and Compliance Criteria (Section II of the NOFO), in its entirety when completing an application for funding. In the event of any discrepancy between this document and the NOFO, the NOFO is the controlling document.

## Self-Assessment Questions:

1. Do you own or have an exclusive license to intellectual property ("subject inventions" or software) previously funded by ARPA-E that would be applied in the proposed SCALEUP project? (Subject inventions are any invention conceived or first actually reduced to practice in the performance of an ARPA-E award.) Eligible projects will be based upon subject inventions made in the performance of work under the original ARPA-E award with the intent to advance the innovative results to practical application **and to which a patent has been obtained or a domestic patent application (including a provisional application) has been filed at the time the SCALEUP Full Application is submitted.** Only organizations leveraging subject inventions that were created during an ARPA-E award, reported in the iEdison system, **and are the subject of filed a U.S patent application or an issued U.S. patent** (with the exception of some software products) are eligible for funding under this program.
2. SCALEUP awardees, and their sub-awardees/licensees, must agree that any products embodying any subject invention or produced through the use of any subject invention will be manufactured substantially in the United States. Based on your current commercialization strategy, do you anticipate that you will be able to comply with the U.S. manufacturing requirement? If no, do you plan to request a modification/waiver of this requirement?
3. Is your technology sufficiently proven to be ready for a pre-commercial SCALEUP project?
4. If successfully commercialized, will your technology materially contribute to one or more of ARPA-E's statutory goals?
5. Does your technology offer superior cost and/or performance compared to known alternatives – existing and emerging?
6. Do you have a strategy for market entry and subsequent growth?
7. Have you validated your value proposition with prospective customers and confirmed its competitive advantage?

8. Do you have one or more commercialization partners who will contribute to your technology commercialization efforts?
9. Do you thoroughly understand the supply chain and any vulnerabilities that could jeopardize the SCALEUP project or future commercial deployments?
10. Have you identified key technical and non-technical risks for the SCALEUP project and subsequent commercialization, and developed mitigation plans accordingly?
11. Do you have a SCALEUP project plan (schedule, milestones, deliverables, etc.) and budget/cost share funding plan?
12. Are you able to describe exactly how SCALEUP funding would be used, characterize your financial projections with and without SCALEUP funding, and describe future funding needs (along with the plan to secure these funds) to commercialize your technology?
13. Does your team possess all the capabilities necessary to execute the envisioned SCALEUP project?