

QUESTIONS AND ANSWERS

PLEASE REFER TO THE GENERAL FAQs SECTION OF ARPA-E'S WEBSITE ([HTTP://ARPA-E.ENERGY.GOV/?Q=FAQ/GENERAL-QUESTIONS](http://arpa-e.energy.gov/?q=faq/general-questions)) FOR ANSWERS TO MANY GENERAL QUESTIONS ABOUT ARPA-E AND ARPA-E'S FUNDING OPPORTUNITY ANNOUNCEMENTS. ADDITIONAL QUESTIONS SPECIFIC TO THIS FOA ONLY ARE INCLUDED BELOW. PLEASE REVIEW ALL EXISTING GENERAL FAQs AND FOA-SPECIFIC QUESTIONS BEFORE SUBMITTING NEW QUESTIONS TO ARPA-E.

I. Concept Paper Phase Questions:

Q1. The ARPA-E call for GEMINA (DE-FOA-0002174) seeks to reduce operational costs for advanced nuclear reactors and intends to focus on software, design, and procedural changes. However, we are currently working on an advanced thermoelectric power conversion system which would also drastically reduce maintenance costs due to the lack of moving parts. ... Would this topic apply to the GEMINA call despite it being a technological development? Would it fall under the "other" section of technical category B?

ANSWER: Please refer to General Questions 2.7 and 6.19.

Q2. The FOA specifies that technologies focused primarily on Gen II and Gen III LWRs are not of interest. Are solutions for LWR-based small modular reactors (SMRs) eligible?

ANSWER: Yes, LWR-based SMRs are eligible. Reactors that are currently deployed, e.g. large Gen III+ such as the AP-1000, are ineligible.

Q3. With respect to DE-FOA-0002174 for the GEMINA program, can I apply and submit application if my company is not on the list of "teaming partners" as I have missed to request to be on the teaming partner for this program.

ANSWER: Yes.

Q4. Questions on GEMINA FOA cost-share.

Q4.1 If a team is composed of universities, national labs, and industry, where the industry cost (for all industrial partners combined) is less than 20%), does the cost share apply only to that cost, or to the total project cost?

Q4.2 If a team is composed of non-profit (universities, national labs), and industry, where the industry cost (for all industrial partners combined) is less than 20%, AND the industrial partners does NOT seek patent rights, is there a cost share requirement?

ANSWER (FAQs 4.1 and 4.2): Refer to FOA Section III.B.3, 5th bulleted item.

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Q5. We have two questions:

Q5.1 Since advanced reactors are looking to do something different in the arena of operations and maintenance, can the funds be used for NRC meetings, in a pre-licensing phase, to get an understanding of how the NRC would regard various approaches?

ANSWER: Allowability, under any prospective agreement, of costs incurred to participate in Nuclear Regulatory Commission (NRC) meetings requires a fact-based assessment unique to a particular project. If a technology were sufficiently developed to warrant engagement with the NRC, funds might be used for meetings. For early stage technologies, engagement with the NRC to gauge validity of the approach might be warranted but the amount would be small -- i.e., it could be a valid use of funds but it is not expected this would constitute a large fraction of the agreement's approved budget.

Q5.2 Can in-kind [contributions] be used to make up a portion of the cost-share?

ANSWER: The criteria for accepting and valuing in-kind contributions are found at 2 C.F.R. § 200.306(b)(1)-(7). These include 2 C.F.R. § 200.306(b)(5), which bars contributions paid or reimbursed by the Federal Government under another Federal award.

Q6.1 If a large business and a domestic educational institution team up, are they required to provide 10% or 20% of the total project cost?

ANSWER: Refer to General FAQ 4.12.

Q6.2 Should both institutions provide together 10 or 20% of the total project cost ...

ANSWER: Refer to General FAQ 4.17.

Q6.3 ... and can the project team determine how much each project team member will contribute?

ANSWER: Refer to General FAQ 4.17.

Q7. I have a question about [FOA S]ection III.C.3 ... [i]n particular, the line item: *Category A strategies for single components, e.g., a digital twin for a pump.* My proposal would include a single component as part of a larger CPS framework. My question is whether including creating individual pieces, like pumps, as part of a larger system is still responsive to the [FOA]

ANSWER: Yes, including individual pieces as components of a whole is responsive. It would be non-responsive for the project's digital twin to be only a pump and nothing else.

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Q8. My question is in regards to the cost share requirement when a small business is a team member. The team comprises educational institutions, a national lab, and a small business. Our reading of [FOA S]ection [III].B.3 is that the presence of the small business precludes our team from falling under the 0% cost share category defined in the 2nd bullet. However, one of the team members (the DOE National Lab ...) is not allowed to provide any cost share. How do we handle this issue?

ANSWER: Refer to General FAQ 4.17.

II. Full Application Phase Questions:

Q9. Does ARPA-E intend to issue a class patent waiver for the project? If so, will the class patent waiver be issued prior to the contract award?

ANSWER: ARPA-E's programmatic class patent waiver can be found at <https://arpa-e.energy.gov/sites/default/files/ARPA-E%20FY%202017%20Class%20Waiver.pdf>. It is applicable to domestic large businesses that comply with the requirements set forth therein (e.g., providing a minimum of 20% share for the large business' portion of the work). Foreign entities may request a determination that the class patent waiver is applicable to them. Awardees that do not qualify for the class patent waiver have the right to request an individual advanced waiver or may request a waiver if an invention is made during the performance of an award. Refer to 10 C.F.R. 784.

Q10. I have a sub-recipient who will incur 10% of the Total Project Cost. However, the entire 10% will be cost-shared by the sub-recipient and, as such, they will receive no federal funding. Must the sub-recipient in this particular case still complete the Budget Justification Workbook/SF-424A?

ANSWER: Yes. As set forth at 2 C.F.R. § 200.306(b)(6), cost share must be included in the approved agreement budget.

Occasionally, some entities wish to provide cost share, but not be subject to cost share accounting procedures and other sub-award requirements. In such cases, cost share cannot be credited to the project, but the entity may be permitted to participate in the research. Such entities would still be subject to minimum award requirements, including U.S. manufacturing of resulting subject inventions/software.