

QUESTIONS AND ANSWERS

PLEASE REFER TO THE GENERAL FAQs SECTION OF ARPA-E'S WEBSITE (<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. Full Application Phase Questions:

Q1.1 Can funds from an industry sponsor spent before the start of the grant be reimbursed if those funds are spent towards the development of the technology required for the implementation of the studies outlined in the RFP? ...

ANSWER: Refer to FOA Section IV.F.2 for guidance on pre-award costs. ARPA-E agreements are subject to the requirements of 2 C.F.R. Part 200 and provide for reimbursement of actual costs incurred, both direct and indirect, in the performance of work under the agreement, subject to the limitations of the pertinent cost principles (i.e., 2 C.F.R. Part 200, Subpart E or 48 C.F.R. Subpart 31.2). It is fundamental that costs incurred may only be assigned to a single cost objective, or pooled and allocated as indirect cost in proportion to the benefits received. Double billing of cost is not permitted under any circumstance.

Q1.2 Also, can these costs be counted as a cost share?

ANSWER: Refer to FOA Section IV.F.2 for guidance on pre-award costs. Criteria for cost sharing or matching are set forth at 2 C.F.R. § 200.306(b), and 2 C.F.R. § 200.458 addresses pre-award costs (commercial entities should refer to 48 C.F.R. § 31.205-32). Provided any costs incurred comply with both of these principles and the guidance in the aforementioned FOA Section they may be claimed as cost share.

Q2. [W]ould it be acceptable for a single proposal, on account of close interconnections, to address/fulfill more than one "Technical Area of Interest"; although one area would be dominant? For example, if we are developing machine learning tools that address "Technical Area 1. Real-time analysis of MSWI ash" but whose application is directed towards qualifying MSWI ashes as SCMs there is a direct linkage which requires fulfillment of topics noted in "Technical Area 3. MSWI ash upcycling"; e.g., as a means of ascertaining the success of the machine learning tools. As such, if it may be acceptable to fulfill more than 1 Technical Area, in the Technical Volume, should we highlight the dominant area that is being addressed, or also highlight subsidiary areas of relevance?

ANSWER: It is acceptable that a proposal address more than one area.

Q3.1 Is there a limit on capital equipment purchases?

ANSWER: No.

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Q3.2 Can letters of support be included as part of the grant application without infringing on the page limits of the required application documents?

ANSWER: No. Refer to General FAQ 6.5 (though the FAQ concerns Concept Paper submissions the same principle is applied to Full Applications received by ARPA-E).

Q4. We would like to submit a proposal for the DE-FOA-0001953 WiX funding opportunity. Our approach meets Technical Area 3 of the WiX program. However, an intermediate step in the process results in metal recovery, which meets Technical Area 3 of the MIDAS program. The FOA says:

Submissions that propose the following may be deemed non-responsive and will not be merit-reviewed:

- *Solutions focused on metals recovery from MSWI ash. See DE-FOA-0001953 and DE-FOA-0001954 Appendix XIII. Appendix M: Mining Incinerated Disposal Ash Streams*

Does the fact that our process has this intermediate step disqualify the overall proposal? ...

ANSWER: Intermediate steps that result in metal separation as part of the solution for MSWI Ash utilization are not disqualifying. Proposals that focus solely on metals recovery should be submitted under the MIDAS topic (refer to DE-FOA-0001953, Appendix M) .

Q5. What is the expected start date of the grant? I see that awards notifications are expected in November, but how long after the award notification will the grant start?

ANSWER: Approximately 100 calendar days, or about March 2021, depending upon the progress/results of award negotiations.

Q6. My subcontractors would like to know the approval process for reimbursement of pre-award costs further than 90 days out from the start of the grant. Who should be contacted to review this approval, and is there a form that needs to be filled out?

ANSWER: Providing an agreement is concluded with an applicant, ARPA-E will consider the allowability of any pre-award costs incurred as part of the agreement's invoicing process. Refer to Attachment 1, Clause 30 of the ARPA-E Model Cooperative agreement for additional information on the invoicing process, found at <https://arpa-e.energy.gov/?q=site-page/funding-agreements>.

Q7. Regarding FOA 0001953 Targeted Topics M (Mining Incinerated Disposal Ash Streams) and N (Waste into X):

Q7.1 Is it acceptable to submit one proposal for two targeted topics if our technology has the potential to address both?

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ANSWER: It is acceptable to submit an Application that addresses technical areas of interest across ARPA-E Targeted Topics. Each Targeted Topic addresses unique subject matter. Applications are reviewed by individuals knowledgeable in the pertinent areas. ARPA-E will not pre-assess an applicant's proposal. Prospective applicants must review the technical requirements of the FOA and independently determine under which Targeted Topic their proposed concept best warrants a submission.

Q7.2 If yes, what is the process of doing so? Would we submit the same proposal twice, once for each topic? Or would we submit to one program and somehow note that it is applicable to both? ...

ANSWER: Refer to STINPA Topic N FAQ 7.1.

Q8. I am working on a proposal on solicitation DE-FOA-0001953, "Waste into X (WiX)" program. The following three technical areas of interest introduced in the RFP:

Technical Area 1. Real-time analysis of MSWI ash

Technical Area 2. Pre- and/or Post-combustion additions (co-feeds)

Technical Area 3. MSWI ash upcycling

I was wondering if the proposals must address all three areas at the same time, or you will be interested in only one area per proposal.

ANSWER: As set forth at FOA Section III.C.3: *ARPA-E is not limiting the number of submissions from Applicants. Applicants may submit more than one application to each Targeted Topic attached to this FOA, provided that each application is scientifically distinct.* Also refer to STINPA Topic N FAQ 7.1.

Q9. In the technical and market risk section of the Business Assurances and Disclosures form, is the applicant (if lead is small business) required to provide mitigation in these forms to the technical and market risks listed. ...

ANSWER: No, a discussion of risk mitigation is not required for the Business Assurances & Disclosures Form.

Q10. Given the unprecedented circumstances we are in, is it possible that the deadline for MIDAS and MiX be extended for a week or two?

ANSWER: ARPA-E does not anticipate any change to the date or time for submission of application materials.

Q11. I plan to submit an application in response to DE-FOA-0001953. If an applicant submits a request to waive the TT&O cost requirement in the budget, does the applicant still prepare Section 4 (Technology to Market) in the Technical Volume? ...

ANSWER: Applicants are responsible for the content of their application materials, including the Technical Volume. An Applicant's Technology Transfer and Outreach plans are subject to Merit Review as set forth at FOA Section V.A.1.

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Q12. I have a question regarding ARP Ae contracts. I plan to have two large companies involved who wish to put in inkind effort. Within the SOPO, we will very clearly define their role, in terms of deliverables and go/no go milestones. Their question is what measures ARP Ae needs to see to justify the inkind expenses. My guess is that in the proposal we will lay out the costs, which if ARP Ae checks, will be within what the market value is. If we assume that the expenses look inline and the program goes forward, other than doing their part of the project, what will those inkind companies need to do to justify their efforts? Would they simply send me an invoice with the costs zeroed out for each of the things that they did? Would there be anything else they need to provide for the project to satisfy ARP Ae? ...

ANSWER: Criteria for acceptance of cost share or matching are set forth at 2 C.F.R. § 200.306(b). Costs claimed as cost share or matching are subject to the same standards for allowability as costs claimed for reimbursement, and must be shown on each invoice submitted by Recipient. Refer to ARPA-E's model Cooperative Agreement, Attachment A, Clause 30, (found at <https://arpa-e.energy.gov/?q=site-page/funding-agreements>) for more details on the payment process. Also refer to <https://arpa-e.energy.gov/?q=site-page/requesting-reimbursementinvoicing> for more details on the content of invoices submitted to ARPA-E.

Q13. We have a PI who plans to submit to this FOA under "Waste into X" due July 22nd. They plan to include a consultant. Beginning on [Section III.B] of the ... RFP there are details regarding many cost share scenarios. Are we correct in understanding that since we will only have ... faculty and a consultant that we qualify as a "Standalone Applicant" and will not need to include any cost share?

ANSWER: Refer to General FAQ 4.21. Whether an entity qualifies for reduced cost share under one of the criteria set forth at FOA Section III.B.3 requires a fact-based determination concerning the roles the parties will assume in the research project.