

## 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. Full Application Questions:

**Q1. WILL A PDF VERSION OF AN EMAIL CHAIN SUFFICE FOR THE LETTER OF INTENT TO COLLABORATE FROM A TEAM MEMBER?**

**ANSWER:** That is sufficient for the Full Application phase.

**Q2. ON P. 64 THE FOA STATES A MAX. VOLTAGE OF 500 V "ANYWHERE IN THE EXPERIMENT" (TABLE 1. SUMMARY OF CRITERIA/METRICS FOR CATEGORY A: LENR EXPERIMENTS. MAXIMUM INPUT ENERGY OR VOLTAGE  $\leq$  500 EV PER DIRECTLY ENERGIZED PARTICLE, OR  $\leq$  500 V APPLIED VOLTAGE ANYWHERE IN THE EXPERIMENT.)**

**WE ARE CONSIDERING THE USE OF ELECTRON MULTIPLIER TYPE DETECTORS IN OUR PROPOSED EXPERIMENTS. SOME MODELS OF THESE STANDARD DETECTORS REQUIRE BIASES LARGER THAN 500 V. WOULD THESE BE OK TO USE OR EXCLUDED FOR LENR EXPERIMENTS THAT CAN BE CONSIDERED HERE ?**

**ANSWER:** The intent is to set a limit on the experimental input energy, not to limit detection capabilities. "Anywhere in the experiment" should be construed as any portion of the experimental setup that functionally contributes to the generation of the proposed LENR effect.

**Q3. I HAVE A QUESTION ON THE RECENT ANNOUNCEMENT (UPDATED 9/12/22) OF DE-FOA-0002784: EXPLORATORY TOPICS.**

**ALTHOUGH THE SUMMARY NOTES THAT THE ANNOUNCEMENT IS "PURPOSELY BROAD IN SCOPE, AND WILL COVER A WIDE RANGE OF TOPICS TO ENCOURAGE THE SUBMISSION OF THE MOST INNOVATIVE AND UNCONVENTIONAL IDEAS IN ENERGY TECHNOLOGY," IT GOES ON TO NOTE THAT THE TARGETED TOPIC IS "LOW-ENERGY NUCLEAR REACTIONS."**

**SO DOES THIS MEAN THAT A SMALL BUSINESS MANUFACTURER THAT HAS AN ENERGY EFFICIENCY RELATED INNOVATION, BUT IT DOES NOT HAVE A NUCLEAR NEXUS, SHOULD NOT APPLY FOR THIS PARTICULAR FOA?**

**ANSWER:** Small Business are strongly encouraged to apply under the SBIR/STTR version (DE-FOA-0002785), but as long as the eligibility criteria are met under III.A of this FOA, a Small Business can apply.

**Q4. TO WHOM IT MAY CONCERN,**

- 1. THE “PRE-AWARD-GUIDANCE/FUNDING-AGREEMENTS” FAQ STATES GOGO’S CAN BE PRIME RECIPIENTS FUNDED THROUGH AN IAA. HOWEVER, DE-FOA-0002784 RESTRICTS GOGO’S FROM BEING PRIME [P. 64]. IS THIS THE GOVERNING STATEMENT AND PRECLUDES GOGO PRIMES FOR THIS FOA?**
- 2. DOES A PREVIOUS OR CURRENT IAA BETWEEN TWO AGENCIES CONSTITUTE A CONFLICT OF INTEREST FOR RESPECTIVE CATEGORY A AND B PROPOSALS?**
- 3. DOES A PREVIOUS OR CURRENT CRADA RELATIONSHIP BETWEEN AN AGENCY AND A NON-GOVERNMENT PARTNER CONSTITUTE A CONFLICT OF INTEREST?**
- 4. HAS THE CONCEPT PAPER REQUIREMENT BEEN WAIVED FOR THIS FOA? IT IS NOT MENTIONED IN THE FOA.**

**ANSWER:** 1. See Sections II.C.3 and III.A.2. Non-DOE GOGOs are only eligible to apply for funding as a member of a Project Team, but not as a Standalone Applicant or as the lead organization for a Project Team.

2. ARPA-E will not preasses applications. One of the required components of the application is a BUSINESS ASSURANCES & DISCLOSURES FORM which require COI disclosures.

3. See above answer.

4. There is no Concept Paper required for this Topic.

**Q5. [REMOVED]**

**ANSWER:** [Removed]

**Q6. CAN YOU TELL US WHETHER A “WORKING CAPITAL FUND” DOD LABORATORY (E.G. US NAVAL RESEARCH LABORATORY) CAN BE THE “LEAD ORGANIZATION” OR “MEMBER” OF A PROJECT TEAM FOR THIS FOA?**

**ANSWER:** See Section II.C.3. and III.A.2. of the FOA and the answer to Q4.1 above.

**Q7. SOME VERY STRONG REPORTS ON THE PRODUCTION AND MEASUREMENTS OF LENR HAVE COME FROM FOREIGN LABORATORIES.**

**WE (AT [REDACTED]) ARE CONSIDERING TEAMING WITH FOREIGN RESEARCHERS TO WRITE PROPOSALS TO THE EXPECTED LENR PROGRAM. THE EXPERIMENTS WOULD BE DONE PRIMARILY IN THE [REDACTED] LABORATORY IN WASHINGTON DC.**

**IS IT POSSIBLE TO FUND FOREIGN RESEARCHERS FROM ARPA-E PROGRAM FUNDS FOR ANY OF THESE: (A) SALARY, (B) MATERIALS AND EQUIPMENT OR (C) TRAVEL?**

**ANSWER:**



A. Yes, if all of the work is performed in the United States.

B. See Section IV.F.7. of the FOA.

C. See Section IV.F.5 of the FOA.

**Q8. A SMALL BUSINESS THAT DOESN'T MEET THE LOWER COST SHARE REQUIREMENTS HAS A 20% COST SHARE RESPONSIBILITY. DOES THIS REDUCE THE ARPA-E PROJECT GRANT BY THE COST SHARE, OR IS THE 20% COST SHARE COMPUTED FROM THE ARPA-E GRANT PLUS THE COST SHARE?**

**ANSWER:** Please refer to General Questions: section 4. Cost Sharing - Question 4.4.

**Q9. I AM TRYING TO APPLY FOR CFDA NO. 81.135 LOW-ENERGY-NUCLEAR REACTIONS AS CATEGORY A FROM JAPAN, AND I AM HAVING DIFFICULTY IN PREPARING MATERIALS, ESPECIALLY IN PREPARING A BUDGET. [REDACTED].**

**HERE ARE THE QUESTIONS.**

- 1. IT IS SAID THAT EXPENSES WILL ONLY BE PAID FOR WORK IN THE UNITED STATES, SO THE MAIN EXPENSES WILL BE THOSE OF CATEGORY B APPLICANTS WHO DO THE ACTUAL WORK. BUT I DON'T THINK CATEGORY B APPLICANTS WILL BE ABLE TO BUDGET IF THEY DON'T KNOW WHAT THEY'RE GOING TO DO. SINCE IT IS IMPOSSIBLE FOR OUR COMPANY TO INCLUDE OTHER COMPANIES' EXPENSES, IS IT OKAY TO LEAVE THIS SECTION WORK BLANK? OR SHOULD IT BE INCLUDED AS AN ESTIMATE?**
- 2. IT IS SAID THAT IT IS NECESSARY TO ESTABLISH A SUBSIDIARY IN THE UNITED STATES. CAN THIS COST AND ANNUAL MAINTENANCE COSTS (INCLUDING ACCOUNTING) BE ACCOUNTED FOR?**
- 3. I DON'T THINK WE CAN WORK IN AMERICA. ARE THERE ANY EXPENSES THAT CAN BE ACCOUNTED FOR OTHER THAN TRAVEL EXPENSES TO THE UNITED STATES, PATENT EXPENSES, AND PUBLIC RELATIONS EXPENSES?**
- 4. IT SAID THAT OUR COMPANY WILL SUBSIDIZE UP TO \$30,000 FOR FILING AN APPLICATION IN THE UNITED STATES, BUT IT WAS WRITTEN THAT THERE ARE CASES WHERE IT IS ALLOWED TO EXCEED THE LIMIT. IS IT POSSIBLE TO RECORD THE COSTS OF DOMESTIC ENTRY AND RIGHTS ACQUISITION FOR UP TO 12 COUNTRIES?**
- 5. IT IS SAID THAT CONFIDENTIAL INFORMATION SUCH AS ENTRY SHEETS WILL BE PROTECTED, BUT I THINK IT MAY BE VIEWED BY JUDGES AND CATEGORY B APPLICANTS. IS IT POSSIBLE TO MAINTAIN THE NOVELTY OF .WHAT I WROTE ON THE ENTRY SHEET IN TERMS OF PATENTS?**
- 6. THE CONTRACT FOR PATENT RIGHTS WITH CATEGORY B APPLICANTS WILL BE MADE AFTER AWARD, BUT SINCE CATEGORY B APPLICANTS HAVE ALREADY SEEN THE ENTRY SHEET, CATEGORY B APPLICANTS MAY PRESS FOR A CONTRACT FAVORABLE TO THEMSELVES. COULD ARPA-E ACT AS AN INTERMEDIARY?**

**ANSWER:** 1. It should be included as an estimate.

2. ARPA-E will not pay for cost relating to establishing a subsidiary in the US.

3. Please review section IV.F Funding Sections of the FOA. Specifically, ARPA-E requires all work under ARPA-E funding agreements to be performed 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.

4. No.
5. All Entry Sheets will be kept confidential.
6. ARPA-E will not share an applicant's submissions with any other (Category A or Category B) applicants.

**Q10. QUESTION: EXPLORATORY TOPICS DE-FOA-0002784 AND 0002785. CATEGORY B, DIAGNOSTIC CAPABILITY TEAMS HAVE GREAT UNCERTAINTY REGARDING THE SPECIFIC DIAGNOSTICS OR LEVELS OF EFFORT REQUIRED, OR THE NUMBER OF CATEGORY A, EXPERIMENTAL TEAMS THAT MIGHT BE AWARDED. WE HAVE DISCUSSED EXPECTED DIAGNOSTICS SUPPORT LIKELY TO BE REQUESTED WITH VARIOUS EXPERIMENTAL TEAMS. CAN CATEGORY B TEAMS REQUEST CATEGORY A TEAMS PROVIDE SUPPORT BEYOND A CERTAIN DIAGNOSTIC LEVEL OF EFFORT?**

**ANSWER:** It is up to each applicant to prepare a budget that corresponds with the work proposed in the technical volume. For Category B teams, this could include the anticipated work that will be performed for an estimated number of Category A teams that the Category B team specifies in its application. Category A Teams will not be expected or required to provide support directly to Category B teams, and ARPA-E reserves the right to make any necessary adjustments to project scope and associated budget for a Category B team's project during award negotiations.

**Q11. I AM TRYING TO APPLY FOR CFDA NO. 81.135 LOW-ENERGY-NUCLEAR REACTIONS AS CATEGORY A FROM JAPAN. HERE ARE SOME QUESTIONS.**

**P9/11 OF "BUDGET\_JUSTIFICATION\_WORKBOOK\_-SF-424A\_- \_GUIDANCE"**

**THE FOLLOWING LINKS IN NOTE FOR PATENT COSTS: ARE BROKEN.**

**ATTACHMENT 2 TO THE FUNDING AGREEMENT ([HTTP://ARPA-E.ENERGY.GOV/FUNDINGAGREEMENTS/COOPERATIVEAGREEMENTS.ASPX](http://arpa-e.energy.gov/fundingagreements/cooperativeagreements.aspx)).**

**ALSO, UNDER THAT IS WRITTEN "SECTION IV.G.3 OF THE FOA", BUT I CAN'T FIND SUCH AN ITEM.**

**ANSWER:** The link and FOA reference have been corrected in the updated "SF-424A / Budget Justification Workbook – Guidance".