

SCALEUP FOA MODIFICATION 3 – POSTED APRIL 22, 2020

QUESTIONS AND ANSWERS

This is a summary of changes – in question and answer (Q&A) format – as described in Modification 3 of the SCALEUP FOA. The SCALEUP FOA language, as modified, will control if there are any inconsistencies between this Q&A document and the FOA. All Applicants are strongly encouraged to carefully read the modified SCALEUP FOA posted on April 22, 2020.

1. What has ARPA-E modified in the SCALEUP FOA?

Below is a summary of the modifications ARPA-E has made to the SCALEUP FOA. Please refer to the actual FOA text for more information on these changes; all modifications are highlighted in yellow within the SCALEUP FOA document.

- The total amount to be awarded under SCALEUP increased to approximately \$60 million.
- The submission deadlines for Preliminary Applications, replies to Preliminary Application Reviewer comments, and Semi-Finalist and Grant notifications have been extended.
- The required cost share has been decreased.
- Information has been provided on the withdrawal and revision of Preliminary Applications previously submitted.
- The in-person SCALEUP Workshop was cancelled and replaced with a SCALEUP Launch Pad website, Semi-Finalist Bootcamp Webinar, and virtual Workshop Series.

2. Why is ARPA-E reopening the Preliminary Application phase of the SCALEUP FOA?

In response to the COVID-19 public health emergency, ARPA-E modified the SCALEUP FOA to provide financial relief to Applicants through reduced cost share requirements, and to move all in-person events to a virtual format. Because of the changes in cost-share requirements, the Preliminary Application submission phase has been reopened to allow all potential new Applicants the opportunity to apply, as well as allowing current Applicants the opportunity to modify their Applications.

3. What is the new deadline for Preliminary Application submissions?

The new deadline for new and resubmissions to the modified FOA is 9:30 AM ET, Thursday, May 7, 2020.

4. I am a large for-profit organization applying for the SCALEUP FOA. How do the cost share modifications affect my team?

Per Section III.B.2 of the modified SCALEUP FOA, a large business Applicants' total cost share requirement is reduced to 33^{1/3}% of Total Project Costs. Cost share payments may also be deferred for a period of time – approximately one year – depending on the actual rate of expenditures.

5. I am a small business applying for the SCALEUP FOA. How do the cost share modifications effect my team?

Per Section III.B.2 of the modified SCALEUP FOA, a small business Applicants' total cost share requirement is reduced to 20% of Total Project Costs. Cost share payments may also be deferred for a period of time – approximately one year – depending on the actual rate of expenditures.

6. I am a non-profit organization applying for the SCALEUP FOA. How do the cost share modifications affect my team?

Per Section III.B.2 of the modified SCALEUP FOA, a non-profit Applicant must provide the same cost share as a large business. See answer to Question 4 above.

7. I am a small business applying for the SCALEUP FOA and my team members are exclusively universities, non-profits, and/or national labs. Am I eligible for the reduced cost share?

Please see Question 5 above for information on reduction in the base cost share requirement available for teams led by small businesses. A reduction is only available when a small business (or consortia of small businesses) is a Standalone applicant or performing equal to or greater than 80% of the total project work. As ARPA-E may not provide pre-submission assessments on a Project Team's specific cost sharing requirement, Applicants should carefully review the revised cost sharing requirements for the SCALEUP FOA.

8. Since ARPA-E is reopening the Preliminary Application phase, is the program funding amount increasing? Will more projects be selected for award negotiations?

The total amount of funding under SCALEUP has increased to approximately \$60 million. ARPA-E may or may not increase the number of projects selected for award negotiations.

9. I have already submitted a Preliminary Application. Am I required to re-submit my application in order to continue my participation in the SCALEUP FOA?

No action by those who have already submitted Preliminary Applications is required to continue participation in the SCALEUP FOA. However, as discussed in Section IV.A.2 of the FOA, Preliminary Applications previously submitted may be revised and resubmitted; resubmission is required in order to propose the reduced cost share per the FOA modifications.

10. I have already submitted a Preliminary Application and it was deemed non-compliant/non-responsive. Can I resubmit my prior application?

A SCALEUP Preliminary Application that has been determined to be non-compliant or non-responsive may not be resubmitted. Applicants may participate in the modified SCALEUP FOA by submitting a new Preliminary Application.

11. I have already submitted a Preliminary Application and do not plan to resubmit. How will my prior application be evaluated relative to newly submitted Preliminary Applications?

The previous feedback and reviewer comments will remain unchanged. Prior submissions with no revisions will not undergo additional review or be provided additional reviewer comments.

12. I am a potential new applicant to the SCALEUP FOA. How will my Preliminary Application be reviewed relative to those that have already been submitted?

The same evaluation criteria and merit review process will apply to all Applications, whether new, revised, or unchanged. New and revised Preliminary Application submissions, except Preliminary Applications that are modified only to revise the Federal and cost shared amounts, will be subjected to Merit Review, receive Reviewer Comments, and be given an opportunity to reply as described in Section IV.A.3.

13. I would ONLY like to revise the proposed cost share within my prior Preliminary Application submission. What is the simplest way to modify my prior submission?

Eligible Applicants choosing to revise a previously submitted Preliminary Application may do so by using the eXCHANGE “Edit” function and submitting **Microsoft Word** file(s) showing all changes in the document text using the software’s “Track Changes” feature. The file(s), when displayed for review in Track Changes “Simple Markup” mode, must conform to all formatting instructions set forth in FOA Section IV.C and FOA Section VII.G, including page limitations.

Revised Preliminary Applications must show only text and graphics that were deleted and added in the revised application relative to original application. Revised Applications **must not** track internal phases of revision or include margin comments. In addition, if Letter(s) of Intent and/or a Small Business Grant Application were included within the original submission, these documents must also be resubmitted.

14. I would like to revise my prior Preliminary Application submission. May I make changes to my prior submission beyond revising cost share? How do I submit the revisions to my prior Preliminary Application on eXCHANGE?

Yes, previously submitted Preliminary Applications can be modified beyond revising cost share. See response above to Question 13 regarding the resubmission process.

15. I would like to add a Small Business Grant Application to my prior Preliminary Application submission. Is this possible? How do I modify my prior submission?

Yes, previously submitted Preliminary Applications can be modified to include a Small Business Grant Application.

If there are no other changes to the prior submission, the Small Business Grant Application can be uploaded to eXCHANGE without withdrawing any previously submitted documents. If modifications are being made to the previously submitted Preliminary Application, the see response above to Question 13 regarding the resubmission process.

16. I would like to add a Letter of Intent to my prior Preliminary Application submission. Is this possible? How do I modify my prior submission?

Yes, previously submitted Preliminary Applications can be modified to include Letter(s) of Intent.

If there are no other changes to the prior submission, the Letter(s) of Intent can be uploaded to eXCHANGE without withdrawing any previously submitted documents. If modifications are being made to the previously submitted Preliminary Application, the see response above to Question 13 regarding the resubmission process.

17. Can I revise my prior Preliminary Application submission and submit a new proposed project via an additional Preliminary Application?

Yes, ARPA-E reopened the Preliminary Application phase of the SCALEUP FOA, and is accepting both revisions to previously submitted, as well as new, Preliminary Applications.