

**FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY ANNOUNCEMENT**



**ADVANCED RESEARCH PROJECTS AGENCY – ENERGY (ARPA-E)  
U.S. DEPARTMENT OF ENERGY**

**OPTIMIZING NUCLEAR WASTE AND ADVANCED REACTOR  
DISPOSAL SYSTEMS (ONWARDS) SBIR/STTR**

Announcement Type: **Initial Announcement Modification 01**  
Funding Opportunity No. DE-FOA-0002531  
CFDA Number 81.135

Funding Opportunity Announcement (FOA) Issue Date:	May 19, 2021
First Deadline for Questions to <a href="mailto:ARPA-E-CO@hq.doe.gov">ARPA-E-CO@hq.doe.gov</a> :	5 PM ET, June 30, 2021
Submission Deadline for Concept Papers:	9:30 AM ET, Friday, July 9, 2021
Second Deadline for Questions to <a href="mailto:ARPA-E-CO@hq.doe.gov">ARPA-E-CO@hq.doe.gov</a> :	5 PM ET, <b>Friday, September 24, 2021</b>
Submission Deadline for Full Applications:	9:30 AM ET, <b>Thursday, October 7, 2021</b>
Submission Deadline for Replies to Reviewer Comments:	5 PM ET, <b>Wednesday, November 24, 2021</b>
Expected Date for Selection Notifications:	January 2022
Total Amount to Be Awarded	Approximately \$40 million, subject to the availability of appropriated funds to be shared between FOAs DE-FOA-0002530 and DE-FOA-0002531.
Anticipated Awards	ARPA-E may issue one, multiple, or no awards under this FOA. Awards may vary between \$259,613 and \$3,721,115.

- For eligibility criteria, see Section III.A – III.D of the FOA.
- For cost share requirements under this FOA, see Section III.E of the FOA.
- To apply to this FOA, Applicants must register with and submit application materials through ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/Registration.aspx>). For detailed guidance on using ARPA-E eXCHANGE, see Section IV.H.1 of the FOA.
- Applicants are responsible for meeting each submission deadline. Applicants are strongly encouraged to submit their applications at least 48 hours in advance of the submission deadline.
- For detailed guidance on compliance and responsiveness criteria, see Sections III.F.1 through III.F.4 of the FOA.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

## **MODIFICATIONS**

All modifications to the Funding Opportunity Announcement (FOA) are highlighted in yellow in the body of the FOA.

<b>Mod. No.</b>	<b>Date</b>	<b>Description of Modifications</b>
<b>01</b>	<b>AUGUST 23, 2021</b>	<ul style="list-style-type: none"> <li>• Inserted certain deadlines, including the deadlines for submitting questions and Full Applications, see Cover Page and Required Documents Checklist.</li> <li>• Clarified Unit Measurement. See Section I.E.II of the FOA.</li> <li>• Included additional information on Technical Performance Targets. See Section I.F of the FOA.</li> <li>• Revised the Required Documents Checklist and Sections IV.D, IV.E, and IV.G of the FOA to provide guidance on required application forms and the content and form of Full Applications and Replies to Reviewer Comments. Applicants are strongly encouraged to use the templates provided on ARPA-E eXCHANGE (<a href="https://arpa-e-foa.energy.gov">https://arpa-e-foa.energy.gov</a>).</li> <li>• Inserted criteria that ARPA-E will use to evaluate Full Applications, see Section V.A.2 of the FOA.</li> <li>• Inserted criteria that ARPA-E will use to evaluate Replies to Reviewer Comments in Section V.A.3 of the FOA.</li> <li>• Inserted information on the anticipated announcement and award dates, see Section V.C of the FOA.</li> <li>• Inserted information concerning Full Application Notifications, see Section VI.A.3 of the FOA.</li> <li>• Inserted Administrative and National Policy Requirements, see Section VI.B of the FOA.</li> <li>• Inserted Reporting Requirements, see Section VI.C of the FOA</li> <li>• Updated information on Title to Subject Inventions, see Section VIII.A of the FOA.</li> </ul>

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## REQUIRED DOCUMENTS CHECKLIST

For an overview of the application process, see Section IV.A of the FOA.

For guidance regarding requisite application forms, see Section IV.B of the FOA.

For guidance regarding the content and form of Concept Papers, Full Applications, and Replies to Reviewer Comments, see Sections IV.C, IV.D, and IV.E of the FOA.

SUBMISSION	COMPONENTS	OPTIONAL/ MANDATORY	FOA SECTION	DEADLINE
Concept Paper	<ul style="list-style-type: none"> <li>Each Applicant must submit a Concept Paper in Adobe PDF format by the stated deadline. The Concept Paper must not exceed 6 pages in length and must include the following: <ul style="list-style-type: none"> <li>Concept Summary</li> <li>Innovation and Impact</li> <li>Proposed Work</li> <li>Team Organization and Capabilities</li> </ul> </li> </ul>	Mandatory	IV.C	9:30 AM ET, July 9, 2021
Full Application	<ul style="list-style-type: none"> <li>Each Applicant must submit a Technical Volume in Adobe PDF format by the stated deadline. The Technical Volume must include the following: <ul style="list-style-type: none"> <li>Executive Summary (1 page max.)</li> <li>Sections 1-5 (23 pages max.) <ul style="list-style-type: none"> <li>1. Innovation and Impact</li> <li>2. Proposed Work</li> <li>3. Team Organization and Capabilities</li> <li>4. Technology to Market</li> <li>5. Budget</li> </ul> </li> <li>Bibliographic References (no page limit)</li> <li>Personal Qualification Summaries (each Personal Qualification Summary limited to 3 pages in length, no cumulative page limit)</li> </ul> </li> <li>The Technical Volume must be accompanied by: <ul style="list-style-type: none"> <li>SF-424 (no page limit, Adobe PDF format);</li> <li>Budget Justification Workbook/SF424A (no page limit, Microsoft Excel format);</li> <li>Summary for Public Release (250 words max., Adobe PDF format);</li> <li>SBA Company Registration Certificate generated in the SBA Company Registry; (<a href="http://sbir.gov/registration">http://sbir.gov/registration</a>) (Adobe PDF format);</li> <li>If applicable, Certification for Applicants that are (a) Majority-Owned by Multiple Venture Capital Operating Companies, Hedge Funds, or Private Equity Firms; and/or (b) joint ventures minority-owned by a foreign entity (Adobe PDF format);</li> <li>Summary Slide (1 page limit, Microsoft PowerPoint format); and Completed and signed Business</li> </ul> </li> </ul>	Mandatory	IV.D	9:30 AM ET, Thursday, October 7, 2021

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

	Assurances & Disclosures Form (no page limit, Adobe PDF format).			
Reply to Reviewer Comments	<ul style="list-style-type: none"><li>• Each Applicant may submit a Reply to Reviewer Comments in Adobe PDF format. This submission is optional. The Reply may include:<ul style="list-style-type: none"><li>○ Up to 2 pages of text; and</li><li>○ Up to 1 page of images.</li></ul></li></ul>	Optional	IV.E	5 PM ET, Wednesday, November 24, 2021



## **I. FUNDING OPPORTUNITY DESCRIPTION**

### **A. AGENCY OVERVIEW**

The Advanced Research Projects Agency – Energy (ARPA-E), an organization within the Department of Energy (DOE), is chartered by Congress in the America COMPETES Act of 2007 (P.L. 110-69), as amended by the America COMPETES Reauthorization Act of 2010 (P.L. 111-358), as further amended by the Energy Act of 2020 (P.L. 116-260) to:

- “(A) to enhance the economic and energy security of the United States through the development of energy technologies that—
  - (i) reduce imports of energy from foreign sources;
  - (ii) reduce energy-related emissions, including greenhouse gases;
  - (iii) improve the energy efficiency of all economic sectors;
  - (iv) provide transformative solutions to improve the management, clean-up, and disposal of radioactive waste and spent nuclear fuel; and
  - (v) improve the resilience, reliability, and security of infrastructure to produce, deliver, and store energy; and
- (B) to ensure that the United States maintains a technological lead in developing and deploying advanced energy technologies.”

ARPA-E issues this Funding Opportunity Announcement (FOA) under its authorizing statute codified at 42 U.S.C. § 16538. The FOA and any awards made under this FOA are subject to 2 C.F.R. Part 200 as supplemented by 2 C.F.R. Part 910.

ARPA-E funds research on and the development of transformative science and technology solutions to address the energy and environmental missions of the Department. The agency focuses on technologies that can be meaningfully advanced with a modest investment over a defined period of time in order to catalyze the translation from scientific discovery to early-stage technology. For the latest news and information about ARPA-E, its programs and the research projects currently supported, see: <http://arpa-e.energy.gov/>.

**ARPA-E funds transformational research.** Existing energy technologies generally progress on established “learning curves” where refinements to a technology and the economies of scale that accrue as manufacturing and distribution develop drive down the cost/performance metric in a gradual fashion. This continual improvement of a technology is important to its increased commercial deployment and is appropriately the focus of the private sector or the applied technology offices within DOE. By contrast, ARPA-E supports transformative research that has the potential to create fundamentally new learning curves. ARPA-E technology projects typically start with cost/performance estimates well above the level of an incumbent technology. Given the high risk inherent in these projects, many will fail to progress, but some may succeed in generating a new learning curve with a projected cost/performance metric that is significantly lower than that of the incumbent technology.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

**ARPA-E funds technology with the potential to be disruptive in the marketplace.** The mere creation of a new learning curve does not ensure market penetration. Rather, the ultimate value of a technology is determined by the marketplace, and impactful technologies ultimately become disruptive – that is, they are widely adopted and displace existing technologies from the marketplace or create entirely new markets. ARPA-E understands that definitive proof of market disruption takes time, particularly for energy technologies. Therefore, ARPA-E funds the development of technologies that, if technically successful, have clear disruptive potential, e.g., by demonstrating capability for manufacturing at competitive cost and deployment at scale.

**ARPA-E funds applied research and development.** The Office of Management and Budget defines “applied research” as an “original investigation undertaken in order to acquire new knowledge...directed primarily towards a specific practical aim or objective” and defines “experimental development” as “creative and systematic work, drawing on knowledge gained from research and practical experience, which is directed at producing new products or processes or improving existing products or processes.”<sup>1</sup> Applicants interested in receiving financial assistance for basic research (defined by the Office of Management and Budget as “experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts”)<sup>2</sup> should contact the DOE’s Office of Science (<http://science.energy.gov/>). Office of Science national scientific user facilities (<http://science.energy.gov/user-facilities/>) are open to all researchers, including ARPA-E Applicants and awardees. These facilities provide advanced tools of modern science including accelerators, colliders, supercomputers, light sources and neutron sources, as well as facilities for studying the nanoworld, the environment, and the atmosphere. Projects focused on early-stage R&D for the improvement of technology along defined roadmaps may be more appropriate for support through the DOE applied energy offices including: the Office of Energy Efficiency and Renewable Energy (<http://www.eere.energy.gov/>), the Office of Fossil Energy (<http://fossil.energy.gov/>), the Office of Nuclear Energy (<http://www.energy.gov/ne/office-nuclear-energy>), and the Office of Electricity Delivery and Energy Reliability (<http://energy.gov/oe/office-electricity-delivery-and-energy-reliability>).

## **B. SBIR/STTR PROGRAM OVERVIEW**

The Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs are Government-wide programs authorized under Section 9 of the Small Business Act (15 U.S.C. § 638). The objectives of the SBIR program are to (1) stimulate technological innovation in the private sector, (2) strengthen the role of Small Business Concerns in meeting Federal R&D needs, (3) increase private sector commercialization of innovations derived from Federal R&D activities, (4) foster and encourage participation by socially and economically

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<sup>1</sup> OMB Circular A-11 ([https://www.whitehouse.gov/wp-content/uploads/2018/06/a11\\_web\\_toc.pdf](https://www.whitehouse.gov/wp-content/uploads/2018/06/a11_web_toc.pdf)), Section 84, pg. 3.

<sup>2</sup> OMB Circular A-11 ([https://www.whitehouse.gov/wp-content/uploads/2018/06/a11\\_web\\_toc.pdf](https://www.whitehouse.gov/wp-content/uploads/2018/06/a11_web_toc.pdf)), Section 84, pg. 3.

disadvantaged and women-owned Small Business Concerns, and (5) improve the return on investment from Federally funded research and economic benefits to the Nation. The objective of the STTR program is to stimulate cooperative partnerships of ideas and technologies between Small Business Concerns and partnering Research Institutions through Federally funded R&D activities.<sup>3</sup>

ARPA-E administers a joint SBIR/STTR program in accordance with the Small Business Act and the SBIR and STTR Policy Directive issued by the U.S. Small Business Administration (SBA).<sup>4</sup> ARPA-E provides SBIR/STTR funding in three phases (Phase I, Phase II, and Phase IIS).

### C. PROGRAM OVERVIEW

The program goal of ONWARDS is to support the development of technologies that address significant challenges to closing the back-end (see Figure 1) of advanced reactor (AR) nuclear fuel cycles<sup>5</sup>. Specifically, projects funded under the ONWARDS Program will develop and demonstrate sustainable technologies that will significantly improve the *disposal impact* (Section I.D below) of used nuclear fuel (UNF)<sup>6</sup> and other waste streams stemming from the implementation of AR fuel cycles by developing innovative and cost-effective approaches in reprocessing<sup>7</sup>, material accountancy, and waste forms. ONWARDS metrics include an order-of-magnitude reduction in AR waste volume generation or repository footprint compared to light-water nuclear reactors (LWR)<sup>8</sup>, better than 1% fissile-mass accountancy in reprocessing streams, development of high-performance AR waste forms for a variety of potential deep-geological repositories (DGR) and disposal concepts, and costs in the range of \$1/megawatt-hour (MWh).

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<sup>3</sup> Research Institutions include FFRDCs, nonprofit educational institutions, and other nonprofit research organizations owned and operated exclusively for scientific purposes. Eligible Research Institutions must maintain a place of business in the United States, operate primarily in the United States, or make a significant contribution to the U.S. economy through the payment of taxes or use of American products, materials, or labor.

<sup>4</sup> See 84 Fed. Reg. 12794 (Apr. 2, 2019).

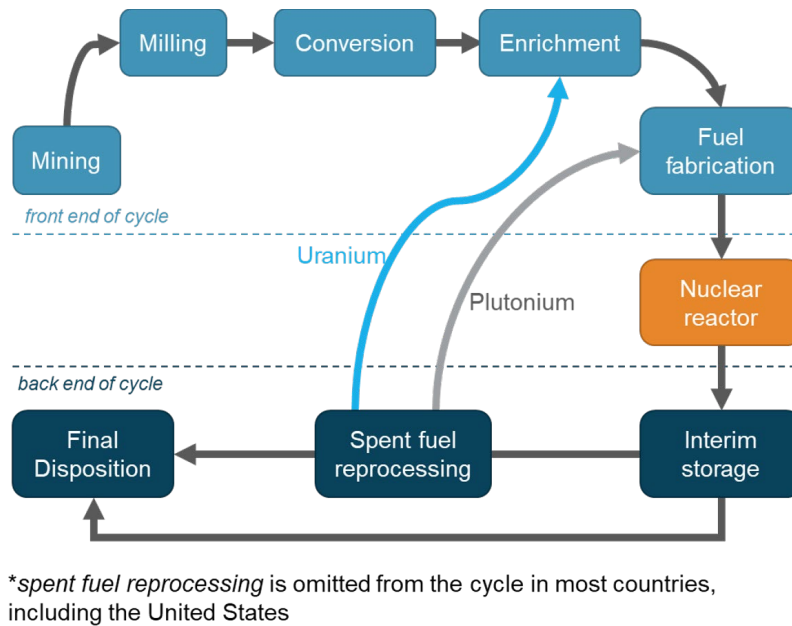
<sup>5</sup> Generation IV (Gen IV) ARs designs include, but are not limited to, very-high temperature reactors (VHTR), molten-salt reactors (MSR), supercritical-water-cooled reactors (SCWR), gas-cooled fast reactors (GFR), sodium-cooled fast reactor (SFR), and lead-cooled fast reactors (LFR). [https://www.gen-4.org/gif/jcms/c\\_59461/generation-iv-systems](https://www.gen-4.org/gif/jcms/c_59461/generation-iv-systems)

<sup>6</sup> UNF is also known as “spent nuclear fuel” (SNF). <https://www.energy.gov/ne/articles/5-fast-facts-about-spent-nuclear-fuel>

<sup>7</sup> Reprocessing refers generally to the processes used to separate spent nuclear reactor fuel into nuclear materials that may be recycled for use in new fuel and material that would be discarded as waste.

Nuclear Regulatory Commission. 2021. “Reprocessing”. <https://www.nrc.gov/materials/reprocessing.html>

<sup>8</sup> U.S. Nuclear Regulatory Commission (NRC). “Light water reactor”. August 25, 2020. <https://www.nrc.gov/reading-rm/basic-ref/glossary/light-water-reactor.html>



**Figure 1: Nuclear Fuel Cycle**

This FOA is focused on supporting the development of viable technologies to achieve these metrics. Technical categories of interest are identified in Section I.E of the FOA. Performance targets for the technical categories of interest are provided in Section I.F of the FOA. Section I.G of the FOA provides information on research resources and teaming partnerships that may support Applicants in successfully completing the research and development (R&D) activities necessary to demonstrate the viability of the proposed technology.

Early consideration of the back-end of the fuel cycle in the AR design process offers a unique opportunity to develop technologies to improve the disposal impact of AR UNF. ONWARDS addresses both open (once-through, no reprocessing) and closed (reprocessing) AR fuel cycles to capture the widest range of likely fuel cycles and to proactively mitigate the disposal impact of waste streams, waste forms, safety and security issues, and final disposition of AR wastes. This Program seeks to enable proliferation-resistant fuel cycles for ARs with an emphasis on minimizing the impact of AR fuel cycle wastes. ONWARDS will be an important complement to ARPA-E's existing nuclear energy research portfolio, such as the MEITNER<sup>9</sup> and GEMINA<sup>10</sup> programs in AR R&D, further ensuring the commercial viability of innovative new ARs. Figure 2 below shows the complementary nature of ARPA-E R&D in this space using a hypothetical AR Closed Fuel Cycle example.

<sup>9</sup> *Modeling-Enhanced Innovations Trailblazing Nuclear Energy Reinvigoration (MEITNER)* seeks to identify and develop innovative technologies that can enable designs for lower cost, safer advanced nuclear reactors. <https://arpa-e.energy.gov/technologies/programs/meitner>

<sup>10</sup> *Generating Electricity Managed by Intelligent Nuclear Assets (GEMINA)* aims to develop digital twin technology for advanced nuclear reactors and transform operations and maintenance (O&M) systems in the next generation of nuclear power plants. <https://arpa-e.energy.gov/technologies/programs/gemina>

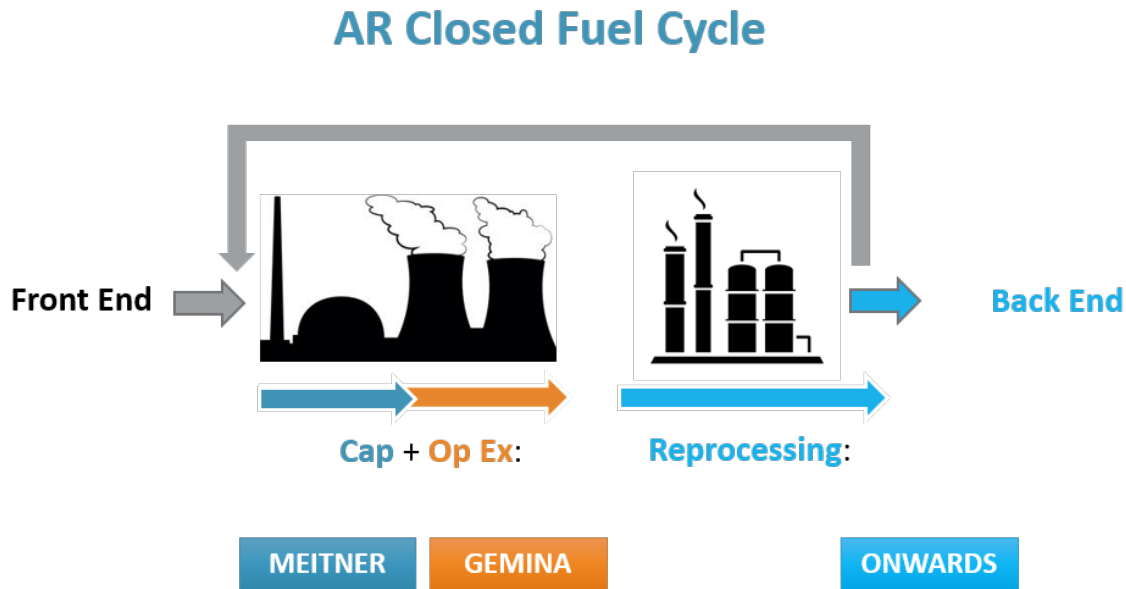


Figure 2 ARPA-E research and development in the advanced reactor technology space

Although the total volume of wastes from the current and likely future fleets of nuclear reactors is small<sup>11</sup> compared to many other energy resources, the special nature of the wastes (e.g., radioactivity, potential for diversion) have posed challenges that, to date, have not been addressed satisfactorily enough to achieve the final disposition of high-level wastes (HLW)<sup>12</sup> from any commercial nuclear fuel cycle<sup>13</sup>. The lack of a clear final disposition path poses a challenge not only to the sustainability of the current fleet of LWRs, but also to the development and deployment of the next generation of ARs. By identifying and addressing challenges at the back end of the fuel cycle before the deployment of future AR technologies, ONWARDS will support the removal of substantial barriers to the growth of advanced nuclear energy. Additionally, by supporting this R&D during the pre-deployment phase of AR fuel cycles, ONWARDS seeks to leverage the possibility of co-development synergies throughout the AR fuel cycles.

It is recognized that R&D of enabling back-end technologies to support U.S. AR fuel cycles may necessitate access to research resources (e.g., materials, facilities, software, computing resources, subject matter experts) to support the development and testing of sensors in a high

<sup>11</sup> U.S. Department of Energy's (USDOE) Office of Nuclear Energy (NE). "5 Fast Facts about Spent Nuclear Fuel". March 30, 2020. <https://www.energy.gov/ne/articles/5-fast-facts-about-spent-nuclear-fuel>

<sup>12</sup> NRC. "High-level radioactive waste (HLW)". March 09, 2021. <https://www.nrc.gov/reading-rm/basic-ref/glossary/high-level-radioactive-waste-hlw.html>

<sup>13</sup> A. David Rossin. "U. S. Policy On Spent Fuel Reprocessing: The Issues". *Frontline*. 2014. <https://www.pbs.org/wgbh/pages/frontline/shows/reaction/readings/rossin.html>

radiation environment<sup>14</sup>, for the processing of nuclear fuel, for the storage and disposal of radioactive and/or hazardous materials, hot-cells and gloveboxes, and high-performance computing codes and facilities, among other needs. Applicants without existing access to such research resources are encouraged to establish teaming relationships with commercial entities, National Laboratories, universities, etc., with such research resources in order to successfully complete their proposed R&D activities. Applicants without access to required research resources or teaming relationships that enable access to required research resources **will not be disqualified**, nor will they be deemed nonresponsive at the Concept Paper stage for that reason alone; however, applicants at the Full Application stage will need to be able to demonstrate that they have access to the research resources needed to successfully complete R&D activities under the subsequent full-application FOA. Additional information regarding research resources and teaming relationships can be found in Section I.G of the FOA.

#### **D. PROGRAM OBJECTIVES**

This Program will support breakthrough R&D that will facilitate the growth of AR fuel cycles and advanced nuclear energy by addressing significant challenges at the back-end of AR nuclear fuel cycles. Specifically, ONWARDS seeks to support development of technologies that enable:

- An order-of-magnitude reduction (compared to a no-reprocessing baseline) in waste volumes or repository footprint with no weakening of existing safeguards standards<sup>15</sup>.
- Development of safeguards technologies for AR UNF processing for which there is no existing economically and/or technically viable solution. The goal is to achieve better than 1% accuracy<sup>16</sup> in fissile<sup>17</sup> mass measurement of representative samples in UNF processing in high-radiation backgrounds.
- Proliferation-resistant recycling of uranium (U) and transuranic (TRU) materials<sup>18</sup> for new AR fuel stock. No pure fissile material streams produced during processing, as defined by less than 0.1% actinides by mass in resultant waste stream.
- High durability waste forms for AR UNF (specifically for TRISO fuel, metallic fuel, and/or molten salt reactor (MSR) fuel wastes) across multiple disposal environments.

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<sup>14</sup> As defined in 10 CFR 20.1003, a "High radiation area means an area, accessible to individuals, in which radiation levels from radiation sources external to the body could result in an individual receiving a dose equivalent in excess of 0.1 rem (1 mSv) in 1 hour at 30 centimeters from the radiation source or 30 centimeters from any surface that the radiation penetrates." <https://www.nrc.gov/reading-rm/doc-collections/cfr/part020/part020-1003.html>

It should be noted that UNF radiation levels may be orders of magnitude higher than the 10 CFR 20.1003 level, and consequently the sensors may need to be operate in these much higher regimes.

<sup>15</sup> NRC. "Nuclear Security and Safeguards". August 24, 2020. <https://www.nrc.gov/security.html>

<sup>16</sup> ISO 5725-2:2019, "Accuracy (trueness and precision) of measurement methods and results — Part 2: Basic method for the determination of repeatability and reproducibility of a standard measurement method" <https://www.iso.org/standard/69419.html>

<sup>17</sup> NRC. "Fissile material". March 9, 2021. <https://www.nrc.gov/reading-rm/basic-ref/glossary/fissile-material.html>

<sup>18</sup> National Academies. *Proliferation Risk in Nuclear Fuel Cycles: Workshop Summary*; Chapter 3: "Technical Assessment of Proliferation Resistance". (2011). <https://www.nap.edu/read/13259/chapter/5>

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).



- Global system disposal costs in the range of \$1.00/MWh<sup>19</sup>.

The exact nature of the technologies that will determine the needs for the back-end of future AR fuel cycles is both presently undetermined and likely to evolve over time as ARs are deployed and technologies are updated. Therefore, **ARPA-E seeks submissions that include technologies that can span multiple AR fuel cycles, disposal concepts, and environments while achieving otherwise high performance.** Further, while this Program requires proposed technologies to be specific to AR fuel cycle concepts, ARPA-E also is interested in submissions that include technologies with backwards compatibility to existing commercial LWR fuel cycle wastes<sup>20</sup>, assuming otherwise high performance.

ARPA-E has identified six impact areas as the most important areas that need to be addressed in the development of novel technologies to support the disposal of wastes from AR fuel cycles. Collectively these areas form the disposal impact concept, and submissions to this FOA must describe how the proposed technological innovation, if successful, would affect them. Concept Papers need not necessarily address all of these areas, but collective improvements in one area will be assessed against negative impacts to other areas, and applications that make the greatest positive impacts in as many of these areas as possible while minimizing potential negative impacts in each of the areas are encouraged. The six impact areas are:

- i) **Economics:** How will the proposed technology impact the economics of the overall fuel cycle; specifically, what impact will the technology have on the cost of the back-end of the fuel cycle?
- ii) **Existing Infrastructure Utilization:** How will the proposed technology leverage the existing nuclear infrastructure; alternatively, what substantial investments need to be made to successfully implement the proposed technology?
- iii) **Regulatory Requirements:** Is the proposed technology compatible with the existing U.S. nuclear regulatory framework? If not, briefly summarize the significant areas of deviation from existing regulations and the reason(s) an acceptable solution may be developed in the future.
- iv) **Resource Utilization:** How does the proposed technology promote resource conservation and recovery or otherwise reduce the consumption of raw materials?
- v) **Safeguards and Security:** How does the proposed technology impact the safeguarding and security of special nuclear and other sensitive materials? Summarize significant areas of deviation from recognized safeguarding standards (e.g., 10 CFR Part 75) and the reason(s) why you think this might be acceptable in the future.
- vi) **Siting Options and Requirements:** Summarize the impact the proposed technology would have on the ability to site a permanent disposal, an interim storage, or other

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<sup>19</sup> This is consistent with the fee of 1.0 mill per kilowatt-hour (\$0.001/kWh, equal to \$1.00/MWh) set by the *Nuclear Waste Policy Act of 1982*, as amended, to fund the Nuclear Waste Fund.

<sup>20</sup> World Nuclear Association. "Nuclear Fuel Cycle Overview" (Updated May 2020). <https://www.world-nuclear.org/information-library/nuclear-fuel-cycle/introduction/nuclear-fuel-cycle-overview.aspx>

process facility. Describe the impact the proposed technology would have on existing requirements for such a facility.

## **E. TECHNICAL CATEGORIES OF INTEREST**

Three AR fuel cycle concepts, and their variants, are presently considered most promising; however, a fourth fuel cycle concept, “Other FC”, has been provided to capture breakthrough fuel cycle technologies:

- 1) TRi-structural ISOtropic particle (TRISO) fuel cycles<sup>21</sup>
- 2) Metallic fuel cycles<sup>22</sup>
- 3) Molten salt fuel cycles<sup>23</sup>
- 4) Other FC<sup>24</sup>

Three technological categories have been identified as offering the most likely avenues to achieving substantial improvements in disposal impact for the above AR fuel cycles and will thus form the technical categories of this FOA. A fourth category, “Other”, has been provided to capture breakthrough technologies that do not fit into the three listed technological areas, but that could nonetheless enable the overall goals of the program as specified in Section I.D of this FOA. These categories are:

- i) Category 1 - Process solutions: This technology area includes process improvements that minimize waste volumes, improve intrinsic proliferation resistance of actinide separations, increase resource utilization efficiency, and bolster commercialization.
- ii) Category 2 - Safeguards solutions: This technology area includes improved sensor, analysis, and data fusion technologies that will allow for accurate, secure, and timely accounting of nuclear materials (a requirement for proliferation resistance).
- iii) Category 3 - Waste form solutions: This technology area includes waste forms solutions for AR fuel cycles with a particular emphasis on waste forms for waste streams from pyroprocessing of UNF or spent fuel from metallic fuel reactors or MSRs.
- iv) Category 4 - Other: This category is provided for submissions which do not cleanly fall into the above three categories, but that have the potential of meeting overall programmatic objectives (detailed in Section I.D of this FOA). Submissions must

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<sup>21</sup> USDOE NE. “TRISO Particles: The Most Robust Nuclear Fuel on Earth”. July 9, 2019. <https://www.energy.gov/ne/articles/triso-particles-most-robust-nuclear-fuel-earth>

<sup>22</sup> NRC. “Nuclear Metal Fuel: Characteristics, Design, Manufacturing, Testing, and Operating History”. White Paper 18-01, Prepared by the Fast Reactor Working Group. June 2018. <https://www.nrc.gov/docs/ML1816/ML18165A249.pdf>

<sup>23</sup> World Nuclear Association. “Molten Salt Reactors” (Updated December 2020). <https://www.world-nuclear.org/information-library/current-and-future-generation/molten-salt-reactors.aspx>

<sup>24</sup> World Nuclear Association. “Nuclear Fuel and its Fabrication” (Updated September 2020). <https://www.world-nuclear.org/information-library/nuclear-fuel-cycle/conversion-enrichment-and-fabrication/fuel-fabrication.aspx>



make a compelling case for inclusion based on improvement the submission would deliver to the fuel cycle disposal impact.

Each applicant is required to indicate their primary technological area(s) of focus, as well as any secondary area(s), if appropriate.

### **I. Category 1 – Process solutions**

Process solutions includes all processes in fuel fabrication and UNF processing that reduce waste (e.g., by recycling uranium and/or plutonium into new nuclear fuel) or otherwise improve the final waste forms or repository performance (e.g., an order of magnitude reduction in waste volumes or repository footprint with no weakening of existing safeguards standards). A further goal is reducing actinide content in process waste streams to less than 0.1% by mass. The focus will be on recycling technologies, which are discussed below in more detail. There is also interest in processes besides recycling, e.g., process technologies that change the final waste to improve its disposal impact. Examples include:

- Separating >99% of cesium and strontium (either into one or two separate streams) from all other process stream or waste streams.
- Removal of >99% of insoluble fission products from fuel-containing molten salts.

Alternatively, separations that remove the most commercially valuable fission products could provide an alternative revenue-stream to help reduce the cost of the back-end of AR fuel cycles.

### **Processing Technologies**

Many advanced fuel cycles rely on separation of some or all the actinides from the fission products, allowing fissile material to remain in the fuel cycle<sup>25</sup>. The separation of long- and short-lived nuclides can reduce the volume of material that requires long-term storage<sup>26</sup>; however, the production of new high-volume waste streams (e.g., added solvents, off-gas, equipment) must be minimal relative to a once-through fuel cycle and have an established path to a robust waste form or final disposition. Further, an economically viable fuel cycle requires that any separation technology must have market appropriate capital and operating costs.

A variety of approaches currently exist that have been, or could be, used for the separations of UNF, including aqueous processing (solvent extraction), pyroprocessing, gaseous fluorination, supercritical CO<sub>2</sub>, and chromatography.<sup>27</sup> Of interest to this FOA are technologies that address a linchpin issue that currently limits a technology's deployment for the management of AR UNF. Furthermore, technologies that are compatible with the production of follow-on fuel cycle needs (e.g., refueling, transmutation, isotope production) are sought.

<sup>25</sup> International Atomic Energy Agency (IAEA). "Spent Fuel Reprocessing Options". IAEA-TECDOC-1587. 2008. [https://www-pub.iaea.org/MTCD/publications/PDF/te\\_1587\\_web.pdf](https://www-pub.iaea.org/MTCD/publications/PDF/te_1587_web.pdf)

<sup>26</sup> Baptista, Annibal; Parker, Joshua; Park, Jung-Ho. "Advantages and disadvantages of nuclear fuel reprocessing". *Energia Nucleara*; v. 19(1-2); p. 32-35. [https://inis.iaea.org/search/search.aspx?orig\\_q=RN:39071523](https://inis.iaea.org/search/search.aspx?orig_q=RN:39071523)

<sup>27</sup> World Nuclear Association. "Processing of Used Nuclear Fuel" (Updated December 2020). <https://www.world-nuclear.org/information-library/nuclear-fuel-cycle/fuel-recycling/processing-of-used-nuclear-fuel.aspx>

While the Safeguards solutions portion of the FOA, Category 2 below, specifically discusses the development of sensors, monitoring, and other enabling technologies relevant to monitoring and safeguarding a nuclear processing *facility*, the role of safeguards and security-by-design must also be considered in processing technologies developed here (e.g., proposed technologies shall not generate pure plutonium streams) and any processing solution proposed shall not make safeguarding more challenging. Technologies should be proposed that encourage proliferation-resistance and/or intrinsically limit, at the chemical level, production of pure plutonium streams. ARPA-E is interested in process and production designs that would improve economics, security, and provide opportunities for safeguarding.

While breakthroughs in process efficiency that increase proliferation-resistant characteristics are of interest, so are technologies that could chemically prevent the production of pure plutonium streams.

As the two predominant processing approaches currently available, the specific examples of solvent extraction and pyroprocessing are discussed in greater detail below. However, as previously stated, novel technologies that enable other processing approaches are also of interest.

### Solvent Extraction

The current standard method for separation of UNF, and the only method presently practiced on an industrial scale, is the PUREX (Plutonium Uranium Reduction EXtraction)<sup>28</sup> process. PUREX can also be modified to separate minor actinides, through processes like CoDCon (co-decontamination) or COEX (co-extraction of actinides). Since this FOA seeks innovative separations technologies, improvements to PUREX or other technologies considered during the Global Nuclear Energy Partnership (GNEP, now the International Framework for Nuclear Energy Cooperation, IFNEC)<sup>29</sup>, such as NPEX (Neptunium / Plutonium EXtraction), TALSPEAK (Trivalent Actinide Lanthanide Separation with Phosphorus-Reagent Extraction from Aqueous Komplexes), TALSQUEAK (Trivalent Actinide–Lanthanide Separation using Quicker Extractants and Aqueous Komplexes, sometimes referred to as Advanced TALSPEAK) and ALSEP (Actinide Lanthanide Separation Process)<sup>30</sup>, will only be of interest to ARPA-E under this FOA if they are

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<sup>28</sup> *ibid*

<sup>29</sup> World Nuclear Association. "International Framework for Nuclear Energy Cooperation (Updated November 2016). <https://world-nuclear.org/information-library/current-and-future-generation/international-framework-for-nuclear-energy-coopera.aspx>

<sup>30</sup> Gelis, Artem & Vandegrift, Georg & Bakel, Allen & Bowers, Delbert & Hebden, Andrew & Pereira, Candido & Regalbuto, Monica. (2009). Extraction behaviour of actinides and lanthanides in TALSPEAK, TRUEX and NPEX processes of UREX+. *Radiochimica Acta*.  
[https://www.researchgate.net/publication/244745650\\_Extraction\\_behaviour\\_of\\_actinides\\_and\\_lanthanides\\_in\\_TALSPEAK\\_TRUEX\\_and\\_NPEX\\_processes\\_of\\_UREX](https://www.researchgate.net/publication/244745650_Extraction_behaviour_of_actinides_and_lanthanides_in_TALSPEAK_TRUEX_and_NPEX_processes_of_UREX)

Zarzana, Christopher A., Dean R. Peterman, Gary S. Groenewold, Lonnie G. Olson, Rocklan G. McDowell, William F. Bauer, and Sabrina J. Morgan. "Investigation of the impacts of gamma radiolysis on an advanced TALSPEAK

shown to significantly improve, as delineated in Section I.F of the FOA, the disposal impact for one or more AR fuel cycles relative to their current version.

Many opportunities exist for the development of alternative solvent extraction technologies that would disrupt the processing landscape. Technologies that would enable the co-recovery of the AR fuel cycle relevant actinides (i.e., uranium through americium) in a single separation step could improve both the economics and potentially proliferation resistance. Other technologies that could improve the group separations of the actinides are also of interest.

### Pyroprocessing

Pyroprocessing is the high-temperature, non-aqueous, electrochemical separation of UNF into different streams for re-use and/or disposal<sup>31</sup>. Pyroprocessing is potentially attractive for production of fuel for some fast-spectrum AR fuel cycles from used LWR fuel because the TRU elements, including plutonium, are not separated from each other, providing a level of proliferation defense-in-depth.<sup>32</sup> The high radiation field from the other TRU waste helps to mitigate the proliferation risk that would otherwise be associated with a process that enables the separation of pure plutonium.

Technologies that reduce the cost and footprint of future repositories, while maintaining or improving the safety, selectivity, and reliability of pyroprocessing, are of interest. This may include technologies that enable reduction and/or synergistic combinations of unit operations, make batch operations continuous, simplify the handling and disposition of waste streams, or completely new processes that improve the cost-effectiveness, safety, and/or security of the pyroprocessing. Any new technologies must not increase the presence of actinides in waste streams, relative to state-of-the-art (SOA) capabilities, and shall not make safeguarding more challenging.

One important area of interest is pyroprocessing techniques with respect to different AR fuel types. Pyroprocessing has been demonstrated on metallic and molten salt fuels. Since many different AR designs and fuel types are being proposed, the ideal advancement in pyroprocessing technology would be applicable to a variety of AR designs and fuel types. It is required that all submissions related to this category discuss which types of fuels they are prepared to handle, and, what, if any, processing needs to be performed to handle different fuel types.

For metallic fuels, previous work includes alloy-forming liquid metal cathode and non-alloying solid metal cathodes. In these areas, research goals would include improved process

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separation." Separation Science and Technology 50, no. 18 (2015): 2836-2843.  
<https://www.osti.gov/pages/servlets/purl/1294594>

<sup>31</sup> Michael F. Simpson. "Developments of Spent Nuclear Fuel Pyroprocessing Technology at Idaho National Laboratory" (INL/EXT-12-25124). March 2012. <https://inl.idigitallibrary.inl.gov/sites/sti/sti/5411188.pdf>

<sup>32</sup> Argonne National Laboratory. "Recycling Used Nuclear Fuel for a Sustainable Energy Future". 2018.  
[https://www.anl.gov/sites/www/files/2018-10/Pyroprocessing\\_brochure\\_2018.pdf](https://www.anl.gov/sites/www/files/2018-10/Pyroprocessing_brochure_2018.pdf)

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demonstrations or significant innovations that reduce cost or improve safety, selectivity, and reliability.

For molten salt fuels, possible areas of interest for developing these technologies could include prototype-scale demonstrations/proof-of-principle combined with a conceptual model of a processing plant, and explorations of ideal operational parameters. In addition, due to the non-discrete nature of molten salt fuels, in-situ monitoring of fissile material is highly important for alleviating proliferation concerns. Monitoring must be real-time, rapid and high-precision, even within a high-radiation environment.

## **II. Category 2 - Safeguards solutions**

AR fuel cycles may include UNF process steps not presently employed in the existing LWR commercial fleet. For example, pyroprocessing of metal fast reactor fuel includes dissolution of the fuel in a salt bath. This and other processing steps pose new safeguards challenges for determining and accounting for fissile material. The focus of this Technical Category is fissile material accountancy measurement technologies that will meet regulatory requirements and be accomplished at low time delay periods (latency) within the processing facility.

As discussed in Section I.E.I of the FOA, processing of UNF often involves steps where the UNF has been transformed into a bulk form that is highly radioactive. The non-discrete form of the UNF during processing combined with a high radiation background poses major challenges for measuring the fissile material in-process or reconciling at end of process. Obtaining unique photon, neutron, or alpha signatures under these conditions are constrained by the difficulty of achieving the requisite signal to noise ratio (SNR) and full or unbiased sampling of the UNF process volume. The required measurement latency time should be commensurate with the processing time (i.e., the fissile mass accountancy should be obtained before the processed UNF leaves the process Material Balance Areas, MBA)<sup>33</sup>.

The U.S. Department of Energy's Office of Nuclear Energy (DOE NE) Materials Protection, Accounting, and Control Technologies (MPACT)<sup>34</sup> program highlights the challenges and possible solutions to safeguarding UNF processing. The MPACT program has studied advanced

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<sup>33</sup> IAEA Material Balance Area means an area established for IAEA material accounting purposes, so that:  
(1) The quantity of nuclear material in each transfer into or out of each material balance area can be determined; and  
(2) The physical inventory of nuclear material in each material balance area can be determined when necessary in accordance with specified procedures.

NRC. 10 CFR 75.4, "Definitions". June 04, 2018. <https://www.nrc.gov/reading-rm/doc-collections/cfr/part075/part075-0004.html>

<sup>34</sup> Durkee, et al. (2016) "Material Protection, Accounting, and Control Technologies (MPACT) Advanced Integration Roadmap". Los Alamos National Laboratory. <https://doi.org/10.2172/1329653>.  
<https://www.osti.gov/servlets/purl/1329653>.

Cipiti, et al. (2017) "Material Protection, Accounting and Control Technologies (MPACT) Implementation Plan Lab-Scale Demonstration of Advanced Safeguards and Security Systems", INL/EXT-17-43112. Idaho National Laboratory. [https://inldigitallibrary.inl.gov/sites/sti/sti/Sort\\_3239.pdf](https://inldigitallibrary.inl.gov/sites/sti/sti/Sort_3239.pdf)

safeguards- and security-by-design for a generic electrochemical processing facility that illustrates many of the requirements to meet regulatory and non-proliferation requirements. MPACT's approach serves as an example of an overall safeguards-by-design scheme and highlights some fissile mass measurement technologies that pertain to the technical focus of this category.

Passive and active non-destructive analyses (NDA) will be considered under this FOA, as well as systems that sample the processing volume to extract representative unbiased samples. In all cases, the analysis must be performed on-site at the processing facility with the requisite latency discussed above. The goal is to achieve better than 1% accuracy in fissile mass measurement of representative samples in bulk UNF processing in high radiation backgrounds (gamma doses ~1000 R/hr (10Sv/h) or neutron emission rates ~ 10<sup>4</sup> – 10<sup>5</sup> neutron/sec).

Examples of technologies that are in scope of this category include, but are not limited to:

- In-process passive and/or active NDA of fissile material, with an emphasis on unambiguous signatures, low latency, functionality in harsh environments and favorable life-cycle costs
  - Passive radiation signatures: gamma, neutron and alpha spectroscopy and characteristic X-rays<sup>35</sup>
  - Active radiation signatures: excitation of characteristic X-rays, k-edge densitometry laser-induced spectroscopy<sup>36</sup>, visible and near visible spectroscopy, nuclear resonance fluorescence, neutron interrogation including induced fission, neutron multiplicity<sup>37</sup>
- Process modifications and sampling technologies that significantly improve NDA accuracy and volumetric sampling
- Modeling, to include sensor processing and data fusion, volumetric sampling analysis, and/or machine learning and artificial intelligence (AI/ML) techniques to extract greater "signal"
- Data fusion of multiple signatures and process control variables, AI/ML and other data analysis tools that enable achievement of mass accountancy metrics will also be considered

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<sup>35</sup> Fensin, Michael L., Steven J. Tobin, Howard O. Menlove, and Martyn T. Swinhoe. "Quantifying the passive gamma signal from spent nuclear fuel in support of determining the plutonium content in spent nuclear fuel with nondestructive assay" No. LA-UR-09-03900; LA-UR-09-3900. Los Alamos National Lab. (LANL). 2009. <https://www.osti.gov/servlets/purl/990302>

<sup>36</sup> Cook, Matthew Tyler. "Hybrid K-edge densitometry as a method for materials accountancy measurements in pyrochemical reprocessing." (2015). [https://trace.tennessee.edu/cgi/viewcontent.cgi?article=4694&context=utk\\_graddiss](https://trace.tennessee.edu/cgi/viewcontent.cgi?article=4694&context=utk_graddiss)

<sup>37</sup> Tiitta, Antero. "NDA verification of spent fuel, monitoring of disposal canisters, interaction of safeguards and safety issues in the final disposal." In Safeguards for final disposal of spent nuclear fuel: Methods and technologies for the Olkiluoto site, pp. A1-A16. Radiation and Nuclear Safety Authority STUK, 2003. <http://citeseerx.ist.psu.edu/viewdoc/download?doi=10.1.1.568.2123&rep=rep1&type=pdf>

Passive radiation signatures that have been proposed<sup>38</sup> include gamma, alpha, and neutron spectroscopy and temporal correlation analysis; calorimetry; and microcalorimetry. A particular issue with many passive spectroscopic methodologies is extremely high radiation background (gamma doses ~1000 R/hr (10Sv/h) or neutron emission rates ~  $10^4 - 10^5$  neutron/sec) during in-process monitoring that results in a low SNR, high (or completely overloaded) detector dead time and short detector lifetimes. Neutron measurements are subject to limitations due to non-specificity of neutron flux to fissile content (e.g., Cm background) and neutron multiplication in bulk processes. Active NDA technologies have also been proposed<sup>39</sup> for NDA at various steps and MBAs in the UNF process flow sheets. Active systems often have much greater footprint, complexity, and resource requirements, as well as maintenance and uptime issues. Control and process state monitoring, and other inferential measurements such as voltammetry, off-gas monitoring, and bulk properties measurements (e.g., mass, density), are also of interest. However, a clear quantitative description of how these inferential variables contribute to the unambiguous fissile mass accountancy must be provided. Other categories of interest include improvement in signal processing, increase in SNR from better shielding, pulse shape analysis, data fusion of complimentary isotopic signatures, spatial and temporal correlation of measurements, and advanced AI/ML techniques to enhance anomaly detection and/or improve accuracy.

Simulation and modeling of the design-by-safeguards will be considered only if a reasonable case can be made that it significantly expands upon prior detailed studies or offers a fundamentally different and beneficial operation and measurement protocol from currently accepted practice.

Submissions to this category must propose cost-effective material balancing technologies that satisfy safeguards regulatory requirements to enable commercial-scale processing of UNF. Technologies that significantly advance the SOA with a life cycle cost consistent with the economics of UNF processing are encouraged, as are projects that can demonstrate the technology at a scale that can be reasonably extrapolated to production scale and across multiple processing technologies.

### **III. Category 3 - Waste form solutions**

Two essential characteristics govern waste performance in disposal systems. First is the capacity for immobilizing the radioactive or hazardous constituents incorporated in the waste form. Some materials chemically incorporate radioactive constituents at atomic scales, while other encapsulate constituents by physically surrounding and isolating them. The second essential characteristic is the durability of the waste form, which is a measure of the physical and chemical resistance of a waste form material to alteration which allows the associated release of contained radioactive and hazardous materials. The durability of a waste form

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<sup>38</sup> Jamie B. Coble, Steven E. Skutnik, S. Nathan Gilliam & Michael, P. Cooper (2020): Review of Candidate Techniques for Material Accountancy Measurements in Electrochemical Separations Facilities, *Nuclear Technology*, DOI:10.1080/00295450.2020.1724728

<sup>39</sup> Ibid



material depends on its intrinsic properties as well as the physical and chemical conditions in the disposal environment into which it is emplaced.

The goal for research under this category is to achieve viable waste form solutions for AR UNF that support the overall program goal of achieving an order of magnitude reduction in waste form volume and/or repository footprint, and which are high performance from a durability and leaching perspective.

Borosilicate glass was selected for the stabilization of defense-related HLW in the 1980's.<sup>40</sup> Borosilicate glass was selected for the industrial simplicity of the manufacturing process, extensive international manufacturing experience, adequate waste loading, acceptable processing rates, economic factors, and its durability. Studies on the performance of borosilicate glass indicate that it will be able to provide acceptable performance in any of the disposal environments under consideration. However, waste containing components such as halides, sulfates, cesium, technetium, and heavy metals are either chemically incompatible (phase separation) or sparingly soluble leading to undesirable low waste loading which increases waste volume and time and cost of vitrification.<sup>41</sup>

There are other waste forms under development which may circumvent this problem, including alternative glasses, ceramics, metal-based solutions, and other waste form solutions. An alternative waste form, iron phosphate glass, has initially demonstrated a higher tolerance/solubility for halides, sulfates, and heavy metals, and can achieve high waste loading and has a higher density than other waste glass forms<sup>42</sup>. Additionally, zeolite dehalogenation has been demonstrated to allow for the formation of silicate glass waste forms<sup>43</sup>. Ceramic waste forms would include any crystal structure that incorporates waste, but one of the most well-studied examples for chloride waste salt is glass-bonded sodalite ceramic<sup>44</sup>. The formation of this ceramic involves incorporating the salt waste into zeolite, homogenizing with a glass binder, and heating the mixture to form sodalite (an alkali- and halide-containing aluminosilicate) that is encapsulated in glass. Ceramics containing wastes can be encapsulated

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<sup>40</sup> Plodinec, M. J. "Borosilicate glasses for nuclear waste immobilization." *Glass Technology* 41, no. 6 (2000): 186-192. [https://www.researchgate.net/profile/John-Plodinec/publication/233492606\\_Borosilicate\\_Glasses\\_for\\_Nuclear\\_Waste\\_Immobilization/links/55ca2bb808aeca747d69e20e/Borosilicate-Glasses-for-Nuclear-Waste-Immobilization.pdf](https://www.researchgate.net/profile/John-Plodinec/publication/233492606_Borosilicate_Glasses_for_Nuclear_Waste_Immobilization/links/55ca2bb808aeca747d69e20e/Borosilicate-Glasses-for-Nuclear-Waste-Immobilization.pdf)

<sup>41</sup> National Research Council 2011. *Waste Forms Technology and Performance: Final Report*. Washington, DC: The National Academies Press. <https://doi.org/10.17226/13100>

<sup>42</sup> Huang, Wenhai, Delbert E. Day, Chandra S. Ray, Cheol-Woon Kim, and Andrea Mogus-Milankovic. "Vitrification of high chrome oxide nuclear waste in iron phosphate glasses." *Journal of Nuclear Materials* 327, no. 1 (2004): 46-57. <https://www.academia.edu/download/39230883/00b7d528dc301144a2000000.pdf>

<sup>43</sup> Arm et al. "Status of Fast Spectrum Molten Salt Reactor Waste Management Practice". PNNL (2020). [https://www.pnnl.gov/main/publications/external/technical\\_reports/PNNL-30739.pdf](https://www.pnnl.gov/main/publications/external/technical_reports/PNNL-30739.pdf)

<sup>44</sup> Riley et al. "Identification of Potential Waste Processing and Waste Form Options for Molten Salt Reactors". U.S. Department of Energy (2018). <https://info.ornl.gov/sites/publications/Files/Pub114284.pdf>

in other materials besides glass, including metals such as copper<sup>45</sup>. These ceramic-metal (cermet) composites have not yet been demonstrated for salt-containing wastes, but they have increased thermal conductivity and waste form density over glass and have high waste loadings, making them potentially attractive assuming otherwise high performance.

It is a presupposition of this FOA that wastes from the back-end of AR fuel cycles will find ultimate disposition in geological repositories. Waste form development under this FOA should concentrate on wastes from ARs with an emphasis on wastes from molten salt reactors, metallic fuel reactors, or from reprocessing (not exclusively, but especially from pyroprocessing) and should be compatible with the major existing repository concepts:

- i) mined repository in salt formations,
- ii) mined repository in clay or shale rocks,
- iii) mined repository in crystalline rock,
- iv) mined repository in unsaturated geology.

Additionally, compatibility of waste forms with disposal in boreholes may be considered. Waste form solutions may include novel highly-durable waste matrices or packaging or any other technological solution that improves the repository performance of the physical waste form.

#### **IV. Category 4 - Other**

This category is provided for submissions which do not cleanly fall into the above three categories, but that have the potential of meeting overall programmatic objectives (detailed in Section I.D of this FOA). Submissions must make a compelling case for inclusion based on improvement the submission would deliver to the fuel cycle disposal impact.

### **F. TECHNICAL PERFORMANCE TARGETS**

All proposals must describe how the proposed technological innovation, if successful, would affect the impact areas described in Section I.D of the FOA.

<b>Impact Area</b>	<b>Effect relative to SOA (positive/negative/neutral)</b>	<b>Description or justification</b>
Economics		
Existing Infrastructure Utilization		
Regulatory Requirements		
Resource Utilization		
Safeguards and Security		
Siting Options and Requirements		

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<sup>45</sup> *ibid*



Additionally, all proposals must provide detailed information for all waste and waste streams reasonably anticipated to be generated because of the proposed technology implementation.

## **I. Category 1 – Process solutions**

Applicants proposing development of a technology for separating the components of used nuclear fuel should describe how their innovation will accomplish one or more of the following targets of:

- An order of magnitude decrease in HLW repository volume or drift length relative to LWR SNF disposition on an absolute or per gigawatt-year (GWy) basis.
- Reducing actinide content in process waste streams to less than 0.1% by mass
- Providing U and TRU fuelstock suitable for AR refueling consistent with targets for waste streams.
- Achieving process simplification by merging/ integrating two or more separate unit processes (e.g., mixing, reactions, separation), or by converting batch unit processes into continuous processes, to achieve significant (e.g., a factor of two or more) cost reductions in the combined processes.
- Provide a dramatically simpler and cost-effective solution for separation of FP and actinides or FP sub-groups.
- Separating >99% of cesium and strontium (into either one or two separate streams) from all other process stream or waste streams.
- Removal of >99% of insoluble fission products from fuel-containing molten salts.

All of the following requirements must be met:

- The proposed technology produces an intrinsically proliferation resistant separation and does not at any point create a pure fissile separation.
- The proposed technology will be capable of demonstrating an equivalent throughput processing rate of 1 kg/day for 8 h without any loss of selectivity. While new processes must be demonstrated at this scale, applicants may justify the use of surrogates at larger scale and restricting chemistry with particularly hazardous materials to a smaller scale.
- The proposed technology is either compatible with at least one existing licensed waste form or is codeveloped with a compatible waste form suitable for final geological disposal.

An applicant to this Category shall provide an overview description of their proposed technology that includes:

- The type(s) of UNF that will be processed.
- A short description of how the proposed process meets the impact areas discussed in Section I.D of the FOA.
- A comparison of the proposed technology's performance and cost to SOA technologies applied under proposed conditions.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

- The expected maturity (e.g., lab-scale, pilot-demonstration, commercialization) of the proposed technology at the completion of the project as demonstrated by process' equivalent throughput (kg/day).

In addition, each Applicant to this Category must provide the information in Table I.F.I, in summary form.

Table I.F.I: Process Technology Description	
Property	Description
Describe proliferation resistance properties	
<p>For each waste stream, on a metric ton of heavy metal (MTHM) processed basis, provide the following information:</p> <ul style="list-style-type: none"> <li>• Waste Source or Process Step,</li> <li>• Waste Type (HLW, LLW, GTCC, etc.),</li> <li>• Waste Composition (including isotopic and chemical composition),</li> <li>• Waste Quantity,</li> <li>• Waste Form (glass, cermet, etc.),</li> <li>• Waste Form Quantity, and</li> <li>• Disposition Path (Repository, interim storage, etc.)</li> </ul> <p>Provide types and volumes of waste stream per metric ton (MT) of HLW, including the isotopic and chemical composition of each waste stream</p>	
Describe each waste stream and waste form from process, including the NRC-approval state of the waste form, and the need (if any) for the waste form to be co-developed?	
Provide a description of the fuel stock(s) produced	
Estimated commercial scale processing facility capital expenditure (CapEx) and annual Operating and Maintenance (O&M) costs	
Provide scale of facility/modules in units of MT HLW/year.	

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

## II. Category 2 – Safeguards solutions

Unambiguous determination of fissile mass must be the outcome; therefore, proposed technical solutions must provide fissile mass accountancy to better than 99% (< 1% accuracy in mass accountancy) with the following constraints:

- If an inferential signature is proposed, validation data must be provided to demonstrate the accuracy of fissile mass determination.
- If active analysis, full system must meet all system constraints.
- If full volume of UNF is not sampled, an extrapolation methodology must be specified, and validation procedure defined.
- The solution must be operational in high radiation backgrounds that may be encountered during processing.
- Accountancy latency must be at same time scale (or less) as any proposed process.
- Maintenance and service schedules must be consistent with the overall system.

Each applicant to this Category shall provide a schematic with all major system components identified, including required ancillary equipment and provide the information in Table I.FII.1.

Table I.FII.1: System Definition	
Property	Description
Process location(s) where sensor is located	
Description of mass accountancy validation (must include realistic sensor data rates, for both signal and backgrounds both from target mass and external sources)	
Latency or throughput of measurement	
Sampling methodology	
Comparison to State-of-the-Art	
Validation Methodology for accuracy determination (including recalibration schedule)	
Scale of technology demonstration to actual operating conditions.	
Estimated Total System Cost	
Schedule for, and cost estimates of, maintenance (include all types of maintenance required, time required for actual servicing, operational or chronological time periods between required maintenance, and any replacement components or consumables needed)	

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

Table I.FII.1: System Definition	
Property	Description
Mean Time Before Failure (include basis)	

For each measurement used to determine the fissile mass accountancy, the applicant shall provide an overview description of the signature and measurement methodology utilized, and, if the methodology utilizes an inferential measurement, an explanation of its relationship to mass accountancy. The following information must be included in the measurement description:

- The units of measurement
- Measurement latency
- An estimate of measurement uncertainty and accuracy, including how these were determined
- A description of the location(s) sampled
- Requirements to accomplish measurement
- The fraction of the volume sampled and method of sampling
- Information requested in Table I.FII.2

Table I.FII.2: Measurement Description	
Technology Attribute	Description
Allowed gamma flux (part/s/cm <sup>2</sup> )	
Gamma energy min/max (keV)	
Allowed neutron flux (part/s/cm <sup>2</sup> )	
Neutron energy min/max (keV)	
Latency (sec) for result	
Operating atmosphere?	
Maximum allowed temperature (C)	
Estimated unit cost (\$)	
Estimated annual O&M (\$)	
Estimated lifetime (years)	

### III. Category 3 – Waste form solutions

Because of uncertainty of the disposal environment, waste form solutions should be applicable to a wide range of geologies and disposal concepts. For each proposed waste form solution, all submissions must address the following:

- Detailed description of the fuel cycle and waste processes (if applicable to this solution)
- Detailed description of technology and comparison to SOA performance
- Detailed description of the scale at which the technology will be demonstrated, along with an explanation of how performance at that scale can be extrapolated to commercial scale?

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

Research under this topic must support the program goals of achieving viable waste form solutions for AR UNF (particularly for TRISO, metallic fuel, and molten salt fuel cycles) and an order of magnitude reduction in waste form volumes and/or repository footprint. High performance waste forms from a durability and leaching perspective are of particular interest so long as loading capacity is sufficiently high.

For each proposed waste form, provide the below information<sup>46</sup>.

- Summarize the waste loading capacity of the waste matrix, and briefly describe any limiting factors for consideration (% waste loading capacity)
- Describe the degradation rate of the waste matrix (either fractional dissolution rate or g/m<sup>2</sup>/yr), including the standard used to determine the rate, the alteration product of the waste matrix, and how radionuclides are immobilized
- For the repository (or borehole) types enumerated in Section I.E above, summarize the significant beneficial or detrimental repository/waste form interactions
- Briefly describe the methodology and results used to determine the waste form's stability at the likely thermal output from radionuclide inventory
- Briefly describe the methodology and results used to determine the waste form's stability at the likely radiation output from the radionuclide inventory
- Briefly describe the methodology and results used to determine the waste form's mechanical stability during pre- and post-emplacement time periods
- Briefly describe the methodology and results used to determine the waste form's inherent resistance to fire
- Summarize the maturity of the large-scale manufacturing technology associated with the potential scale-up of the proposed technology
- Briefly describe the methodology and results used to determine the unit and total cost estimate for the final product that is suitable for repository emplacement
- Briefly describe the methodology and results used to determine the waste form's annual O&M cost estimate
- For each waste stream, on a metric ton of heavy metal (MTHM) processed basis, provide the following information:
  - Waste Source or Process Step,
  - Waste Type (HLW, LLW, GTCC, etc.),
  - Waste Composition (including isotopic and chemical composition),
  - Waste Quantity,
  - Waste Form (glass, cermet, etc.),
  - Waste Form Quantity, and

<sup>46</sup> The NRC, in 10 CFR Part 60, "Disposal of high-level radioactive wastes in geologic repositories" (<https://www.nrc.gov/reading-rm/doc-collections/cfr/part060/index.html>), has put into place applicable requirements related to waste forms. In addition, guidance documents, found in NRC Regulatory Guides (<https://www.nrc.gov/reading-rm/doc-collections/reg-guides/index.html>), provide clarifying information to support implementing specific regulations, including Part 60.

- Disposition Path (Repository, interim storage, etc.)

#### IV. Category 4 – Other

The target values for this category must be directly tied to the global program goals and specific targets from categories 1-3. Comparison must be made to SOA related to a proposed solution. It is important to provide a clear description of why the proposed solution does not fit cleanly into categories 1-3 and how the selected targets from the other categories satisfy the global requirements of the program. All relevant information requested in Tables must be completed.

#### G. RESEARCH RESOURCES AND TEAMING PARTNERSHIPS

ARPA-E is in the process of developing a listing of DOE National Labs and other resources that may be available at the Full Application stage of this FOA to applicants that have not identified sufficient capabilities to complete activities proposed in their Concept Paper submission to this FOA.

It is anticipated that each applicant will either be in possession of the research resources or establish the requisite teaming partnerships needed to complete R&D activities under this FOA. Applicants without access to required research resources or teaming relationships that enable access to required research resources **will not be disqualified**, nor will they be deemed nonresponsive at the Concept Paper stage for that reason alone; however, applicants at the full application stage will need to be able to demonstrate that they have access to the research resources needed to successfully complete R&D activities under this FOA.

To facilitate the teaming arrangements described above, ARPA-E urges applicants and other interested parties to review the ONWARDS Team Partner List and to provide pertinent information described therein. The ONWARDS Team Partner List can be found at: <https://arpa-e-foa.energy.gov/Default.aspx?FoaId7bbcf978-a550-4593-9574-4ae36cc14553>

A list of DOE National Laboratories is available at:  
<https://science.osti.gov/sbir/ApplicantResources/National-Labs-Profiles-and-Contacts>.

For help in contacting personnel at other Federal agency laboratories, go to [www.federallabs.org](http://www.federallabs.org), or contact DOE's Federal Laboratory Consortium for Technology Transfer (FLC, <https://federallabs.org/>) Management Support Office by phone at (856) 667-7727 or by email at [flcmso@utrs.com](mailto:flcmso@utrs.com).

Awardees could also leverage DOE Office of Nuclear Energy (DOE-NE) programs, such as the GAIN (Gateway for Accelerated Innovation in Nuclear) initiative (<https://www.inl.gov/research-program/gain>) and the Nuclear Science User Facilities (NSUF) Network (<https://nsuf.inl.gov/>), to perform strategic experiments—either during or after completion of the Program.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

## **II. AWARD INFORMATION**

### **A. AWARD OVERVIEW**

ARPA-E expects to make approximately \$40 million available for new awards, to be shared between FOAs DE-FOA-0002530 and DE-FOA-0002531, subject to the availability of appropriated funds. ARPA-E anticipates making approximately 10-15 awards under FOAs DE-FOA-0002530 and DE-FOA-0002531. ARPA-E may, at its discretion, issue one, multiple, or no awards.

ARPA-E will accept only new applications under this FOA. Applicants may not seek renewal or supplementation of their existing awards through this FOA.

ARPA-E plans to fully fund negotiated budgets at the time of award.

Applicants must apply for a Combined Phase I/II/IIS Award. Combined Phase I/II/IIS Awards are intended to develop transformational technologies with disruptive commercial potential. Such commercial potential may be evidenced by (1) the likelihood of follow-on funding by private or non-SBIR/STTR sources if the project is successful, or (2) the Small Business Concern's record of successfully commercializing technologies developed under prior SBIR/STTR awards. Phase IIS awards are a "sequential" (i.e., additional) Phase II award, intended to allow the continued development of promising energy technologies. Combined Phase I/II/IIS awards may be funded up to \$3,721,115. Funding amounts will be consistent with the Phase I and Phase II limits posted on the SBA's website.<sup>47</sup>

ARPA-E reserves the right to select all or part of a proposed project (i.e. only Phase I, or only Phase I and Phase II). In the event that ARPA-E selects Phase I only or Phase I/II only, then the maximum award amount for a Phase I award is \$259,613 and the maximum amount for a Phase I/II award is \$1,990,364.

The period of performance for funding agreements may not exceed 36 months for a Combined Phase I/II/IIS Award. ARPA-E expects the start date for funding agreements to be April 2022, or as negotiated.

### **B. RENEWAL AWARDS**

At ARPA-E's sole discretion, awards resulting from this FOA may be renewed by adding one or more budget periods, extending the period of performance of the initial award, or issuing a new award. Renewal funding is contingent on: (1) availability of funds appropriated by Congress for the purpose of this program; (2) substantial progress towards meeting the objectives of the

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<sup>47</sup> For current SBIR Phase I and Phase II funding amounts, see <https://www.sbir.gov/about/about-sbir>. For current STTR Phase I and Phase II funding amounts, see <https://www.sbir.gov/about/about-sttr>. Phase IIS funding amounts are equal to Phase II funding amounts for both SBIR and STTR awards.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).



approved application; (3) submittal of required reports; (4) compliance with the terms and conditions of the award; (5) ARPA-E approval of a renewal application; and (6) other factors identified by the Agency at the time it solicits a renewal application.

### **C. ARPA-E FUNDING AGREEMENTS**

Through cooperative agreements, other transactions, and similar agreements, ARPA-E provides financial and other support to projects that have the potential to realize ARPA-E's statutory mission. ARPA-E does not use such agreements to acquire property or services for the direct benefit or use of the U.S. Government.

Congress directed ARPA-E to "establish and monitor project milestones, initiate research projects quickly, and just as quickly terminate or restructure projects if such milestones are not achieved."<sup>48</sup> Accordingly, ARPA-E has substantial involvement in the direction of every Cooperative Agreement, as described in Section II.C below.

Cooperative Agreements involve the provision of financial or other support to accomplish a public purpose of support or stimulation authorized by Federal statute. Under Cooperative Agreements, the Government and Prime Recipients share responsibility for the direction of projects.

Phase I will be made as a fixed-amount award. Phase II and Phase IIS of Combined Phase I/II/IIS awards will be made on a cost-reimbursement basis.

ARPA-E encourages Prime Recipients to review the Model Cooperative Agreement, which is available at <https://arpa-e.energy.gov/technologies/project-guidance/pre-award-guidance/funding-agreements>.

### **D. STATEMENT OF SUBSTANTIAL INVOLVEMENT**

ARPA-E is substantially involved in the direction of projects from inception to completion. For the purposes of an ARPA-E project, substantial involvement means:

- Project Teams must adhere to ARPA-E's agency-specific and programmatic requirements.
- ARPA-E may intervene at any time in the conduct or performance of work under an award.
- ARPA-E does not limit its involvement to the administrative requirements of an award. Instead, ARPA-E has substantial involvement in the direction and redirection of the technical aspects of the project as a whole.
- ARPA-E may, at its sole discretion, modify or terminate projects that fail to achieve

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<sup>48</sup> U.S. Congress, Conference Report to accompany the 21<sup>st</sup> Century Competitiveness Act of 2007, H. Rpt. 110-289 at 171-172 (Aug. 1, 2007).



- predetermined Go/No Go decision points or technical milestones and deliverables.
- During award negotiations, ARPA-E Program Directors and Prime Recipients mutually establish an aggressive schedule of quantitative milestones and deliverables that must be met every quarter. In addition, ARPA-E will negotiate and establish “Go/No-Go” milestones for each project. If the Prime Recipient fails to achieve any of the “Go/No-Go” milestones or technical milestones and deliverables as determined by the ARPA-E Contracting Officer, ARPA-E may – at its discretion - renegotiate the statement of project objectives or schedule of technical milestones and deliverables for the project. In the alternative, ARPA-E may suspend or terminate the award in accordance with 2 C.F.R. §§ 200.339 and 200.340.
  - ARPA-E may provide guidance and/or assistance to the Prime Recipient to accelerate the commercial deployment of ARPA-E-funded technologies. Guidance and assistance provided by ARPA-E may include coordination with other Government agencies and nonprofits<sup>49</sup> to provide mentoring and networking opportunities for Prime Recipients. ARPA-E may also organize and sponsor events to educate Prime Recipients about key barriers to the deployment of their ARPA-E-funded technologies. In addition, ARPA-E may establish collaborations with private and public entities to provide continued support for the development and deployment of ARPA-E-funded technologies.

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<sup>49</sup> The term “nonprofit organization” or “nonprofit” is defined in Section IX.

### **III. ELIGIBILITY INFORMATION**

#### **A. ELIGIBLE APPLICANTS**

##### **1. SBIR ELIGIBILITY**

SBA rules and guidelines govern eligibility to apply to this FOA. For information on program eligibility, please refer to SBA's "Guide to SBIR/ STTR Program Eligibility" available at [http://sbir.gov/sites/default/files/elig\\_size\\_compliance\\_guide.pdf](http://sbir.gov/sites/default/files/elig_size_compliance_guide.pdf).

A Small Business Concern<sup>50</sup> may apply as a Standalone Applicant<sup>51</sup> or as the lead organization for a Project Team.<sup>52</sup> If applying as the lead organization, the Small Business Concern must perform at least 66.7% of the work in Phase I and at least 50% of the work in Phase II and Phase IIS, as measured by the Total Project Cost.<sup>53</sup>

For information on eligibility as a Small Business Concern, please refer to SBA's website (<https://www.sba.gov/content/am-i-small-business-concern>).

##### **2. STTR ELIGIBILITY**

SBA rules and guidelines govern eligibility to apply to this FOA. For information on program eligibility, please refer to SBA's "Guide to SBIR/ STTR Program Eligibility" available at [http://sbir.gov/sites/default/files/elig\\_size\\_compliance\\_guide.pdf](http://sbir.gov/sites/default/files/elig_size_compliance_guide.pdf).

Only a Small Business Concern may apply as the lead organization for a Project Team. The Small Business Concern must perform at least 40% of the work in Phase I, Phase II, and/or Phase IIS, as measured by the Total Project Cost. A single Research Institution must perform at least 30% of the work in Phase I, Phase II, and/or Phase IIS, as measured by the Total Project Cost. Please refer to Section III.B.1 of the FOA for guidance on Research Institutions' participation in STTR projects.

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<sup>50</sup> A Small Business Concern is a for-profit entity that: (1) maintains a place of business located in the United States; (2) operates primarily within the United States or makes a significant contribution to the United States economy through payment of taxes or use of American products, materials or labor; (3) is an individual proprietorship, partnership, corporation, limited liability company, joint venture, association, trust, or cooperative; and (4) meets the size eligibility requirements set forth in 13 C.F.R. § 121.702. Where the entity is formed as a joint venture, there can be no more than 49% participation by foreign business entities in the joint venture.

<sup>51</sup> A "Standalone Applicant" is an Applicant that applies for funding on its own, not as part of a Project Team.

<sup>52</sup> The term "Project Team" is used to mean any entity with multiple players working collaboratively and could encompass anything from an existing organization to an ad hoc teaming arrangement. A Project Team consists of the Prime Recipient, Subrecipients, and others performing any of the research and development work under an ARPA-E funding agreement, whether or not costs of performing the research and development work are being reimbursed under any agreement.

<sup>53</sup> The Total Project Cost is the sum of the Prime Recipient share and the Federal Government share of total allowable costs. The Federal Government share generally includes costs incurred by GOGOs, FFRDCs, and GOCOs.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

For information on eligibility as a Small Business Concern, please refer to SBA's website (<https://www.sba.gov/content/am-i-small-business-concern>).

### **3. JOINT SBIR AND STTR ELIGIBILITY**

An Applicant that meets both the SBIR and STTR eligibility criteria above may request both SBIR and STTR funding if:

- The Small Business Concern is partnered with a Research Institution;
- The Small Business Concern performs at least 66.7% of the work in Phase I and at least 50% of the work in Phase II and/or Phase IIS (as applicable), as measured by the Total Project Cost;
- The partnering Research Institution performs 30-33.3% of the work in Phase I and 30-50% of the work in Phase II and/or Phase IIS (as applicable), as measured by the Total Project Cost; and
- The Principal Investigator (PI) is employed by the Small Business Concern. If the PI is employed by the Research Institution, submissions will be considered only under the STTR program.

### **B. ELIGIBLE SUBRECIPIENTS**

#### **1. RESEARCH INSTITUTIONS**

A Research Institution<sup>54</sup> may apply only as a member of a Project Team (i.e., as a Subrecipient to a Small Business Concern). In STTR projects, a single Research Institution must perform at least 30%, but no more than 60%, of the work under the award in Phase I, Phase II, and/or Phase IIS (as applicable), as measured by the Total Project Cost.

#### **2. OTHER PROJECT TEAM MEMBERS**

The following entities are eligible to apply for SBIR/STTR funding as a member of a Project Team (i.e., as a Subrecipient to a Small Business Concern):

- For-profit entities, including Small Business Concerns
- Nonprofits other than Research Institutions<sup>55</sup>
- Government-Owned, Government Operated laboratories (GOGOs)

<sup>54</sup> Research Institutions include FFRDCs, nonprofit educational institutions, and other nonprofit research organizations owned and operated exclusively for scientific purposes. Eligible Research Institutions must maintain a place of business in the United States, operate primarily in the United States, or make a significant contribution to the U.S. economy through the payment of taxes or use of American products, materials, or labor.

<sup>55</sup> Nonprofit organizations described in section 501(c)(4) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995 are not eligible to apply for funding as a Subrecipient.

- State, local, and tribal government entities
- Foreign entities<sup>56</sup>

In SBIR projects, Project Team members other than the lead organization, including but not limited to Research Institutions, may collectively perform no more than 33.3% of the work under the award in Phase I and no more than 50% of the work under the award in Phase II and/or Phase IIS. This includes efforts performed by Research Institutions.

In STTR projects, Project Team members (other than the lead organization and the partnering Research Institution) may collectively perform no more than 30% of work under the award in Phase I, Phase II, and/or Phase IIS.

## **C. ELIGIBLE PRINCIPAL INVESTIGATORS**

### **1. SBIR**

For the duration of the award, the PI for the proposed project (or, if multiple PIs, at least one PI) must be employed by, and perform more than 50% of his or her work for, the Prime Recipient. The Contracting Officer may waive this requirement or approve the substitution of the PI after consultation with the ARPA-E SBIR/STTR Program Director.

For projects with multiple PIs, at least one PI must meet the primary employment requirement. That PI will serve as the contact PI for the Project Team.

### **2. STTR**

For the duration of the award, the PI for the proposed project (or, if multiple PIs, at least one PI) must be employed by, and perform more than 50% his or her work for, the Prime Recipient or the partnering Research Institution. The Contracting Officer may waive this requirement or approve the substitution of the PI after consultation with the ARPA-E SBIR/STTR Program Director.

For projects with multiple PIs, at least one PI must meet the primary employment requirement. That PI will serve as the contact PI for the Project Team.

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<sup>56</sup> All work by foreign entities must be performed by subsidiaries or affiliates incorporated in the United States (see Section IV.G.6 of the FOA). However, the Applicant may request a waiver of this requirement in the Business Assurances & Disclosures Form submitted with the Full Application.

**D. ELIGIBILITY OF PRIOR SBIR AND STTR Awardees: SBA Benchmarks on Progress Towards Commercialization**

Applicants awarded multiple prior SBIR or STTR awards must meet DOE's benchmark requirements for progress towards commercialization before ARPA-E may issue a new Phase I award. For purposes of this requirement, Applicants are assessed using their prior Phase I and Phase II SBIR and STTR awards across all SBIR agencies. If an awardee fails to meet either of the benchmarks, that awardee is not eligible for an SBIR or STTR Phase I award and any Phase II award for a period of one year from the time of the determination.

ARPA-E applies two benchmark rates addressing an Applicant's progress towards commercialization: (1) the DOE Phase II Transition Rate Benchmark and (2) the SBA Commercialization Rate Benchmark:

- The DOE Phase II Transition Rate Benchmark sets the minimum required number of Phase II awards the Applicant must have received for a given number of Phase I awards received during the specified period. **This Transition Rate Benchmark applies only to Phase I Applicants that have received more than 20 Phase I awards during the last five (5) year period, excluding the most recently completed fiscal year.** DOE's Phase II Transition Rate Benchmark requires that 25% of all Phase I awards received over the past five years transition to Phase II awards.

The SBIR/STTR Phase II transition rates and commercialization rates are calculated using the data in the SBA's TechNet database. For the purpose of these benchmark requirements, awardee firms are assessed once a year, on June 1st, using their prior SBIR and STTR awards across all agencies. SBA makes this tabulation of awardee transition rates and commercialization rates available to all federal agencies. ARPA-E uses this tabulation to determine which companies do not meet the DOE benchmark rates and are, therefore, ineligible to receive new Phase I awards.

- The Commercialization Rate Benchmark sets the minimum Phase III<sup>57</sup> commercialization results that an Applicant must have achieved from work it performed under prior Phase II awards (i.e. this measures an Applicant's progress from Phase II or Phase IIS to Phase III awards). **This benchmark requirement applies only to Applicants that have received more than 15 Phase II awards during the last 10 fiscal years, excluding the two most recently completed fiscal years.**

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<sup>57</sup> Phase III refers to work that derives from, extends or completes an effort made under prior SBIR/STTR funding agreements, but is funded by sources other than the SBIR/STTR Program. Phase III work is typically oriented towards commercialization of SBIR/STTR research or technology. For more information please refer to the Small Business Administration's "Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Program Policy Directive" at [https://www.sbir.gov/sites/default/files/SBIR-STTR\\_Policy\\_Directive\\_2019.pdf](https://www.sbir.gov/sites/default/files/SBIR-STTR_Policy_Directive_2019.pdf).

The current Commercialization Benchmark requirement, agreed upon and established by all 11 SBIR agencies, is that the Applicants must have received, to date, an average of at least \$100,000 of sales and/or investments per Phase II award received, or have received a number of patents resulting from the relevant SBIR/STTR work equal to or greater than 15% of the number of Phase II awards received during the period.

- On June 1 of each year, SBIR/STTR awardees registered on SBIR.gov are assessed to determine if they meet the Phase II Transition Rate Benchmark requirement. (At this time, SBA is not identifying companies that fail to meet the Commercialization Rate Benchmark requirement). Companies that fail to meet the Phase II Transition Rate Benchmark as of June 1 of a given year will not be eligible to apply to an SBIR/STTR FOA for the following year. For example, if SBA determined on June 1, 2017 that a small business failed to meet the Phase II Transition Rate Benchmark requirement, that small business would not be eligible to apply to an ARPA-E SBIR/STTR FOA from June 1, 2017 to May 31, 2018.

#### **E. COST SHARING**

**Cost sharing is not required for this FOA.**

#### **F. OTHER**

##### **1. COMPLIANT CRITERIA**

Concept Papers are deemed compliant if:

- The Applicant meets the eligibility requirements in Section III.A of the FOA;
- The Concept Paper complies with the content and form requirements in Section IV.C of the FOA; and
- The Applicant entered all required information, successfully uploaded all required documents, and clicked the “Submit” button in ARPA-E eXCHANGE by the deadline stated in the FOA.

Concept Papers found to be noncompliant may not be merit reviewed or considered for award. ARPA-E may not review or consider noncompliant Concept Papers, including Concept Papers submitted through other means, Concept Papers submitted after the applicable deadline, and incomplete Concept Papers. A Concept Paper is incomplete if it does not include required information. ARPA-E will not extend the submission deadline for Applicants that fail to submit required information and documents due to server/connection congestion.

Full Applications are deemed compliant if:

- The Applicant submitted a compliant and responsive Concept Paper;
- The Applicant meets the eligibility requirements in Section III.A of the FOA;

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

- The Full Application complies with the content and form requirements in Section IV.D of the FOA; and
- The Applicant entered all required information, successfully uploaded all required documents, and clicked the “Submit” button in ARPA-E eXCHANGE by the deadline stated in the FOA.

Full Applications found to be noncompliant may not be merit reviewed or considered for award. ARPA-E may not review or consider noncompliant Full Applications, including Full Applications submitted through other means, Full Applications submitted after the applicable deadline, and incomplete Full Applications. A Full Application is incomplete if it does not include required information and documents, such as Forms SF-424 and SF-424A. ARPA-E will not extend the submission deadline for Applicants that fail to submit required information and documents due to server/connection congestion.

Replies to Reviewer Comments are deemed compliant if:

- The Applicant successfully uploads its response to ARPA-E eXCHANGE by the deadline stated in the FOA; and
- The Replies to Reviewer Comments comply with the content and form requirements of Section IV.E of the FOA.

ARPA-E will not review or consider noncompliant Replies to Reviewer Comments, including Replies submitted through other means and Replies submitted after the applicable deadline. ARPA-E will not extend the submission deadline for Applicants that fail to submit required information due to server/connection congestion. ARPA-E will review and consider each compliant and responsive Full Application, even if no Reply is submitted or if the Reply is found to be noncompliant.

## **2. RESPONSIVENESS CRITERIA**

ARPA-E performs a preliminary technical review of Concept Papers and Full Applications. The following types of submissions may be deemed nonresponsive and may not be reviewed or considered:

- Submissions that fall outside the technical parameters specified in this FOA.
- Submissions that do not address the required technical information (i.e. information that “must” be included), as specified in Sections I.D and I.E of the FOA.
- Submissions that have been submitted in response to other currently issued ARPA-E FOAs.
- Submissions that are not scientifically distinct from applications submitted in response to other currently issued ARPA-E FOAs.
- Submissions for basic research aimed solely at discovery and/or fundamental knowledge generation.
- Submissions for large-scale demonstration projects of existing technologies.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).



- Submissions for proposed technologies that represent incremental improvements to existing technologies.
- Submissions for proposed technologies that are not based on sound scientific principles (e.g., violates a law of thermodynamics).
- Submissions for proposed technologies that are not transformational, as described in Section I.A of the FOA.
- Submissions for proposed technologies that do not have the potential to become disruptive in nature, as described in Section I.A of the FOA. Technologies must be scalable such that they could be disruptive with sufficient technical progress.
- Submissions that are not scientifically distinct from existing funded activities supported elsewhere, including within the Department of Energy.
- Submissions that describe a technology but do not propose a R&D plan that allows ARPA-E to evaluate the submission under the applicable merit review criteria provided in Section V.A of the FOA.
- Submissions that do not propose a Combined Phase I/II/IIS Award, as described in Section II.A of the FOA.

### **3. SUBMISSIONS SPECIFICALLY NOT OF INTEREST**

Submissions that propose the following will be deemed nonresponsive and will not be merit reviewed or considered:

- Submissions that target fuel cycles other than those specified in Section I.E of this FOA (i.e. fuel cycles other than TRISO fuel cycles, metallic fuel cycles, molten salt fuel cycles, and Other FC).
- Submissions dealing exclusively with back-end solutions for Generation III reactors or legacy CSNF accumulated to date.
- Submissions that exclusively seek to develop repository-specific technology.

### **4. LIMITATION ON NUMBER OF SUBMISSIONS**

ARPA-E is not limiting the number of submissions from Applicants. Applicants may submit more than one application to this FOA, provided that each application is scientifically distinct.

However, small businesses that qualify as a “Small Business Concern” may apply to only one of the two ARPA-E ONWARDS FOAs: ARPA-E FOA DE-FOA-0002531 (SBIR/STTR), Optimizing Nuclear Waste and Advanced Reactor Disposal Systems (ONWARDS) (SBIR/STTR), or ARPA-E FOA DE-FOA-0002530, Optimizing Nuclear Waste and Advanced Reactor Disposal Systems (ONWARDS). Small businesses that qualify as “Small Business Concerns” are strongly encouraged to apply under the former (SBIR/STTR FOA). To determine eligibility as a “Small Business Concern” under DE-FOA-0002531, please review the eligibility requirements in Sections III.A – III.D above.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).



## **IV. APPLICATION AND SUBMISSION INFORMATION**

### **A. APPLICATION PROCESS OVERVIEW**

#### **1. REGISTRATION IN SBA COMPANY REGISTRY**

The first step in applying to this FOA is registering in the U.S. Small Business Administration (SBA) Company Registry (<http://sbir.gov/registration>). Upon completing registration, Applicants will receive a unique small business Control ID and Registration Certificate in Adobe PDF format, which may be used at any participating SBIR and STTR agencies. Applicants that have previously registered in the SBA Company Registry need not register again.

Applicants that are sole proprietors and do not have an Employer Identification Number may use social security numbers for purposes of registering in the SBA Company Registry. Applicants that do not possess a Dun and Bradstreet Data Universal Numbering System (DUNS) number may also use their social security number in the SBA Company Registry.

Applicants must submit their Registration Certificate in ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov>) as part of their Full Application (see Section IV.D.6 of the FOA).

#### **2. REGISTRATION IN ARPA-E eXCHANGE**

The first step in applying to this FOA is registration in ARPA-E eXCHANGE, ARPA-E's online application portal. For detailed guidance on using ARPA-E eXCHANGE, please refer to Section IV.H.1 of the FOA and the "ARPA-E eXCHANGE User Guide" (<https://arpa-e-foa.energy.gov/Manuals.aspx>).

#### **3. CONCEPT PAPERS**

Applicants must submit a Concept Paper by the deadline stated in the FOA. Section IV.C of the FOA provides instructions on submitting a Concept Paper.

ARPA-E performs a preliminary review of Concept Papers to determine whether they are compliant and responsive, as described in Section III.F of the FOA. Concept Papers found to be noncompliant or nonresponsive may not be merit reviewed or considered for award. ARPA-E makes an independent assessment of each compliant and responsive Concept Paper based on the criteria and program policy factors in Sections V.A.1 and V.B.1 of the FOA.

ARPA-E will encourage a subset of Applicants to submit Full Applications. Other Applicants will be discouraged from submitting a Full Application in order to save them the time and expense of preparing an application submission that is unlikely to be selected for award negotiations. By discouraging the submission of a Full Application, ARPA-E intends to convey its lack of

*Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).*

programmatic interest in the proposed project. Such assessments do not necessarily reflect judgments on the merits of the proposed project. Unsuccessful Applicants should continue to submit innovative ideas and concepts to future FOAs.

#### **4. FULL APPLICATIONS**

Applicants must submit a Full Application by the deadline stated in the FOA. Applicants will have approximately 45 days from receipt of the Encourage/Discourage notification to prepare and submit a Full Application. Section IV.D of the FOA provides instructions on submitting a Full Application.

ARPA-E performs a preliminary review of Full Applications to determine whether they are compliant and responsive, as described in Section III.F of the FOA. Full Applications found to be noncompliant or nonresponsive may not be merit reviewed or considered for award. ARPA-E makes an independent assessment of each compliant and responsive Full Application based on the criteria and program policy factors in Sections V.A.2 and V.B.1 of the FOA.

#### **5. REPLY TO REVIEWER COMMENTS**

Once ARPA-E has completed its review of Full Applications, reviewer comments on compliant and responsive Full Applications are made available to Applicants via ARPA-EeXCHANGE. Applicants may submit an optional Reply to Reviewer Comments, which must be submitted by the deadline stated in the FOA. Section IV.E of the FOA provides instructions on submitting a Reply to Reviewer Comments.

ARPA-E performs a preliminary review of Replies to determine whether they are compliant, as described in Section III.F.1 of the FOA. ARPA-E will review and consider compliant Replies only. ARPA-E will review and consider each compliant and responsive Full Application, even if no Reply is submitted or if the Reply is found to be non-compliant.

#### **6. PRE-SELECTION CLARIFICATIONS AND “DOWN-SELECT” PROCESS**

Once ARPA-E completes its review of Full Applications and Replies to Reviewer Comments, it may, at the Contracting Officer’s discretion, conduct a pre-selection clarification process and/or perform a “down-select” of Full Applications. Through the pre-selection clarification process or down-select process, ARPA-E may obtain additional information from select Applicants through pre-selection meetings, webinars, videoconferences, conference calls, written correspondence, or site visits that can be used to make a final selection determination. ARPA-E will not reimburse Applicants for travel and other expenses relating to pre-selection meetings or site visits, nor will these costs be eligible for reimbursement as pre-award costs.

ARPA-E may select applications for award negotiations and make awards without pre-selection meetings and site visits. Participation in a pre-selection meeting or site visit with ARPA-E does not signify that Applicants have been selected for award negotiations.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-EeXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

## 7. SELECTION FOR AWARD NEGOTIATIONS

ARPA-E carefully considers all of the information obtained through the application process and makes an independent assessment of each compliant and responsive Full Application based on the criteria and program policy factors in Sections V.A.2 and V.B.1 of the FOA. The Selection Official may select all or part of a Full Application for award negotiations. The Selection Official may also postpone a final selection determination on one or more Full Applications until a later date, subject to availability of funds and other factors. ARPA-E will enter into award negotiations only with selected Applicants.

Applicants are promptly notified of ARPA-E's selection determination. ARPA-E may stagger its selection determinations. As a result, some Applicants may receive their notification letter in advance of other Applicants. Please refer to Section VI.A of the FOA for guidance on award notifications.

### B. APPLICATION FORMS

Required forms for Full Applications are available on ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov>), including the SF-424 and Budget Justification Workbook/SF-424A. A sample Summary Slide is available on ARPA-E eXCHANGE. Applicants may use the templates available on ARPA-E eXCHANGE, including the template for the Concept Paper, the template for the Technical Volume of the Full Application, the template for the Summary Slide, the template for the Summary for Public Release, the template for the Reply to Reviewer Comments, and the template for the Business Assurances & Disclosures Form. A sample response to the Business Assurances & Disclosures Form is available on ARPA-E eXCHANGE.

### C. CONTENT AND FORM OF CONCEPT PAPERS

**The Concept Paper is mandatory** (i.e. in order to submit a Full Application, a compliant and responsive Concept Paper must have been submitted) and must conform to the following formatting requirements:

- The Concept Paper must not exceed 6 pages in length including graphics, figures, and/or tables.
- The Concept Paper must be submitted in Adobe PDF format.
- The Concept Paper must be written in English.
- All pages must be formatted to fit on 8-1/2 by 11 inch paper with margins not less than one inch on every side. Single space all text and use Times New Roman typeface, a black font color, and a font size of 12 point or larger (except in figures and tables).
- The ARPA-E assigned Control Number, the Lead Organization Name, and the Principal Investigator's Last Name must be prominently displayed on the upper right corner of the header of every page. Page numbers must be included in the footer of every page.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

- The first paragraph must include the Lead Organization's Name and Location, Principal Investigator's Name, Technical Category, Proposed Funding Requested (Federal and Cost Share), and Project Duration.

Concept Papers found to be noncompliant or nonresponsive may not be merit reviewed or considered for award (see Section III.F of the FOA).

Each Concept Paper must be limited to a single concept or technology. Unrelated concepts and technologies must not be consolidated into a single Concept Paper.

A fillable Concept Paper template is available on ARPA-E eXCHANGE at <https://arpa-e-foa.energy.gov>.

Concept Papers must conform to the content requirements described below. If Applicants exceed the maximum page length indicated above, ARPA-E will review only the authorized number of pages and disregard any additional pages.

## 1. CONCEPT PAPER

### a. CONCEPT SUMMARY

- Describe the proposed concept with minimal jargon and explain how it addresses the Program Objectives of the FOA.

### b. INNOVATION AND IMPACT

- Clearly identify the problem to be solved with the proposed technology concept.

Indicate and briefly justify the primary and any secondary technology areas that best describe the proposed concept as described in Section I.E of the FOA. Additionally, describe how the proposed technological innovation, if successful, would affect the impact areas described in Section I.D of the FOA.

Impact Area	Effect relative to SOA (positive/negative/neutral)	Description or justification
Economics		
Existing Infrastructure Utilization		
Regulatory Requirements		
Resource Utilization		
Safeguards and Security		
Siting Options and Requirements		

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

- Describe how the proposed effort represents an innovative and potentially transformational solution to the technical challenges posed by the FOA.
- Explain the concept's potential to be disruptive compared to existing or emerging technologies.
- To the extent possible, provide quantitative metrics in a table that compares the proposed technology concept to current and emerging technologies and to the Technical Performance Targets in Section I.F of the FOA for the appropriate Technology Category in Section I.E of the FOA. Provide any additional information requested for each category as defined in Section I.F.

Provide the additional information below for each primary and secondary category.

For technology category 1, provide the information requested in Section I.F.I of the FOA and table I.FI.1.

Table I.FI.1: Process Technology Description	
Property	Description
Describe proliferation resistance properties	
Provide types and volumes of waste stream per metric ton (MT) of HLW, including the isotopic and chemical composition of each waste stream	
Describe each waste stream and waste form from process, including the NRC-approval state of the waste form, and the need (if any) for the waste form to be co-developed?	
Provide a description of the fuel stock(s) produced	
Estimated commercial scale processing facility capital expenditure (CapEx) and annual Operating and Maintenance (O&M) costs	
Provide scale of facility/modules in units of MT HLW/year	

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

For technology category 2, provide the information requested in Section I.F.II of the FOA, table I.FII.1, and table I.FII.2 for each measurement used to determine the fissile mass accountancy.

Table I.FII.1: System Definition	
Property	Description
Process location(s) where sensor is located	
Description of mass accountancy validation (must include realistic sensor data rates, for both signal and backgrounds both from target mass and external sources)	
Latency or throughput of measurement	
Sampling methodology	
Comparison to State-of-the-Art	
Validation Methodology for accuracy determination (including recalibration schedule)	
Scale of technology demonstration to actual operating conditions.	
Estimated Total System Cost	
Schedule for, and cost estimates of, maintenance (include all types of maintenance required, time required for actual servicing, operational or chronological time periods between required maintenance, and any replacement components or consumables needed)	
Mean Time Before Failure (include basis)	

Table I.FII.2: Measurement Description	
Technology Attribute	Description
Allowed gamma flux (part/s/cm <sup>2</sup> )	
Gamma energy min/max (keV)	
Allowed neutron flux (part/s/cm <sup>2</sup> )	
Neutron energy min/max (keV)	
Latency (sec) for result	
Operating atmosphere?	

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

Table I.FII.2: Measurement Description	
Technology Attribute	Description
Maximum allowed temperature (C)	
Estimated unit cost (\$)	
Estimated annual O&M (\$)	
Estimated lifetime (years)	

For technology category 3, provide the information requested in Section I.F.III of the FOA and address each of the bullets below.

- Summarize the waste loading capacity of the waste matrix, and briefly describe any limiting factors for consideration (% waste loading capacity)
- Describe the degradation rate of the waste matrix (either fractional dissolution rate or g/m<sup>2</sup>/yr), including the standard used to determine the rate, the alteration product of the waste matrix, and how radionuclides are immobilized
- For the above enumerated repository (or borehole) types, summarize the significant beneficial or detrimental repository/waste form interactions
- Briefly describe the methodology and results used to determine the waste form's stability at the likely thermal output from radionuclide inventory
- Briefly describe the methodology and results used to determine the waste form's stability at the likely radiation output from the radionuclide inventory
- Briefly describe the methodology and results used to determine the waste form's mechanical stability during pre- and post-emplacement time periods
- Briefly describe the methodology and results used to determine the waste form's inherent resistance to fire
- Summarize the maturity of the large-scale manufacturing technology associated with the potential scale-up of the proposed technology
- Briefly describe the methodology and results used to determine the unit and total cost estimate for the final product that is suitable for repository emplacement
- Briefly describe the methodology and results used to determine the waste form's annual O&M cost estimate

For technology category 4 – Other, provide the information listed above that is applicable to the proposed technology, and justify why the other information is not required.

### C. PROPOSED WORK

- Describe the final deliverable(s) for the project and the overall technical approach used to achieve project objectives, including a proposed budget and justification for level of proposed funding.
- Discuss alternative approaches considered, if any, and why the proposed approach is most appropriate for the project objectives.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).



- Describe the background, theory, simulation, modeling, experimental data, or other sound engineering and scientific practices or principles that support the proposed approach. Provide specific examples of supporting data and/or appropriate citations to the scientific and technical literature.
- Describe why the proposed effort is a significant technical challenge and the key technical risks to the project. Does the approach require one or more entirely new technical developments to succeed? How will technical risk be mitigated?
- Identify techno-economic challenges to be overcome for the proposed technology to be commercially relevant.

#### **d. TEAM ORGANIZATION AND CAPABILITIES**

- Indicate the roles and responsibilities of the organizations and key personnel that comprise the Project Team.
- Provide the name, position, and institution of each key team member and describe in 1-2 sentences the skills and experience that he/she brings to the team.
- Identify key capabilities provided by the organizations comprising the Project Team and how those key capabilities will be used in the proposed effort.
- Identify (if applicable) previous collaborative efforts among team members relevant to the proposed effort.

### **D. CONTENT AND FORM OF FULL APPLICATIONS**

Full Applications must conform to the following formatting requirements:

- Each document must be submitted in the file format prescribed below.
- The Full Application must be written in English.
- All pages must be formatted to fit on 8-1/2 by 11 inch paper with margins not less than one inch on every side. Single space all text and use Times New Roman typeface, a black font color, and a font size of 12 point or larger (except in figures and tables).
- The ARPA-E assigned Control Number, the Lead Organization Name, and the Principal Investigator's Last Name must be prominently displayed on the upper right corner of the header of every page. Page numbers must be included in the footer of every page.

Full Applications found to be noncompliant or nonresponsive may not be merit reviewed or considered for award (see Section III.F of the FOA).

Each Full Application should be limited to a single concept or technology. Unrelated concepts and technologies should not be consolidated in a single Full Application.

Fillable Full Application template documents are available on ARPA-E eXCHANGE at <https://arpa-e-foa.energy.gov>.

Full Applications must conform to the content requirements described below.

Component	Required Format	Description and Information
Technical Volume	PDF	The technical volume is the centerpiece of the Full Application. Applicants must provide a detailed description of the proposed R&D project and Project Team.
SF-424	PDF	Application for Federal Assistance. Applicants are responsible for ensuring that the proposed costs listed in eXCHANGE match those listed on forms SF-424 and SF-424A. Inconsistent submissions may impact ARPA-E's final award determination.
Budget Justification Workbook/SF-424A	XLS	Budget Information – Non-Construction Programs
Summary for Public Release	PDF	Short summary of the proposed R&D project. Intended for public release.
Summary Slide	PPT	A four-panel project slide summarizing different aspects of the proposed R&D project.
SBA Company Registration Certificate	PDF	Registration Certificate generated upon completion of registration in the SBA Company Registry ( <a href="http://sbir.gov/registration">http://sbir.gov/registration</a> ).
Certification for Applicants that are (a) Majority-Owned by Multiple Venture Capital Operating Companies, Hedge Funds, or Private Equity Firms and/or (b) joint ventures minority-owned by a foreign entity (if applicable)	PDF	Requires SBIR Applicants that are majority-owned by multiple venture capital operating companies, hedge funds, or private equity firms or that are joint ventures minority-owned by a foreign entity to self-identify, provide certain information, and verify registration as such in the SBA Company Registry ( <a href="http://sbir.gov/registration">http://sbir.gov/registration</a> ).
Business Assurances & Disclosures Form	PDF	Applicants should provide comprehensive responses to the questions on this form. Requires the Applicant to acknowledge eligibility with SBIR/STTR program requirements, make responsibility disclosures, and disclose potential conflicts of interest within the Project Team. Requires the Applicant to describe the additionality and risks associated with the proposed project, disclose applications for funding currently pending with Federal and non-Federal entities, and disclose funding from Federal and non-Federal entities for work in the same technology area as the proposed R&D project. If the Applicant is a FFRDC/DOE Lab, requires

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

		the Applicant to provide written authorization from the cognizant Federal agency and, if a DOE/NNSA FFRDC/DOE Lab, a Field Work Proposal. This form allows the Applicant to request a waiver or modification of the Performance of Work in the United States requirement and/or the Technology Transfer & Outreach (TT&O) spending requirement. A sample response to the Business Assurances & Disclosures Form is also available on ARPA-E eXCHANGE.
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ARPA-E provides detailed guidance on the content and form of each component below.

## **1. FIRST COMPONENT: TECHNICAL VOLUME**

The Technical Volume must be submitted in Adobe PDF format. A Technical Volume template is available at <https://arpa-e-foa.energy.gov>. The Technical Volume must conform to the content and form requirements included within the template, including maximum page lengths. If Applicants exceed the maximum page lengths specified for each section, ARPA-E may review only the authorized number of pages and disregard any additional pages, or ARPA-E may determine that the submission as a whole is noncompliant per Section III.F of the FOA.

Applicants must provide sufficient citations and references to the primary research literature to justify the claims and approaches made in the Technical Volume. ARPA-E and reviewers may review primary research literature in order to evaluate applications. However, ARPA-E and reviewers are under no obligation to review cited sources (e.g., Internet websites).

## **2. SECOND COMPONENT: SF-424**

The SF-424 must be submitted in Adobe PDF format. This form is available on ARPA-E eXCHANGE at <https://arpa-e-foa.energy.gov>.

The SF-424 includes instructions for completing the form. Applicants must complete all required fields in accordance with the instructions. Applicants may identify and include in Block 14 the entities, their addresses, and corresponding census tract numbers for any project activities that will occur within any designated Qualified Opportunity Zone (QOZ). To locate Qualified Opportunity Zones go to: <https://www.cdfifund.gov/opportunity-zones>.

Prime Recipients and Subrecipients are required to complete SF-LLL (Disclosure of Lobbying Activities), available at <https://www.grants.gov/forms/post-award-reporting-forms.html>, if any non-Federal funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with your application or funding agreement. The completed SF-LLL must be appended to the SF-424.

ARPA-E provides the following supplemental guidance on completing the SF-424:

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

- Each Project Team should submit only one SF-424 (i.e., a Subrecipient should not submit a separate SF-424).
- The list of certifications and assurances in Block 21 can be found at <http://energy.gov/management/downloads/certifications-and-assurances-use-sf-424>.
- The dates and dollar amounts on the SF-424 are for the entire period of performance (from the project start date to the project end date), not a portion thereof.
- Applicants are responsible for ensuring that the proposed costs listed in eXCHANGE match those listed on forms SF-424 and SF-424A. Inconsistent submissions may impact ARPA-E's final award determination.

### **3. THIRD COMPONENT: BUDGET JUSTIFICATION WORKBOOK/SF-424A**

Applicants are required to complete the Budget Justification Workbook/SF-424A Excel spreadsheet. This form is available on ARPA-E eXCHANGE at <https://arpa-e-foa.energy.gov>. Prime Recipients must complete each tab of the Budget Justification Workbook for the project as a whole, including all work to be performed by the Prime Recipient and its Subrecipients and Contractors. The SF-424A form included with the Budget Justification Workbook will "auto-populate" as the Applicant enters information into the Workbook. Applicants should carefully read the "Instructions and Summary" tab provided within the Budget Justification Workbook. Subrecipient information must be submitted as follows:

- Each Subrecipient incurring greater than or equal to 10% of the Total Project Cost must complete a separate Budget Justification workbook to justify its proposed budget. These worksheets must be inserted as additional sheets within in the Prime Recipient's Budget Justification.
- Subrecipients incurring less than 10% of the Total Project Cost are not required to complete a separate Budget Justification workbook. However, such Subrecipients are required to provide supporting documentation to justify their proposed budgets. At a minimum, the supporting documentation must show which tasks/subtasks are being performed, the purpose/need for the effort, and a sufficient basis for the estimated costs.

ARPA-E provides the following supplemental guidance on completing the Budget Justification Workbook/SF-424A:

- Applicants may request funds under the appropriate object class category tabs as long as the item and amount requested are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions described herein.

- If Patent costs are requested, they must be included in the Applicant's proposed budget (see Section IV.G.3 of the FOA for more information on Patent Costs).
- Project Teams may, if desired include Technology Transfer & Outreach (TT&O) activities to promote and further the development and deployment of ARPA-E-funded technologies. This is not required and is up to the applicant to decide if appropriate for the proposed work.
- If included, all TT&O costs requested must be included in the Applicant's proposed budget and identified as TT&O costs in the Budget Justification Workbook/SF-424A with the costs being requested under the "Other" budget category. All budgeted activities must relate to achieving specific objectives, technical milestones and deliverables outlined in Section 2.4 Task Descriptions of the Technical Volume.
- For more information, please refer to the ARPA-E Budget Justification Guidance document at <https://arpa-e-foa.energy.gov>.

#### 4. FOURTH COMPONENT: SUMMARY FOR PUBLIC RELEASE

Applicants are required to provide a 250 word maximum Summary for Public Release. A Summary for Public Release template is available on ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov>). The Summary for Public Release must be submitted in Adobe PDF format. This summary should not include any confidential, proprietary, or privileged information. The summary should be written for a lay audience (e.g., general public, media, Congress) using plain English.

<b>250 Words</b>	<b>SUMMARY FOR PUBLIC RELEASE</b>	<p>Briefly describe the proposed effort, summarize its objective(s) and technical approach, describe its ability to achieve the "Program Objectives" (see Section I.D of the FOA), and indicate its potential impact on "ARPA-E Mission Areas" (see Section I.A of the FOA). The summary should be written at technical level suitable for a high-school science student and is designed for public release.</p> <p><b>INSTRUCTIONS:</b></p> <p>(1) The Summary for Public Release <u>shall not exceed 250 words and one paragraph.</u></p> <p>(2) The Summary for Public Release <u>shall consist only of text</u>—no graphics, figures, or tables.</p> <p>(3) For applications selected for award negotiations, the Summary may be used as the basis for a public announcement by ARPA-E; therefore, <b><u>this Cover Page and Summary should not contain confidential or proprietary information.</u></b> See Section VIII.I of the FOA for additional information on marking confidential information</p>
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#### 5. FIFTH COMPONENT: SUMMARY SLIDE

Applicants are required to provide a single PowerPoint slide summarizing the proposed project. The slide must be submitted in Microsoft PowerPoint format. This slide will be used during

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ARPA-E's evaluation of Full Applications. A summary slide template and a sample summary slide are available on ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov>). Summary Slides must conform to the content requirements described below:

- A Technology Summary;
  - Bullet points that describe novel aspects of the proposed technology and technology approach;
- A description of the technology's impact;
  - Quantitative description (through text or graphic) of the impact the proposed project will provide to the market and ARPA-E mission areas;
- Proposed Targets;
  - Including any important technical performance metrics and/or impact categories;
  - Including quantitative description of the state of the art;
  - Including quantitative descriptions of the proposed targets;
- Any key graphics (illustrations, charts and/or tables) summarizing technology development and/or impact;
- The project's key idea/takeaway;
- Project title and Principal Investigator information; and
- Requested ARPA-E funds and proposed Applicant cost share.

## **6. SIXTH COMPONENT: SBA REGISTRATION CERTIFICATE**

Applicants are required to provide a copy of the SBA Registration Certificate generated in the SBA Company Registry (<http://sbir.gov/registration>) in Adobe PDF format (see Section IV.A.1 of the FOA). Applicants that have previously registered in the SBA Company Registry may submit a copy their existing Registration Certificate.

## **7. SEVENTH COMPONENT: CERTIFICATION FOR APPLICANTS THAT ARE (A) MAJORITY-OWNED BY MULTIPLE VENTURE CAPITAL OPERATING COMPANIES, HEDGE FUNDS, AND PRIVATE EQUITY FIRMS AND/OR (B) JOINT VENTURES MINORITY-OWNED BY A FOREIGN ENTITY**

Only those Applicants that are (a) majority-owned by multiple venture capital operating companies, hedge funds, or private equity firms and/or (b) joint ventures minority-owned by a foreign entity are required to complete the Certification for Applicants Majority-Owned by Multiple Venture Capital Operating Companies, Hedge Funds, and Private Equity Funds and Joint Venture Applicants Minority-Owned by Foreign Business Entities (VCOC/FJV Certification). The certification must be submitted in Adobe PDF format. This form is available on ARPA-E eXCHANGE at <https://arpa-e-foa.energy.gov>.

In the VCOC/FJV Certification, the Applicant is required to self-identify as an entity that falls into one of those categories, provide certain information, verify its ownership status, and verify that it has registered in the SBA Company Registry (<http://sbir.gov/registration>) as such an entity.

Applicants that are neither (a) majority-owned by multiple venture capital operating companies, hedge funds, or private equity firms nor (b) joint ventures minority-owned by a foreign entity are not required to complete the VCOC/FJV Certification.

## **8. EIGHTH COMPONENT: BUSINESS ASSURANCES & DISCLOSURES FORM**

Applicants are required to provide the information requested in the Business Assurances & Disclosures Form. The information must be submitted in Adobe PDF format. A fillable Business Assurances & Disclosures Form template is available on ARPA-E eXCHANGE at <https://arpa-e-foa.energy.gov>. A sample response to the Business Assurances & Disclosures Form is also available on ARPA-E eXCHANGE.

As described in the Business Assurances & Disclosures Form, the Applicant is required to:

- Acknowledge that it has reviewed SBA's eligibility requirements for the SBIR and STTR programs and that it anticipates that it will be able to certify eligibility to participate in ARPA-E's SBIR/STTR program at the time of award
- Disclose conditions bearing on responsibility, such as criminal convictions and Federal tax liability
- Disclose potential conflicts of interest within the Project Team
- If the project team includes a FFRDC/DOE Lab, submit written authorization from the cognizant Federal agency
- If the project team includes a DOE/NNSA FFRDC/DOE Lab, submit a Field Work Proposal.

In addition, ARPA-E is required by statute to "accelerat[e] transformational technological advances in areas that industry is by itself not likely to undertake because of technical and financial uncertainty."<sup>58</sup> In accordance with ARPA-E's statutory mandate, the Applicant is required to:

- Describe the additionality and risks associated with the proposed R&D project;
- Disclose any applications for the same project or related work currently pending with any Federal or non-Federal entities; and
- Disclose all funding for work in the same technology area as the proposed project received from any Federal or non-Federal entity within the last 5 years.

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<sup>58</sup> America COMPETES Act, Pub. L. No. 110-69, § 5012 (2007), as amended (codified at 42 U.S.C. § 16538).



The Applicant may use the Business Assurances & Disclosures Form to:

- Request authorization to perform some work overseas
- Each entity on a Project Team must also report the entity's DUNS number, confirmation of active registration in SAM, or the dates when the entity began or will begin the process of obtaining a DUNS number and/or register in SAM.

#### **E. CONTENT AND FORM OF REPLIES TO REVIEWER COMMENTS**

Written feedback on Full Applications is made available to Applicants before the submission deadline for Replies to Reviewer Comments. Applicants have a brief opportunity to prepare a short Reply to Reviewer Comments responding to one or more comments or supplementing their Full Application. A fillable Reply to Reviewer Comments template is available on ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov>).

Replies to Reviewer Comments must conform to the following requirements:

- The Reply to Reviewer Comments must be submitted in Adobe PDF format.
- The Reply to Reviewer Comments must be written in English.
- All pages must be formatted to fit on 8-1/2 by 11 inch paper with margins not less than one inch on every side. Use Times New Roman typeface, a black font color, and a font size of 12 points or larger (except in figures and tables).
- The Control Number must be prominently displayed on the upper right corner of the header of every page. Page numbers must be included in the footer of every page.

ARPA-E may not review or consider noncompliant Replies to Reviewer Comments (see Section III.F.1 of the FOA). ARPA-E will review and consider each compliant and responsive Full Application, even if no Reply is submitted or if the Reply is found to be noncompliant.

Replies to Reviewer Comments must conform to the following content and form requirements, including maximum page lengths, described below. If a Reply to Reviewer Comments is more than three pages in length, ARPA-E will review only the first three pages and disregard any additional pages. ARPA-E may review only the first three pages and disregard any additional pages, or ARPA-E may determine that the submission as a whole is noncompliant.

SECTION	PAGE LIMIT	DESCRIPTION
Text	2 pages maximum	• Applicants may respond to one or more reviewer comments or supplement their Full Application.
Images	1 page maximum	• Applicants may provide graphs, charts, or other data to respond to reviewer comments or supplement their Full Application.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

## **F. INTERGOVERNMENTAL REVIEW**

This program is not subject to Executive Order 12372 (Intergovernmental Review of Federal Programs).

## **G. FUNDING RESTRICTIONS**

### **1. ALLOWABLE COSTS**

All expenditures must be allowable, allocable, and reasonable in accordance with the applicable Federal cost principles. ARPA-E has listed the Federal cost principles for different categories of Applicants at <https://arpa-e.energy.gov/technologies/project-guidance/post-award-guidance>.

### **2. PRE-AWARD COSTS**

ARPA-E will not reimburse any pre-award costs incurred by Applicants before they are selected for award negotiations. Please refer to Section VI.A of the FOA for guidance on award notices.

Upon selection for award negotiations, Applicants may incur pre-award costs at their own risk, consistent with the requirements in 2 C.F.R. Part 200, as modified by 2 C.F.R. Part 910, and other Federal laws and regulations. ARPA-E generally does not accept budgets as submitted with the Full Application. Budgets are typically reworked during award negotiations. ARPA-E is under no obligation to reimburse pre-award costs if, for any reason, the Applicant does not receive an award or the award is made for a lesser amount than the Applicant expected, or if the costs incurred are not allowable, allocable, or reasonable.

### **3. PATENT COSTS**

For Subject Inventions disclosed to DOE under an award, ARPA-E will reimburse the Prime Recipient – in addition to allowable costs associated with Subject Invention disclosures - up to \$30,000 of expenditures for filing and prosecution of United States patent applications, including international applications (PCT application) submitted to the United States Patent and Trademark Office (USPTO).

The Prime Recipient may request a waiver of the \$30,000 cap. Note that, patent costs are considered to be Technology Transfer & Outreach (TT&O) costs (see Section IV.G.8 of the FOA below), and should be requested as such.

### **4. CONSTRUCTION**

ARPA-E generally does not fund projects that involve major construction. Recipients are

required to obtain written authorization from the Contracting Officer before incurring any major construction costs.

## **5. FOREIGN TRAVEL**

ARPA-E generally does not fund projects that involve foreign travel.

## **6. PERFORMANCE OF WORK IN THE UNITED STATES**

ARPA-E strongly encourages interdisciplinary and cross-sectoral collaboration spanning organizational boundaries. Such collaboration enables the achievement of scientific and technological outcomes that were previously viewed as extremely difficult, if not impossible.

ARPA-E requires all work under ARPA-E funding agreements to be performed in the United States – i.e., Prime Recipients must expend 100% of the Total Project Cost 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.

Applicants seeking a waiver of this requirement are required to include an explicit request in the Business Assurances & Disclosures Form, which is part of the Full Application submitted to ARPA-E. Such waivers are granted where there is a demonstrated need, as determined by ARPA-E.

## **7. PURCHASE OF NEW EQUIPMENT**

All equipment purchased under ARPA-E funding agreements must be made or manufactured in the United States, to the maximum extent practicable. This requirement does not apply to used or leased equipment. The Prime Recipients are required to notify the ARPA-E Contracting Officer reasonably in advance of purchasing any equipment that is not made or manufactured in the United States with a total acquisition cost of \$250,000 or more. The ARPA-E Contracting Officer will provide consent to purchase or reject within 30 calendar days of receipt of the Recipient's notification.

## **8. TECHNOLOGY TRANSFER AND OUTREACH**

ARPA-E is required to contribute a percentage of appropriated funds to Technology Transfer and Outreach (TT&O) activities. Project Teams have the option of spending a portion of Federal funding (i.e., the portion of the award that does not include the recipient's cost share) provided by ARPA-E on TT&O activities to promote and further the development and deployment of ARPA-E-funded technologies.

All TT&O expenditures are subject to the applicable Federal cost principles (i.e., 2 C.F.R. 200 Subpart E and 48 C.F.R. Subpart 31). Examples of TT&O expenditures are as follows:

- Documented travel and registration for the ARPA-E Energy Innovation Summit and other energy-related conferences and events;
- Documented travel to meet with potential suppliers, partners, or customers;
- Documented work by salaried or contract personnel to develop technology-to-market models or plans;
- Documented costs of acquiring industry-accepted market research reports; and
- Approved patent costs.

ARPA-E will not reimburse recipients for TT&O costs considered to be unallowable in accordance with the applicable cost principles. Examples of unallowable TT&O expenditures include:

- Meals or entertainment;
- Gifts to potential suppliers, partners, or customers;
- TT&O activities that do not relate to the ARPA-E-funded technologies;
- Undocumented TT&O activities; and
- TT&O activities unrelated and/or unallocable to the subject award.

Applicants may choose to not include TT&O activities if appropriate, and do not need a waiver to do so.

For information regarding incorporation of TT&O costs into budget documentation, see Section IV.D.3 of the FOA.

## **9. LOBBYING**

Prime Recipients and Subrecipients may not use any Federal funds, directly or indirectly, to influence or attempt to influence, directly or indirectly, congressional action on any legislative or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. § 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

Prime Recipients and Subrecipients are required to complete and submit SF-LLL, "Disclosure of Lobbying Activities" (<https://www.gsa.gov/forms-library/disclosure-lobbying-activities>) if any non-Federal funds have been paid or will be paid to any person for influencing or attempting to influence any of the following in connection with your application:

- An officer or employee of any Federal agency,
- A Member of Congress,
- An officer or employee of Congress, or

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- An employee of a Member of Congress.

## **10. CONFERENCE SPENDING**

Prime Recipients and Subrecipients may not use any Federal funds to:

- Defray the cost to the United States Government of a conference held by any Executive branch department, agency, board, commission, or office which is not directly and programmatically related to the purpose for which their ARPA-E award is made and for which the cost to the United States Government is more than \$20,000; or
- To circumvent the required notification by the head of any such Executive Branch department, agency, board, commission, or office to the Inspector General (or senior ethics official for any entity without an Inspector General), of the date, location, and number of employees attending such a conference.

## **11. INDEPENDENT RESEARCH AND DEVELOPMENT COSTS**

ARPA-E does not fund Independent Research and Development (IR&D) as part of an indirect cost rate under its financial assistance awards. IR&D, as defined at FAR 31.205-18(a), includes cost of effort that is not sponsored by an assistance agreement or required in performance of a contract, and that consists of projects falling within the four following areas: (i) basic research, (ii) applied research, (iii) development, and (iv) systems and other concept formulation studies.

ARPA-E's goals are to enhance the economic and energy security of the United States through the development of energy technologies and ensure that the United States maintains a technological lead in developing and deploying advanced energy technologies. ARPA-E accomplishes these goals by providing financial assistance for energy technology projects, and has well recognized and established procedures for supporting research through competitive financial assistance awards based on merit review of proposed projects. Reimbursement for independent research and development costs through the indirect cost mechanism could circumvent this competitive process.

To ensure that all projects receive similar and equal consideration, eligible organizations may compete for direct funding of independent research projects they consider worthy of support by submitting proposals for those projects to ARPA-E. Since proposals for these projects may be submitted for direct funding, costs for independent research and development projects are not allowable as indirect costs under ARPA-E awards. IR&D costs, however, would still be included in the direct cost base that is used to calculate the indirect rate so as to ensure an appropriate allocation of indirect costs to the organization's direct cost centers.

## **12. PROHIBITION ON CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT**

Per 2 C.F.R. § 200.216, recipients and subrecipients are prohibited from obligating or expending grant funds to: (1) procure or obtain; (2) extend or renew a contract to procure or obtain; or (3) enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115–232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities). Refer to 2 C.F.R. § 200.216 for possible additional prohibitions and limitations.

### **H. OTHER SUBMISSION REQUIREMENTS**

#### **1. USE OF ARPA-E eXCHANGE**

To apply to this FOA, Applicants must register with ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/Registration.aspx>). Concept Papers, Full Applications, and Replies to Reviewer Comments must be submitted through ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/login.aspx>). ARPA-E will not review or consider applications submitted through other means (e.g., fax, hand delivery, email, postal mail). For detailed guidance on using ARPA-E eXCHANGE, please refer to the “ARPA-E eXCHANGE Applicant Guide” (<https://arpa-e-foa.energy.gov/Manuals.aspx>).

Upon creating an application submission in ARPA-E eXCHANGE, Applicants will be assigned a Control Number. If the Applicant creates more than one application submission, a different Control Number will be assigned for each application.

Once logged in to ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/login.aspx>), Applicants may access their submissions by clicking the “My Submissions” link in the navigation on the left side of the page. Every application that the Applicant has submitted to ARPA-E and the corresponding Control Number is displayed on that page. If the Applicant submits more than one application to a particular FOA, a different Control Number is shown for each application.

Applicants are responsible for meeting each submission deadline in ARPA-E eXCHANGE. **Applicants are strongly encouraged to submit their applications at least 48 hours in advance of the submission deadline.** Under normal conditions (i.e., at least 48 hours in advance of the submission deadline), Applicants should allow at least 1 hour to submit a Concept Paper, or Full Application. In addition, Applicants should allow at least 15 minutes to submit a Reply to Reviewer Comments. Once the application is submitted in ARPA-E eXCHANGE, Applicants may revise or update their application until the expiration of the applicable deadline.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

**Applicants should not wait until the last minute to begin the submission process.** During the final hours before the submission deadline, Applicants may experience server/connection congestion that prevents them from completing the necessary steps in ARPA-E eXCHANGE to submit their applications. **ARPA-E will not extend the submission deadline for Applicants that fail to submit required information and documents due to server/connection congestion.**

**ARPA-E may not review or consider incomplete applications and applications received after the deadline stated in the FOA.** Such applications may be deemed noncompliant (see Section III.F.1 of the FOA). The following errors could cause an application to be deemed “incomplete” and thus noncompliant:

- Failing to comply with the form and content requirements in Section IV of the FOA;
- Failing to enter required information in ARPA-E eXCHANGE;
- Failing to upload required document(s) to ARPA-E eXCHANGE;
- Failing to click the “Submit” button in ARPA-E eXCHANGE by the deadline stated in the FOA;
- Uploading the wrong document(s) or application(s) to ARPA-E eXCHANGE; and
- Uploading the same document twice, but labeling it as different documents. (In the latter scenario, the Applicant failed to submit a required document.)

ARPA-E urges Applicants to carefully review their applications and to allow sufficient time for the submission of required information and documents.



## **V. APPLICATION REVIEW INFORMATION**

### **A. CRITERIA**

ARPA-E performs a preliminary review of Concept Papers and Full Applications to determine whether they are compliant and responsive (see Section III.F of the FOA). ARPA-E also performs a preliminary review of Replies to Reviewer Comments to determine whether they are compliant.

ARPA-E considers a mix of quantitative and qualitative criteria in determining whether to encourage the submission of a Full Application and whether to select a Full Application for award negotiations.

#### **1. CRITERIA FOR CONCEPT PAPERS**

(1) *Impact of the Proposed Technology Relative to FOA Targets* (50%) - This criterion involves consideration of the following:

- The potential for a transformational and disruptive (not incremental) advancement compared to existing or emerging technologies;
- Achievement of the technical performance targets defined in Section I.F of the FOA for the appropriate technology Category in Section I.E of the FOA;
- Identification of techno-economic challenges that must be overcome for the proposed technology to be commercially relevant; and
- Demonstration of awareness of competing commercial and emerging technologies and identifies how the proposed concept/technology provides significant improvement over existing solutions.

(2) *Overall Scientific and Technical Merit* (50%) - This criterion involves consideration of the following:

- The feasibility of the proposed work, as justified by appropriate background, theory, simulation, modeling, experimental data, or other sound scientific and engineering practices;
- Sufficiency of technical approach to accomplish the proposed R&D objectives, including why the proposed concept is more appropriate than alternative approaches and how technical risk will be mitigated;
- Clearly defined project outcomes and final deliverables; and
- The demonstrated capabilities of the individuals performing the project, the key capabilities of the organizations comprising the Project Team, the roles and responsibilities of each organization and (if applicable) previous collaborations among team members supporting the proposed project.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

Submissions will not be evaluated against each other since they are not submitted in accordance with a common work statement.

## 2. CRITERIA FOR FULL APPLICATIONS

Full Applications are evaluated based on the following criteria:

(1) *Impact of the Proposed Technology* (30%) - This criterion involves consideration of the following:

- The potential for a transformational and disruptive (not incremental) advancement in one or more energy-related fields;
- Thorough understanding of the current state-of-the-art and presentation of an innovative technical approach to significantly improve performance over the current state-of-the-art;
- Awareness of competing commercial and emerging technologies and identification of how the proposed concept/technology provides significant improvement over these other solutions; and
- A reasonable and effective strategy for transitioning the proposed technology from the laboratory to commercial deployment.

(2) *Overall Scientific and Technical Merit* (30%) - This criterion involves consideration of the following:

- Whether the proposed work is unique and innovative;
- Clearly defined project outcomes and final deliverables;
- Substantiation that the proposed project is likely to meet or exceed the technical performance targets identified in this FOA;
- Feasibility of the proposed work based upon preliminary data or other background information and sound scientific and engineering practices and principles;
- A sound technical approach, including appropriately defined technical tasks, to accomplish the proposed R&D objectives; and
- Management of risk, to include identifying major technical R&D risks and feasible, effective mitigation strategies.

(3) *Qualifications, Experience, and Capabilities of the Proposed Project Team* (30%) - This criterion involves consideration of the following:

- The PI and Project Team have the skill and expertise needed to successfully execute the project plan, evidenced by prior experience that demonstrates an ability to perform R&D of similar risk and complexity; and

- Access to the equipment and facilities necessary to accomplish the proposed R&D effort and/or a clear plan to obtain access to necessary equipment and facilities.

(4) *Soundness of Management Plan* (10%) - This criterion involves consideration of the following:

- Plausibility of plan to manage people and resources;
- Allocation of appropriate levels of effort and resources to proposed tasks;
- Reasonableness of the proposed project schedule, including major milestones; and
- Reasonableness of the proposed budget to accomplish the proposed project.

Submissions will not be evaluated against each other since they are not submitted in accordance with a common work statement.

The above criteria will be weighted as follows:

Impact of the Proposed Technology	30%
Overall Scientific and Technical Merit	30%
Qualifications, Experience, and Capabilities of the Proposed Project Team	30%
Soundness of Management Plan	10%

### 3. CRITERIA FOR REPLIES TO REVIEWER COMMENTS

ARPA-E has not established separate criteria to evaluate Replies to Reviewer Comments. Instead, Replies to Reviewer Comments are evaluated as an extension of the Full Application.

## B. REVIEW AND SELECTION PROCESS

### 1. PROGRAM POLICY FACTORS

In addition to the above criteria, ARPA-E may consider the following program policy factors in determining which Concept Papers to encourage to submit a Full Application and which Full Applications to select for award negotiations:

- I. **ARPA-E Portfolio Balance.** Project balances ARPA-E portfolio in one or more of the following areas:
  - a. Diversity of technical personnel in the proposed Project Team;
  - b. Technological diversity;
  - c. Organizational diversity;
  - d. Geographic diversity;

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

- e. Technical or commercialization risk; or
  - f. Stage of technology development.
- II. **Relevance to ARPA-E Mission Advancement.** Project contributes to one or more of ARPA-E's key statutory goals:
- a. Reduction of U.S. dependence on foreign energy sources;
  - b. Stimulation of U.S. manufacturing and/or software development
  - c. Reduction of energy-related emissions;
  - d. Increase in U.S. energy efficiency;
  - e. Enhancement of U.S. economic and energy security; or
  - f. Promotion of U.S. advanced energy technologies competitiveness.
- III. **Synergy of Public and Private Efforts.**
- a. Avoids duplication and overlap with other publicly or privately funded projects;
  - b. Promotes increased coordination with nongovernmental entities for demonstration of technologies and research applications to facilitate technology transfer; or
  - c. Increases unique research collaborations.
- IV. **Low likelihood of other sources of funding.** High technical and/or financial uncertainty that results in the non-availability of other public, private or internal funding or resources to support the project.
- V. **High Project Impact Relative to Project Cost.**
- VI. **Qualified Opportunity Zone (QOZ).** Whether the entity is located in an urban and economically distressed area including a Qualified Opportunity Zone (QOZ) or the proposed project will occur in a QOZ or otherwise advance the goals of QOZ. The goals include spurring economic development and job creation in distressed communities throughout the United States. For a list or map of QOZs go to:  
<https://www.cdfifund.gov/opportunity-zones>.

## 2. ARPA-E REVIEWERS

By submitting an application to ARPA-E, Applicants consent to ARPA-E's use of Federal employees, contractors, and experts from educational institutions, nonprofits, industry, and governmental and intergovernmental entities as reviewers. ARPA-E selects reviewers based on their knowledge and understanding of the relevant field and application, their experience and skills, and their ability to provide constructive feedback on applications.

ARPA-E requires all reviewers to complete a Conflict-of-Interest Certification and Nondisclosure Agreement through which they disclose their knowledge of any actual or apparent conflicts and agree to safeguard confidential information contained in Concept Papers, Full Applications, and

Replies to Reviewer Comments. In addition, ARPA-E trains its reviewers in proper evaluation techniques and procedures.

Applicants are not permitted to nominate reviewers for their applications. Applicants may contact the Contracting Officer by email ([ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov)) if they have knowledge of a potential conflict of interest or a reasonable belief that a potential conflict exists.

### **3. ARPA-E SUPPORT CONTRACTOR**

ARPA-E utilizes contractors to assist with the evaluation of applications and project management. To avoid actual and apparent conflicts of interest, ARPA-E prohibits its support contractors from submitting or participating in the preparation of applications to ARPA-E.

By submitting an application to ARPA-E, Applicants represent that they are not performing support contractor services for ARPA-E in any capacity and did not obtain the assistance of ARPA-E's support contractor to prepare the application. ARPA-E will not consider any applications that are submitted by or prepared with the assistance of its support contractors.

#### **C. ANTICIPATED ANNOUNCEMENT AND AWARD DATES**

ARPA-E expects to announce selections for negotiations in approximately January 2022 and to execute funding agreements in approximately April 2022.

## **VI. AWARD ADMINISTRATION INFORMATION**

### **A. AWARD NOTICES**

#### **1. REJECTED SUBMISSIONS**

Noncompliant and nonresponsive Concept Papers and Full Applications are rejected by the Contracting Officer and are not merit reviewed or considered for award. The Contracting Officer sends a notification letter by email to the technical and administrative points of contact designated by the Applicant in ARPA-E eXCHANGE. The notification letter states the basis upon which the Concept Paper or Full Application was rejected.

#### **2. CONCEPT PAPER NOTIFICATIONS**

ARPA-E promptly notifies Applicants of its determination to encourage or discourage the submission of a Full Application. ARPA-E sends a notification letter by email to the technical and administrative points of contact designated by the Applicant in ARPA-E eXCHANGE. ARPA-E provides feedback in the notification letter in order to guide further development of the proposed technology.

Applicants may submit a Full Application even if they receive a notification discouraging them from doing so. By discouraging the submission of a Full Application, ARPA-E intends to convey its lack of programmatic interest in the proposed project. Such assessments do not necessarily reflect judgments on the merits of the proposed project. The purpose of the Concept Paper phase is to save Applicants the considerable time and expense of preparing a Full Application that is unlikely to be selected for award negotiations.

A notification letter encouraging the submission of a Full Application does not authorize the Applicant to commence performance of the project. Please refer to Section IV.G of the FOA for guidance on pre-award costs.

### **3. FULL APPLICATION NOTIFICATIONS**

ARPA-E promptly notifies Applicants of its determination. ARPA-E sends a notification letter by email to the technical and administrative points of contact designated by the Applicant in ARPA-E eXCHANGE. The notification letter may inform the Applicant that its Full Application was selected for award negotiations, or not selected. Alternatively, ARPA-E may notify one or more Applicants that a final selection determination on particular Full Applications will be made at a later date, subject to the availability of funds and other factors.

Written feedback on Full Applications is made available to Applicants before the submission deadline for Replies to Reviewer Comments. By providing feedback, ARPA-E intends to guide the further development of the proposed technology and to provide a brief opportunity to respond to reviewer comments.

#### ***a. SUCCESSFUL APPLICANTS***

ARPA-E has discretion to select all or part of a proposed project for negotiation of an award. A notification letter selecting a Full Application for award negotiations does not authorize the Applicant to commence performance of the project. **ARPA-E selects Full Applications for award negotiations, not for award.** Applicants do not receive an award until award negotiations are complete and the Contracting Officer executes the funding agreement. ARPA-E may terminate award negotiations at any time for any reason.

Please refer to Section IV.G.2 of the FOA for guidance on pre-award costs.

#### ***b. POSTPONED SELECTION DETERMINATIONS***

A notification letter postponing a final selection determination until a later date does not authorize the Applicant to commence performance of the project. ARPA-E may ultimately determine to select or not select the Full Application for award negotiations.

Please refer to Section IV.G.2 of the FOA for guidance on pre-award costs.

### **C. UNSUCCESSFUL APPLICANTS**

By not selecting a Full Application, ARPA-E intends to convey its lack of programmatic interest in the proposed project. Such assessments do not necessarily reflect judgments on the merits of the proposed project. ARPA-E hopes that unsuccessful Applicants will submit innovative ideas and concepts for future FOAs.

## **B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

The following administrative and national policy requirements apply to Prime Recipients. The Prime Recipient is the responsible authority regarding the settlement and satisfaction of all contractual and administrative issues, including but not limited to disputes and claims arising out of any agreement between the Prime Recipient and a FFRDC contractor. Prime Recipients are required to flow down these requirements to their Subrecipients through subawards or related agreements.

- If an award is made to a DOE/NNSA National Laboratory, all Disputes and Claims will be resolved in accordance with the terms and conditions of the DOE/NNSA National Laboratory's management and operating (M&O) contract, as applicable, in consultation between DOE and the prime awardee.
- If an award is made to another Federal agency or its FFRDC contractor, all Disputes and Claims will be resolved in accordance with the terms and conditions of the interagency agreement in consultation between DOE and the prime awardee.

### **1. DUNS NUMBER, UNIQUE ENTITY IDENTIFIER- AND SAM, FSRs, AND FEDCONNECT REGISTRATIONS**

Prime Recipients and Subrecipients are required to obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number at <http://fedgov.dnb.com/webform> and to register with the System for Award Management (SAM) at [www.sam.gov/SAM](http://www.sam.gov/SAM) and obtain a Unique Entity Identifier.

Prime Recipients and Subrecipients should commence this process as soon as possible in order to expedite the execution of a funding agreement. Obtaining a DUNS number and registering with SAM could take several weeks.



Prime Recipients are also required to register with the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS) at <https://www.fsrc.gov/>.<sup>59</sup> Prime Recipients are required to report to FSRS the names and total compensation of each of the Prime Recipient's five most highly compensated executives and the names and total compensation of each Subrecipient's five most highly compensated executives. Please refer to <https://www.fsrc.gov/> for guidance on reporting requirements.

ARPA-E may not execute a funding agreement with the Prime Recipient until it has obtained a DUNS number and completed its SAM and FSRS registrations. In addition, the Prime Recipient may not execute subawards with Subrecipients until they complete their SAM registrations. Prime Recipients and Subrecipients are required to keep their SAM and FSRS data current throughout the duration of the project.

Finally, Prime Recipients are required to register with FedConnect in order to receive notification that their funding agreement has been executed by the Contracting Officer and to obtain a copy of the executed funding agreement. Please refer to <https://www.fedconnect.net/FedConnect/> for registration instructions.

## **2. NATIONAL POLICY ASSURANCES**

Project Teams, including Prime Recipients and Subrecipients, are required to comply with the National Policy Assurances attached to their funding agreement in accordance with 2 C.F.R. 200.300. Refer to Attachment 6 of ARPA-E's Model Cooperative Agreement (<https://arpa-e.energy.gov/technologies/project-guidance/pre-award-guidance/funding-agreements>) for information on the National Policy Assurances.

## **3. ENVIRONMENTAL IMPACT QUESTIONNAIRE**

By law, ARPA-E is required to evaluate the potential environmental impact of projects that it is considering for funding. In particular, ARPA-E must determine before funding a project whether the project qualifies for a categorical exclusion under 10 C.F.R. § 1021.410 or whether it requires further environmental review (i.e., an environmental assessment or an environmental impact statement).

To facilitate and expedite ARPA-E's environmental review, Prime Recipients are required to complete an Environmental Impact Questionnaire during award negotiations. This form is available on ARPA-EeXCHANGE at <https://arpa-e.energy.gov/technologies/project-guidance/pre-award-guidance/required-forms-and-templates>. The Environmental Impact Questionnaire is due within 21 calendar days of the selection announcement.

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<sup>59</sup> The Federal Funding Accountability and Transparency Act, P.L. 109-282, 31 U.S.C. 6101 note.

#### **4. TECHNOLOGY-TO-MARKET PLAN**

During award negotiations, Prime Recipients are required to negotiate and submit an initial Technology-to-Market Plan for Phase II and Phase IIS with the ARPA-E Program Director, and obtain the ARPA-E Program Director's approval prior to the execution of the award. Prime Recipients must show how any budgeted Technology Transfer and Outreach (TT&O) costs relate to furthering elements of the Technology-to-Market Plan. During the period of performance, Prime Recipients are required to provide regular updates on the initial Technology-to-Market plan and report on implementation of Technology-to-Market activities. Prime Recipients may be required to perform other actions to further the commercialization of their respective technologies.

ARPA-E may waive or modify this requirement, as appropriate.

#### **5. INTELLECTUAL PROPERTY AND DATA MANAGEMENT PLANS**

ARPA-E requires every Project Team to negotiate and establish an Intellectual Property Management Plan for the management and disposition of intellectual property arising from the project. The Prime Recipient must submit a completed and signed Intellectual Property Management plan to ARPA-E within six weeks of the effective date of the ARPA-E funding agreement. All Intellectual Property Management Plans are subject to the terms and conditions of the ARPA-E funding agreement and its intellectual property provisions, and applicable Federal laws, regulations, and policies, all of which take precedence over the terms of Intellectual Property Management Plans.

ARPA-E has developed a template for Intellectual Property Management Plans <https://arpa-e.energy.gov/technologies/project-guidance/post-award-guidance/project-management-reporting-requirements>) so as to facilitate and expedite negotiations between Project Team members. ARPA-E does not mandate the use of this template. ARPA-E and DOE do not make any warranty (express or implied) or assume any liability or responsibility for the accuracy, completeness, or usefulness of the template. ARPA-E and DOE strongly encourage Project Teams to consult independent legal counsel before using the template.

Awardees are also required, post-award, to submit a Data Management Plan (DMP) that addresses how data generated in the course of the work performed under an ARPA-E award will be preserved and, as appropriate, shared publicly. At that time ARPA-E may negotiate with the Prime Recipient a mutually agreeable list of data that may be released to the public and not be treated as SBIR/STTR data. The Prime Recipient must submit a completed and signed DMP - as part of the Team's Intellectual Property Management Plan - to ARPA-E within six weeks of the effective date of the ARPA-E funding agreement.

#### **6. U.S. COMPETITIVENESS**

A primary objective of DOE's multi-billion dollar research, development and demonstration investments – including ARPA-E awards - is advancement of new energy technologies, manufacturing capabilities, and supply chains for and by U.S. industry and labor. Therefore, in exchange for receiving taxpayer dollars to support an applicant's project, the applicant must agree to the following U.S. Competitiveness Provision as part of an award under this FOA.

#### U.S. Competitiveness

The Contractor (Prime Recipient in ARPA-E awards) agrees that any products embodying any subject invention or produced through the use of any subject invention will be manufactured substantially in the United States unless the Contractor can show to the satisfaction of DOE that it is not commercially feasible. In the event DOE agrees to foreign manufacture, there will be a requirement that the Government's support of the technology be recognized in some appropriate manner, e.g., alternative binding commitments to provide an overall net benefit to the U.S. economy. The Contractor agrees that it will not license, assign or otherwise transfer any subject invention to any entity, at any tier, unless that entity agrees to these same requirements. Should the Contractor or other such entity receiving rights in the invention(s): (1) undergo a change in ownership amounting to a controlling interest, or (2) sell, assign, or otherwise transfer title or exclusive rights in the invention(s), then the assignment, license, or other transfer of rights in the subject invention(s) is/are suspended until approved in writing by DOE. The Contractor and any successor assignee will convey to DOE, upon written request from DOE, title to any subject invention, upon a breach of this paragraph. The Contractor will include this paragraph in all subawards/contracts, regardless of tier, for experimental, developmental or research work.

A subject invention is any invention of the contractor conceived or first actually reduced to practice in the performance of work under an award. An invention is any invention or discovery which is or may be patentable. The contractor includes any awardee, recipient, sub-awardee, or sub-recipient.

As noted in the U.S. Competitiveness Provision, at any time in which an entity cannot meet the requirements of the U.S. Competitiveness Provision, the entity may request a modification or waiver of the U.S. Competitiveness Provision. For example, the entity may propose modifying the language of the U.S. Competitiveness Provision in order to change the scope of the requirements or to provide more specifics on the application of the requirements for a particular technology. As another example, the entity may request that the U.S. Competitiveness Provision be waived in lieu of a net benefits statement or U.S. manufacturing plan. The statement or plan would contain specific and enforceable commitments that would be beneficial to the U.S. economy and competitiveness. Commitments could include manufacturing specific products in the U.S., making a specific investment in a new or existing U.S. manufacturing facility, keeping certain activities based in the U.S. or supporting a certain number of jobs in the U.S. related to the technology. If DOE, in its sole discretion, determines that the

proposed modification or waiver promotes commercialization and provides substantial U.S. economic benefits, DOE may grant the request and, if granted, modify the award terms and conditions for the requesting entity accordingly.

The U.S. Competitiveness Provision is implemented by DOE pursuant to a Determination of Exceptional Circumstances (DEC) under the Bayh-Dole Act and DOE Patent Waivers. See Section VIII.A, "Title to Subject Inventions", of this FOA for more information on the DEC and DOE Patent Waiver.

## **7. CORPORATE FELONY CONVICTIONS AND FEDERAL TAX LIABILITY**

In submitting an application in response to this FOA, the Applicant represents that:

- It is not a corporation that has been convicted of a felony criminal violation under any Federal law within the preceding 24 months; and
- It is not a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

For purposes of these representations the following definitions apply: A Corporation includes any entity that has filed articles of incorporation in any of the 50 states, the District of Columbia, or the various territories of the United States [but not foreign corporations]. It includes both for-profit and non-profit organizations.

## **8. APPLICANT RISK ANALYSIS**

If selected for award negotiations, ARPA-E may evaluate the risks posed by the Applicant using the criteria set forth at 2 CFR §200.206(b)(ii). ARPA-E may require special award terms and conditions depending upon results of the risk analysis.

## **9. RECIPIENT INTEGRITY AND PERFORMANCE MATTERS**

Prior to making a Federal award, ARPA-E is required to review and consider any information about Applicants that is contained in the Office of Management and Budget's designated integrity and performance system accessible through SAM (currently the Federal Awardee Performance and Integrity Information System or FAPIIS) (41 U.S.C. § 2313 and 2 C.F.R. 200.206).

Applicants may review information in FAPIIS and comment on any information about itself that a Federal awarding agency previously entered into FAPIIS.

ARPA-E will consider any written comments provided by Applicants during award negotiations, in addition to the other information in FAPIIS, in making a judgment about an Applicant's

integrity, business ethics, and record of performance under Federal awards when reviewing potential risk posed by Applicants as described in 2 C.F.R. §200.205.

## **10. NONDISCLOSURE AND CONFIDENTIALITY AGREEMENTS REPRESENTATIONS**

In submitting an application in response to this FOA the Applicant represents that:

- (1) **It does not and will not** require its employees or contractors to sign internal nondisclosure or confidentiality agreements or statements prohibiting or otherwise restricting its employees or contractors from lawfully reporting waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.
- (2) **It does not and will not** use any Federal funds to implement or enforce any nondisclosure and/or confidentiality policy, form, or agreement it uses unless it contains the following provisions:
  - a. *“These provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling.”*
  - b. The limitation above shall not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.
  - c. Notwithstanding the provision listed in paragraph (a), a nondisclosure confidentiality policy form or agreement that is to be executed by a person connected with the conduct of an intelligence or intelligence-related activity, other than an employee or officer of the United States Government, may contain provisions appropriate to the particular activity for which such document is to be used. Such form or agreement shall, at a minimum, require that the person will not disclose any classified information received in the course of such activity unless specifically authorized to do so by the United States Government. Such nondisclosure or confidentiality forms shall also make it clear that they do not bar disclosure to congress, or to an authorized official of an executive agency or the Department of Justice, that are essential to reporting a substantial violation of law.

## **C. REPORTING**

Recipients are required to submit periodic, detailed reports on technical, financial, and other aspects of the project, as described in Attachment 4 to ARPA-E's Model Cooperative Agreement (<https://arpa-e.energy.gov/technologies/project-guidance/pre-award-guidance/funding-agreements>).

## **VII. AGENCY CONTACTS**

### **A. COMMUNICATIONSWITHARPA-E**

Upon the issuance of a FOA, only the Contracting Officer may communicate with Applicants. ARPA-E personnel and our support contractors are prohibited from communicating (in writing or otherwise) with Applicants regarding the FOA. This “quiet period” remains in effect until ARPA-E’s public announcement of its project selections.

During the “quiet period,” Applicants are required to submit all questions regarding this FOA to [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov). Questions and Answers (Q&As) about ARPA-E and the FOA are available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, please send an email with the FOA name and number in the subject line to [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov). Due to the volume of questions received, ARPA-E will only answer pertinent questions that have not yet been answered and posted at the above link.

- ARPA-E will post responses on a weekly basis to any questions that are received that have not already been addressed at the link above. ARPA-E may re-phrase questions or consolidate similar questions for administrative purposes.
- ARPA-E will cease to accept questions approximately 10 business days in advance of each submission deadline. Responses to questions received before the cutoff will be posted approximately one business day in advance of the submission deadline. ARPA-E may re-phrase questions or consolidate similar questions for administrative purposes.
- Responses are published in a document specific to this FOA under “CURRENT FUNDING OPPORTUNITIES – FAQs” on ARPA-E’s website (<http://arpa-e.energy.gov/faq>).

Applicants may submit questions regarding ARPA-E eXCHANGE, ARPA-E’s online application portal, to [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov). ARPA-E will promptly respond to emails that raise legitimate, technical issues with ARPA-E eXCHANGE. ARPA-E will refer any questions regarding the FOA to [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov).

ARPA-E will not accept or respond to communications received by other means (e.g., fax, telephone, mail, hand delivery). Emails sent to other email addresses will be disregarded.

During the “quiet period,” only the Contracting Officer may authorize communications between ARPA-E personnel and Applicants. The Contracting Officer may communicate with Applicants as necessary and appropriate. As described in Section IV.A of the FOA, the Contracting Officer may arrange pre-selection meetings and/or site visits during the “quiet period.”

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).



**B. DEBRIEFINGS**

ARPA-E does not offer or provide debriefings. ARPA-E provides Applicants with a notification encouraging or discouraging the submission of a Full Application based on ARPA-E's assessment of the Concept Paper. In addition, ARPA-E provides Applicants with reviewer comments on Full Applications before the submission deadline for Replies to Reviewer Comments.

## **VIII. OTHER INFORMATION**

### **A. TITLE TO SUBJECT INVENTIONS**

Ownership of subject inventions is governed pursuant to the authorities listed below:

- Domestic Small Businesses, Educational Institutions, and Nonprofits: Under the Bayh-Dole Act (35 U.S.C. § 200 et seq.), domestic small businesses, educational institutions, and nonprofits may elect to retain title to their subject inventions;
- All other parties: The federal Non-Nuclear Energy Act of 1974, 42 U.S.C. 5908, provides that the government obtains title to new subject inventions unless a waiver is granted (see below):
  - Class Patent Waiver for Domestic Large Businesses: DOE has issued a class patent waiver that applies to this FOA. Under this class patent waiver, domestic large businesses may elect title to their subject inventions similar to the right provided to the domestic small businesses, educational institutions, and nonprofits by law. In order to avail itself of the class patent waiver, a domestic large business must agree to the U.S. Competitiveness Provision in accordance with Section VI.B.6. of this FOA.
  - Advance and Identified Waivers: For applicants that do not fall under the class patent waiver or the Bayh-Dole Act, those applicants may request a patent waiver that will cover subject inventions that may be made under the award, in advance of or within 30 days after the effective date of the award. Even if an advance waiver is not requested or the request is denied, the recipient will have a continuing right under the award to request a waiver for identified inventions, i.e., individual subject inventions that are disclosed to DOE within the time frames set forth in the award's intellectual property terms and conditions. Any patent waiver that may be granted is subject to certain terms and conditions in 10 CFR 784.
  - DEC: On June 07, 2021, DOE approved a DETERMINATION OF EXCEPTIONAL CIRCUMSTANCES (DEC) UNDER THE BAYH-DOLE ACT TO FURTHER PROMOTE DOMESTIC MANUFACTURE OF DOE SCIENCE AND ENERGY TECHNOLOGIES. In accordance with this DEC, all awards, including sub-awards, under this FOA made to a Bayh-Dole entity (domestic small businesses and nonprofit organizations) shall include the U.S. Competitiveness Provision in accordance with Section VI.B.6 of this FOA. A copy of the DEC may be found on the DoE website. Pursuant to 37 CFR § 401.4, any Bayh-Dole entity affected by this DEC has the right to appeal it by providing written notice to DOE within 30 working days from the time it receives a copy of the determination.

~~Ownership of subject inventions is governed pursuant to the authorities listed below. Typically, either by operation of law or under the authority of a patent waiver, Prime Recipients and Subrecipients may elect to retain title to their subject inventions under ARPA-E funding agreements.~~

- Domestic Small Businesses, Educational Institutions, and Nonprofits: Under the Bayh-Dole Act (35 U.S.C. § 200 et seq.), domestic small businesses, educational institutions, and nonprofits may elect to retain title to their subject inventions. If Prime Recipients/Subrecipients elect to retain title, they must file a patent application in a timely fashion, generally one year from election of title, though: a) extensions can be granted, and b) earlier filing is required for certain situations (“statutory bars,” governed by 35 U.S.C. § 102) involving publication, sale, or public use of the subject invention.
- All other parties: The Federal Non-Nuclear Energy Research and Development Act of 1974, 42 U.S.C. 5908, provides that the Government obtains title to new inventions unless a waiver is granted (*see below*).
- Class Waiver: Under 42 U.S.C. § 5908, title to subject inventions vests in the U.S. Government and large businesses and foreign entities do not have the automatic right to elect to retain title to subject inventions. However, ARPA-E typically issues “class patent waivers” under which large businesses and foreign entities that meet certain stated requirements, such as cost sharing of at least 20%, may elect to retain title to their subject inventions. If a large business or foreign entity elects to retain title to its subject invention, it must file a patent application in a timely fashion. If the class waiver does not apply, a party may request a waiver in accordance with 10 C.F.R. § 784.
- GOGOs are subject to the requirements of 37 C.F.R. Part 501.
- Determination of Exceptional Circumstances (DEC): DOE has determined that exceptional circumstances exist that warrant the modification of the standard patent rights clause for small businesses and non-profit awardees under Bayh-Dole to maximize the manufacture of technologies supported by ARPA-E awards in the United States. The DEC, including a right of appeal, is dated September 9, 2013 and is available at the following link: <http://energy.gov/ge/downloads/determination-exceptional-circumstances-under-bayh-dole-act-energy-efficiency-renewable>. Please see Section IV.D and VI.B for more information on U.S. Manufacturing Requirements.

## **B. GOVERNMENT RIGHTS IN SUBJECT INVENTIONS**

Where Prime Recipients and Subrecipients retain title to subject inventions, the U.S. Government retains certain rights.

### **1. GOVERNMENT USE LICENSE**

The U.S. Government retains a nonexclusive, nontransferable, irrevocable, paid-up license to practice or have practiced for or on behalf of the United States any subject invention throughout the world. This license extends to contractors doing work on behalf of the Government.

## **2. MARCH-IN RIGHTS**

The U.S. Government retains march-in rights with respect to all subject inventions. Through “march-in rights,” the Government may require a Prime Recipient or Subrecipient who has elected to retain title to a subject invention (or their assignees or exclusive licensees), to grant a license for use of the invention. In addition, the Government may grant licenses for use of the subject invention when Prime Recipients, Subrecipients, or their assignees and exclusive licensees refuse to do so.

The U.S. Government may exercise its march-in rights if it determines that such action is necessary under any of the four following conditions:

- The owner or licensee has not taken or is not expected to take effective steps to achieve practical application of the invention within a reasonable time;
- The owner or licensee has not taken action to alleviate health or safety needs in a reasonably satisfactory manner;
- The owner has not met public use requirements specified by Federal statutes in a reasonably satisfactory manner; or
- The U.S. Manufacturing requirement has not been met.

### **C. RIGHTS IN TECHNICAL DATA**

Data rights differ based on whether data is first produced under an award or instead was developed at private expense outside the award.

- Background or “Limited Rights Data”: The U.S. Government will not normally require delivery of technical data developed solely at private expense prior to issuance of an award, except as necessary to monitor technical progress and evaluate the potential of proposed technologies to reach specific technical and cost metrics.
- Generated Data: Pursuant to special statutory authority for SBIR/STTR awards, data generated under ARPA-ESBIR/STTR awards may be protected from public disclosure for twenty years from the date of award in accordance with provisions that will be set forth in the award. In addition, invention disclosures may be protected from public disclosure for a reasonable time in order to allow for filing a patent application.

### **D. PROTECTED PERSONALLY IDENTIFIABLE INFORMATION**

Applicants may not include any Protected Personally Identifiable Information (Protected PII) in their submissions to ARPA-E. Protected PII is defined as data that, if compromised, could cause harm to an individual such as identity theft. Listed below are examples of Protected PII that Applicants must not include in their submissions.

- Social Security Numbers in any form;

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

- Place of Birth associated with an individual;
- Date of Birth associated with an individual;
- Mother's maiden name associated with an individual;
- Biometric record associated with an individual;
- Fingerprint;
- Iris scan;
- DNA;
- Medical history information associated with an individual;
- Medical conditions, including history of disease;
- Metric information, e.g. weight, height, blood pressure;
- Criminal history associated with an individual;
- Ratings;
- Disciplinary actions;
- Performance elements and standards (or work expectations) are PII when they are so intertwined with performance appraisals that their disclosure would reveal an individual's performance appraisal;
- Financial information associated with an individual;
- Credit card numbers;
- Bank account numbers; and
- Security clearance history or related information (not including actual clearances held).

#### **E. FOAs AND FOA MODIFICATIONS**

FOAs are posted on ARPA-E eXCHANGE (<https://arpa-e-foa.energy.gov/>), Grants.gov (<http://www.grants.gov/>), and FedConnect (<https://www.fedconnect.net/FedConnect/>). Any modifications to the FOA are also posted to these websites. You can receive an e-mail when a modification is posted by registering with FedConnect as an interested party for this FOA. It is recommended that you register as soon as possible after release of the FOA to ensure that you receive timely notice of any modifications or other announcements. More information is available at <https://www.fedconnect.net>.

#### **F. OBLIGATION OF PUBLIC FUNDS**

The Contracting Officer is the only individual who can make awards on behalf of ARPA-E or obligate ARPA-E to the expenditure of public funds. A commitment or obligation by any individual other than the Contracting Officer, either explicit or implied, is invalid.

ARPA-E awards may not be transferred, assigned, or assumed without the prior written consent of a Contracting Officer.

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

## **G. REQUIREMENT FOR FULL AND COMPLETE DISCLOSURE**

Applicants are required to make a full and complete disclosure of the information requested in the Business Assurances & Disclosures Form. Disclosure of the requested information is mandatory. Any failure to make a full and complete disclosure of the requested information may result in:

- The rejection of a Concept Paper, Full Application, and/or Reply to Reviewer Comments;
- The termination of award negotiations;
- The modification, suspension, and/or termination of a funding agreement;
- The initiation of debarment proceedings, debarment, and/or a declaration of ineligibility for receipt of Federal contracts, subcontracts, and financial assistance and benefits; and
- Civil and/or criminal penalties.

## **H. RETENTION OF SUBMISSIONS**

ARPA-E expects to retain copies of all Concept Papers, Full Applications, Replies to Reviewer Comments, and other submissions. No submissions will be returned. By applying to ARPA-E for funding, Applicants consent to ARPA-E's retention of their submissions.

## **I. MARKING OF CONFIDENTIAL INFORMATION**

ARPA-E will use data and other information contained in Concept Papers, Full Applications, and Replies to Reviewer Comments strictly for evaluation purposes.

Concept Papers, Full Applications, Replies to Reviewer Comments, and other submissions containing confidential, proprietary, or privileged information should be marked as described below. Failure to comply with these marking requirements may result in the disclosure of the unmarked information under the Freedom of Information Act or otherwise. The U.S. Government is not liable for the disclosure or use of unmarked information, and may use or disclose such information for any purpose.

The cover sheet of the Concept Paper, Full Application, Reply to Reviewer Comments, or other submission must be marked as follows and identify the specific pages containing confidential, proprietary, or privileged information:

Notice of Restriction on Disclosure and Use of Data:

Questions about this FOA? Check the Frequently Asked Questions available at <http://arpa-e.energy.gov/faq>. For questions that have not already been answered, email [ARPA-E-CO@hq.doe.gov](mailto:ARPA-E-CO@hq.doe.gov) (with FOA name and number in subject line); see FOA Sec. VII.A. Problems with ARPA-E eXCHANGE? Email [ExchangeHelp@hq.doe.gov](mailto:ExchangeHelp@hq.doe.gov) (with FOA name and number in subject line).

Pages [\_\_\_\_] of this document may contain confidential, proprietary, or privileged information that is exempt from public disclosure. Such information shall be used or disclosed only for evaluation purposes or in accordance with a financial assistance or loan agreement between the submitter and the Government. The Government may use or disclose any information that is not appropriately marked or otherwise restricted, regardless of source.

The header and footer of every page that contains confidential, proprietary, or privileged information must be marked as follows: "Contains Confidential, Proprietary, or Privileged Information Exempt from Public Disclosure." In addition, every line and paragraph containing proprietary, privileged, or trade secret information must be clearly marked with double brackets or highlighting.

## **J. ADDITIONAL NOTICES**

- This FOA is intended for informational purposes and reflects current planning. If there is any inconsistency between the information contained herein and the terms of any resulting SBIR or STTR funding agreement, the terms of the funding agreement are controlling.
- Before award of an SBIR or STTR funding agreement, ARPA-E may request the selectee to submit certain organizational, management, personnel, and financial information to assure responsibility of the Prime Recipient. In addition, selectees will be required to make certain legal commitments at the time of execution of funding agreements resulting from this FOA. ARPA-E encourages Prime Recipients to review the Model Cooperative Agreement for SBIR/STTR Awards, which is available at <https://arpa-e.energy.gov/?q=site-page/funding-agreements>.
- ARPA-E will not pay a fee or profit on Cooperative Agreements resulting from this FOA to recipients or subrecipients.
- Actual or suspected fraud, waste, or abuse may be reported to the DOE Office of Inspector General (OIG) at 1-800-541-1625.

## **K. COMPLIANCE AUDIT REQUIREMENT**

A prime recipient organized as a for-profit entity expending \$750,000 or more of DOE funds in the entity's fiscal year (including funds expended as a Subrecipient) must have an annual compliance audit performed at the completion of its fiscal year. For additional information, refer to Subpart F of: (i) 2 C.F.R. Part 200, and (ii) 2 C.F.R. Part 910.

If an educational institution, non-profit organization, or state/local government is either a Prime Recipient or a Subrecipient, and has expended \$750,000 or more of Federal funds in the entity's fiscal year, the entity must have an annual compliance audit performed at the completion of its fiscal year. For additional information refer to Subpart F of 2 C.F.R. Part 200.



## **IX. GLOSSARY**

**Applicant:** The entity that submits the application to ARPA-E. In the case of a Project Team, the Applicant is the lead organization listed on the application.

**Application:** The entire submission received by ARPA-E, including the Preliminary Application, Full Application, Reply to Reviewer Comments, and Small Business Grant Application (if applicable).

**ARPA-E:** is the Advanced Research Projects Agency – Energy, an agency of the U.S. Department of Energy.

**Cost Sharing:** Is the portion of project costs from non-Federal sources that are borne by the Prime Recipient (or non-Federal third parties on behalf of the Prime Recipient), rather than by the Federal Government.

**Deliverable:** A deliverable is the quantifiable goods or services that will be provided upon the successful completion of a project task or sub-task.

**DOE:** U.S. Department of Energy.

**DOE/NNSA:** U.S. Department of Energy/National Nuclear Security Administration.

**FFRDCs:** Federally Funded Research and Development Centers.

**FOA:** Funding Opportunity Announcement.

**GOCOs:** U.S. Government Owned, Contractor Operated laboratories.

**GOGOs:** U.S. Government Owned, Government Operated laboratories.

**Milestone:** A milestone is the tangible, observable measurement that will be provided upon the successful completion of a project task or sub-task.

**Nonprofit Organizations** (or *nonprofits*): Has the meaning set forth at 2 C.F.R. § 200.70.

**Prime Recipient:** The signatory to the funding agreement with ARPA-E.

**PI:** Principal Investigator.

**Project Team:** A Project Team consists of the Prime Recipient, Subrecipients, and others performing or otherwise supporting work under an ARPA-E funding agreement.

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**SBA:** U.S. Small Business Administration.

**SBIR:** Small Business Innovation Research Program.

**Small Business:** Small businesses are domestically incorporated entities that meet the criteria established by the U.S. Small Business Administration's (SBA) "Table of Small Business Size Standards Matched to North American Industry Classification System Codes" (NAICS) (<http://www.sba.gov/content/small-business-size-standards>).

**Small Business Concern:** A for-profit entity that: (1) maintains a place of business located in the United States; (2) operates primarily within the United States or makes a significant contribution to the United States economy through payment of taxes or use of American products, materials or labor; (3) is an individual proprietorship, partnership, corporation, limited liability company, joint venture, association, trust, or cooperative; and (4) meets the size eligibility requirements set forth in 13 C.F.R. § 121.702. Where the entity is formed as a joint venture, there can be no more than 49% participation by foreign business entities in the joint venture.

**Standalone Applicant:** An Applicant that applies for funding on its own, not as part of a Project Team.

**STTR:** Small Business Technology Transfer Program.

**Subject Invention:** Any invention conceived or first actually reduced to practice under an ARPA-E funding agreement.

**Task:** A task is an operation or segment of the work plan that requires both effort and resources. Each task (or sub-task) is connected to the overall objective of the project, via the achievement of a milestone or a deliverable.

**Total Project Cost:** The sum of the Prime Recipient share and the Federal Government share of total allowable costs. The Federal Government share generally includes costs incurred by GOGOs, FFRDCs, and GOCOs.

**TT&O:** Technology Transfer and Outreach. (See Section IV.G.8 of the FOA for more information).