

PHASE I

Pre-application Preparation And Submission

1. Solicitation Announced. All solicitations are announced on the NEUP website (www.ne-up.org) and www.ne.doe.gov as press releases.

2. Pre-Application Submitted. The NEUP website and the solicitation are the sources for guidance on preparing and submitting a pre-application to NEUP. The proposing college or university submits the pre-application to NEUP via the NEUP website submission portal.

3. Proposal Received. Pre-applications are received by the NEUP Proposal Processing System and are assigned to the appropriate program for review. A proposal may be returned without review if it does not meet NEUP proposal preparation requirements such as page limitations, formatting instructions, and electronic submission, as specified in the program solicitation.

PHASE II

Pre-application Review And Processing

4. Reviewers Selected. Reviewers are selected by the Federal Program Directors and Program Technical Integration Offices as appropriate to review the relevancy of the proposed scope of work to the program or in the case of the Mission Relevant Investigator Initiated Category—to the relevancy of the overall mission of the Department of Energy's Office of Nuclear Energy. Two reviewers are selected, one from the federal program office and one from the technical program office.

5. Relevancy Review. All pre-applications are reviewed through use of the two criteria: Scientific/Technical Merit and Mission Relevancy, both as relevant to the program or overall mission of DOE-NE.

6. Program Office Selection. After programmatic review, the Federal Program Directors and Technical Integration Office Directors meet to review the recommended pre-applications and based upon estimated funding levels within each workscope area, decide whether the pre-application should be recommended for request for full proposal.

7. iSource Selection Official Decision. If the decision is made to decline pre-application, the principal investigator is notified and review information is returned to them via email. If the decision is to request a full proposal, the principal investigator is notified and review information is returned to them via email.

PHASE III

Full Proposal Preparation And Submission

8. Solicitation Announced. All solicitations are announced on the NEUP website (www.ne-up.org) and www.ne.doe.gov as press releases. This solicitation is open only to those approved to submit full proposals through the Phase I/II process.

9. Full Proposal Submitted. The NEUP web site and the solicitation provide guidance on preparing and submitting a full proposal to NEUP. Researchers submit full proposals via the NEUP web site.

10. Proposal Received. Proposals are received by the NEUP Proposal Processing System. A proposal may be returned without review if it does not meet NEUP proposal preparation requirements such as page limitations, formatting instructions, and electronic submission, as specified in the program solicitation.

PHASE IV

Full Proposal Review And Processing

11. Reviewers Selected. Reviewers are selected based on their knowledge of science and engineering fields, it's educational activities, and of the infrastructure of the science and engineering enterprise. Reviewers can come from the program officer's knowledge of the research area; references listed in the proposal; professional society programs; science and engineering journal articles related to the proposal; and/or reviewer recommendations. Principal investigators can suggest potential reviewers and also identify people they would prefer not evaluate their proposals.

12. Semi-Blind Peer Review/ Relevancy Re-review. All proposals are reviewed through use of four merit review criteria: Scientific and Technical Merit, Overall Research Plan, Capabilities, and Team Credentials. Proposals are evaluated by at least three independent expert reviewers from academia, industry or national laboratories. The goal is to have at least two of the reviewers be from academia. Reviews are conducted in two stages. Stage one reviews the project narrative only. The narratives do not identify researchers or lead universities. The goal is to score the proposals on technical merit only. Stage two reviews the overall capabilities of the proposal including budget, research team, and university infrastructure. In parallel with the peer review, programmatic relevancy reviewers assigned to the proposals during the pre-application phase review the proposals for consistency with the pre-application and may revise their program relevancy score if necessary.

13. Program Selection Board. After peer review a combined score for each proposal is tallied including the relevancy score and the peer review score. The proposals are then presented to the Federal Program Managers and Technical Integration Office Directors in ranked order. (Any outliers are flagged for examination). The selection board then provides a list of recommended projects based upon the final scores and availability of funding within each workscope area.

14. DOE-NE Final Review and Selection. NEUP evaluates the recommended list of proposals and evaluates geographic distribution, participation of minority institutions, and other balancing criteria and may make additional recommendation based upon these criteria. A presentation of the selections, including the demographic information, is made to the Department of Energy's Office of Nuclear Energy selection official for review and final approval. If the decision is made to decline the proposal, the organization is notified and review information is returned to them via email. If the decision is to issue an award, the organization is notified with an award letter and review information is returned to them via email. Additionally, they are included in a DOE-NE press release.

PHASE V

Award Processing

15. Technical/Business Review. The NEUP Integration office in conjunction with Idaho National Laboratory's procurement office reviews business, financial, export control, quality assurance and policy implications. As a part of this process, a programmatic liaison identified as a technical point of contact (TPOC) is established. The TPOC will work with the Principal Investigator to make any necessary adjustments in the proposed scope of work. This TPOC also works with DOE-NE to integrate projects with the federal programs.

16. Award Finalized. The award itself is a subcontract with budget, proposal, applicable conditions, and any other documents or requirements incorporated by reference into the subcontract. Each NEUP contract specifically identifies certain conditions that are applicable to, and become part of, that contract.

17. Post Award. The Principal Investigator will be required to provide the NEUP Integration Office quarterly progress reports and invoices. These reports will include progress towards scope, budget, schedule and milestones as well as a listing of any presentations and publications. Plans for the next quarter will also be included. Invoices will be submitted to the INL contracts office and reports will be submitted through the NEUP.org web site.