

## PHASE I

### Pre-application Preparation and Submission

**1. Pre-application Solicitation Announced.** The Pre-Application solicitation is announced on the NEUP Web site ([www.ne-up.org](http://www.ne-up.org)) and the Office of Nuclear Energy Web site ([www.nuclear.gov](http://www.nuclear.gov)) as press releases.

**2. Pre-Application Submitted.** The NEUP Web site and the solicitation are the sources for guidance on preparing and submitting a pre-application to NEUP. The proposing Principal Investigator submits the pre-application to NEUP via the NEUP Web site submission portal.

**3. Proposal Received.** Pre-applications are received by the NEUP Proposal Processing System and are assigned to the appropriate office of Nuclear Energy Research and Development 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 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. Generally, two reviewers are selected: one from the federal program office and one from a technical program office.

**5. Relevancy Review Conducted.** All pre-applications are reviewed through use of the two criteria: Scientific/Technical Merit and Mission Relevancy, as relevant to the program or overall mission of Department of Energy's Office of Nuclear Energy.

**6. Selection Process.** 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. These recommendations are passed on to the Source Selection Official for final decision.

**7. Notification Process.** If the decision is made to decline a pre-application, the Principal Investigator is notified and review information is provided via e-mail. If the decision is to request a full proposal, the Principal Investigator is notified and review information is provided via e-mail.

## PHASE III

### Full Proposal Preparation and Submission

**8. Solicitation Announced.** The Full Proposal is announced on the NEUP Web site ([www.ne-up.org](http://www.ne-up.org)) and the Office of Nuclear Energy Web site ([www.nuclear.gov](http://www.nuclear.gov)). 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 solicitation.

## PHASE IV

### Full Proposal Review and Processing

**11. Reviewers Selected.** Reviewers are selected based on their knowledge of science and engineering fields, his/her 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/overviewer recommendations. Principal Investigators can suggest potential reviewers.

**12. Semi-Blind Peer Review/ Relevancy Re-review.** All proposals are reviewed through use of four merit review criteria: Scientific and Technical Merit, Research Plan, Research and Development Resources and Capabilities, and Team Qualifications. Expert reviewers evaluate the proposals. These reviewers come from academia, industry, and / or national laboratories. The goal is to have at least two reviewers from academia. Reviews are conducted in two stages. Stage one reviews only the project narrative. The narratives do not identify researchers or lead universities. The goal is to score the proposals only on technical merit. 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 the peer review, a combined score for each proposal includes the relevancy score and the peer review score. Next, the proposals are presented to the Federal Program Managers and Technical Integration Office Directors in ranked order. (Any outliers are flagged for examination.) Then the selection board provides a list of recommended projects based upon the final scores and availability of funding within each workscope area.

**14. Final Review and Selection.** NEUP evaluates the recommended list of proposals and geographic distribution, participation of minority institutions, and other balancing criteria and may make additional recommendations 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 Principal Investigator (PI) is notified and review information is provided via e-mail. If the decision is to issue an award, the PI is notified with an award letter and review information is provided via e-mail. Additionally, the organization is included in a Department of Energy's Office of Nuclear Energy press release and Congressional Notifications.

## 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 Department of Energy's Office of Nuclear Energy to integrate projects with the department's Research and Development Program.

**16. Award Finalized.** The award itself is a contract between the university and the Battelle Energy Alliance and any applicable conditions and requirements will be incorporated directly or by reference.

**17. Post Award Requirements.** The Principal Investigator will be required at a minimum 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. Additionally, 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 Web site.