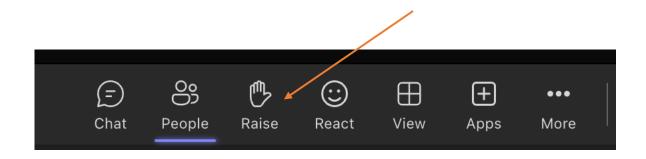


FY 2024 CINR FOA DE-F0A-0003038

Informational Webinar May 31, 2023

How to Ask Questions During the Webinar

- Raise your hand and your microphone will be unmuted during the Q&A phase of each presentation.
- Questions that do **not** get answered during the allotted time will be answered and posted on <u>www.NEUP.gov</u>.
- Specific questions on individual eligibility or topic area detail should be addressed offline.





Outline

FOA Overview

Research Experiences for Undergraduates Supplements

Phase II Continuation CINR FOA

Policy Updates and Reminders

Review Process, Tools, and Submissions



FY 2024 CINR FOA Objectives and Priorities

- NE mission is to advance U.S. nuclear power to meet the nation's energy needs by:
 - 1) Enhancing the long-term viability and competitiveness of the existing U.S. reactor fleet;
 - 2) Developing an advanced reactor pipeline; and,
 - 3) Implementing and maintaining the national strategic fuel cycle and supply chain infrastructure.
- All applications submitted under this FOA will need to demonstrate a strong tie to the NE mission.
- NE conducts crosscutting nuclear energy research and development (R&D) and associated infrastructure support activities to develop innovative technologies that offer the promise of dramatically improved performance for its mission needs as stated above, while maximizing the impact of DOE resources.

Significant Changes to CINR Format

- Change to topic area structure (e.g., sub-topic areas eliminated).
- Increased flexibility in topic area structure.
- Research Experiences for Undergraduates (REU) Supplements
 available for R&D and IRP applications.
 - Up to \$100,000 supplement
 - Proposed as part of the project and awarded along with the initial R&D grant
- Blue-sky opportunities in R&D and IRP scopes.
- New funding opportunities to compliment the CINR FOA:
 - Phase II Continuation CINR FOA
 - Reactor Sharing and Outreach FOA
 - Infrastructure Revitalization FOA

5

FY 2024 Due Dates

- FOA Release (pending): June 2023
- NE 'Office Hours': June 19-23, 2023
- NSUF LOIs Due: June 21, 2023
- Phase II Continuation LOIs Due: June 28, 2023
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- IRP Applications Due: December 20, 2023
- R&D/NSUF Full Applications Due: December 20, 2023

FOA Organization

University-led R&D

- Appendix A
 - University Program R&D
 - Strategic Needs R&D
 - University R&D with NSUF Access (NSUF-1)

University-led Integrated Research Projects

- Appendix B
 - Grand Challenge
 - Grand Challenge R&D for MSIs

University-, National Laboratory-, or Industry-led NSUF Access Only (NSUF-2)

- Appendix C
 - NSUF Access Only (NSUF-2)

Research Elements

• University Program R&D

- Organized by broad topic areas important to both NE programs and the overall mission.
- Interest in innovative ideas that address technical challenges in those topical areas.
- Includes an opportunity for R&D combined with NSUF access in the NSUF-1 topical area.

Strategic Needs Blue Sky R&D

- Supports key nuclear engineering topical areas that are critical to advancing continued research and workforce pipelines.
- Less defined topical areas that allow for high risk; high reward pathways.

Integrated Research Projects

- Significant projects focused on addressing grand challenges.
- Projects are intended to address specific need areas with a complete and holistic approach to the defined problem.

R&D Topic Areas

Topic Area	Title	
Topic Area 1	Reactor Development and Plant Optimization	
Topic Area 2	Existing Plant Optimization	
Topic Area 3	Non-Traditional and Non-Electric Applications	
Topic Area 4	Nuclear Fuel Recycle Technologies	
Topic Area 5	Fuels	
Topic Area 6	Spent Fuel, Waste Science and Technology, and Integrated Waste Management System	
Topic Area 7	Consent-Based Siting for SNF Management	
Topic Area 8	Modeling and Simulation	
Topic Area 9	Measuring, Monitoring, and Controls	
Topic Area 10	Licensing, Safety, and Security	
Topic Area 11	Advanced Nuclear Materials	
Topic Area 12	Advanced Manufacturing Technologies	
Topic Area 13	Strategic Needs	
NSUF-1.1	Core and Structural Materials Behavior Development	
NSUF-1.2	Testing of Advanced Materials for Sensors	

University-Led R&D: Appendix A

Award Size

- Topic Areas 1-12 and NSUF-1: Up to \$1,000,000 (anticipated that many projects under the \$1,000,000 mark will be awarded)
- Strategic Needs Blue Sky: Up to \$500,000
- Up to \$100,000 for an REU supplement can be requested on top of these maximums.

Period of Performance

- Up to 3 years.
- Eligibility
- Universities are eligible to lead.
- Universities, national laboratories and industry are eligible to collaborate.
- NSUF-1 is an R&D with NSUF Access topic area.
- Eligibility
 - NSUF-1 (R&D with NSUF Access): applications are open to universities to lead, and universities, national laboratories, and industry to collaborate.

Estimated Funding Level

- Approximately \$60 million, totaling approximately 55 awards.
- Approximately \$2 million for REU, totaling approximately 20 REU supplements.

University-Led IRPs: Appendix B

- Award Size and Period of Performance
 - IRP-1: Grand Challenge IRP- Accelerating Reactor Deployment
 - Up to 3 years and up to \$3,000,000
 - IRP-2: Grand Challenge Research and Development at Minority Serving Institution
 - Up to 3 years and up to \$3,000,000
 - REU Supplements of up to \$100,000 available in addition to maximum IRP awards limits.
- Eligibility
 - Universities eligible to lead.
 - Universities, national laboratories, and industry are eligible to collaborate.
- Teaming
 - Teams should consist of, at a minimum, multiple universities.
 - International collaborations are encouraged.
- IRP-2 has special eligibility criteria and teaming requirements.

University-, National Laboratory-, and Industry-Led NSUF **Access Only** (NSUF-2): **Appendix C**

Award Size

• Access values will be defined by a final cost estimate provided by the NSUF office.

Period of Performance

- Up to 3 years; up to 7 if irradiation and PIE are proposed.
- Eligibility
 - Applications to NSUF-2 are open to university, national laboratory, or industry leads and collaborators.
 - Applications to NSUF-2 must have established R&D funding from another source (i.e., existing NEUP project, etc.).

Estimated number of awards

• Approximately \$5 million for NSUF Access (totaling up to 7 awards).

NEA-NEST Opportunity

NEA-NEST Opportunity

Incremental funding is potentially available through participation in the Department of Energy's interactions with the Organization for Economic Cooperation and Development (OECD) Nuclear Energy Agency (NEA) Nuclear Education, Skills and Technology (NEST) program. NEST ties together university research projects across multiple countries to provide students a fuller professional experience as they pursue their degree. NEST funds are provided to allow travel for students to interact with colleagues in other NEST countries in accordance with NEST program rules. Applications submitted to this topic area do not require NEST participation. Access to NEST funds do require investigators to agree to participate in NEST. Investigators must clearly indicate in their application if they are willing to join as a NEST project or not.

NOTE: Anticipated budget requirements for NEST participation must not be included in an application submitted to this topic area. NEST funding received by successful applicants will not be included or tracked as part of the overall project budget and not subject to inclusion in project financial reporting. Additionally, participation in NEST will not be a factor considered in the review of applications.

Topic Areas of Interest

- Topic Area 1- Reactor Development and Plant Optimization
- Topic Area 3- Non-Traditional and Non-Electric Applications
- Topic Area 10- Licensing, Safety, and Security
- IRP-1- Grand Challenge IRP- Accelerating Reactor Development

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Research Experiences for Undergraduates (REU)

- Promotes undergraduate research opportunities in nuclear energy research and development by incentivizing CINR to include on campus and off campus students in research activities.
- Training experience where the student's training consists of closely mentored, independent research.
- Two formats
 - **On-Campus Students**: Structured program for a specific duration (e.g., a semester) focused on project activities, where the undergraduate is paid by an 'on-effort basis' (e.g., pro-rata).
 - **REU Summer Programs:** Support off campus students from other universities for a specific duration. Selection of students should focus on underserved communities and students from MSIs as a selection factor.
 - Both formats should consider students from underserved communities as a selection factor.
- All FY 2024 R&D (Appendix A) and IRP (Appendix B) applications are eligible for an REU supplement.

REU Supplement Overview

- Proposed as part of the CINR project and evaluated as part of the application.
- New application requirements for those that propose an REU supplement.
 - Pre-Application Phase: Checkbox on the application system indicating this project will request an REU as part of the full application.
 - Full-Application: REU Plan (5-pages) where overall budget thresholds for projects have been increased. (\$100,000 total)
- It is not expected that all details of the REU will be developed by the full application stage, but applicants should do their best to provide detailed descriptions of preliminary plans.
 - Adjustments to the REU plan are expected over the course of the award. Details will be provided to DOE on a routine basis.
- Pls are responsible for developing the opportunity to best support the project and recruit and select students.
- REU is a research training experience paid via stipend and consists of closely mentored independent research.
 - Funds received by students may be taxable income under IRS code of 1986 and may also be subject to state or local taxes.

REU Guidelines

- REU activities will not exceed \$100,000 total over the course of the project.
- The term of the REU supplement cannot exceed the term of the associated award.
- Student stipends should be comparable to other REU programs (e.g., NSF REU) per student per week.
- Total costs for a summer REU program- including all allowable direct (student) costs (e.g., stipend, travel, housing, etc.) and indirect costs - should be comparable to other REU programs.
 - Exceptional circumstances that may exceed comparable programs would need to be approved by DOE.

REU Student Eligibility

- Students must be U.S. citizens, U.S. nationals, or permanent residents of the United States.
- An undergraduate student is a student who is enrolled in a degree program (part-time or full-time) leading to a baccalaureate or associate degree.
- Students transferring from one college to another and are enrolled in neither institution during the intervening summer are eligible to participate.
- High school graduates who have been accepted at an undergraduate institution who have not yet started their studies are eligible.
- Students who have received their bachelor's degree and are no longer enrolled as an undergraduate are <u>not</u> eligible.

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Phase II Continuation CINR FOA

- Focused on continuing promising research pathways by soliciting applications that directly complement and extend research that has previously been awarded through NEUP.
- Phase II projects, by their nature as extensions of current research direction, are shorter in duration and smaller in scope than original CINR projects.
- Phase II projects should provide a logical path between the current research scope on an active CINR project and the new scope in a way that creates a seamless transition between the two projects.
- Awards are planned so there is no gap in funding between the original project and Phase II continuation project.
- Phase II continuations and the original CINR project are <u>separate</u>, competitive DOE awards. The original CINR project will conclude on September 30, 2024 and the Phase II continuation will begin October 1, 2024.

Phase II Continuation Overview

Award Size

• Up to 2/3's of the original CINR project award, typically falling within the \$300,000-\$1,000,000 range.

Period of Performance

- Up to 2 years.
- Eligibility
- For R&D and IRP projects concluding on September 30, 2024.
- Universities are eligible to lead.
- Universities, national laboratories and industry are eligible to collaborate.

Estimated Funding Level

Approximately \$3 million, totaling approximately 4 awards.

Phase II Continuation Eligibility

- Only one Phase II Continuation application can be submitted per active CINR project.
- Applications can only be made by the lead institution of a currently active CINR award that concludes on or before September 30, 2024.
- The lead PI on the active CINR award and Phase II Continuation application should be the same.
 - Extenuating circumstances where a new PI at the lead institution needs to be identified should be pre-approved by DOE.
- Eligibility restrictions from the CINR FOA do not apply to this funding opportunity.

Phase II Continuation Process

• Letter of Intent

- 5-page limit
- Project description that includes descriptions of:
 - Current progress on the existing CINR award and anticipated deliverables in the final 12 months of the project.
 - New scope.
 - How the two projects would integrate and the importance of direct follow-on to the current research objectives.
- Letters of Intent will be combined with reports from the active project and evaluated by programmatic experts.
- Only invited applications from the Letter of Intent process will be eligible to submit a full application.
- Full Applications
 - Phase II Continuation applications will require a 5-page transition plan to describe how the two projects will integrate, including any risks and mitigation strategies to ensure a smooth transition between projects.
 - Other full application requirements mirror the traditional CINR R&D FOA process.
- Full applications will be evaluated by a panel of experts which will include multiple technical peer reviewers evaluating technical merit.

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Major Policy Updates

- University program topic areas are broader than previous year.
 - Depending on the number of applications, areas may be sub-divided into like categories within a topic area. This division is only intended to facilitate the review process and will not influence the selection of final applications.

NSUF-1 will allow an R&D application paired with NSUF Access.

• The application will be evaluated as one package and be considered for selection along with other R&D and NSUF Access projects.

Collaborators now have two designations.

- 1. **Senior/Key Personnel -** individuals receiving funding or making major contributions to the project. All documents are required.
- 2. Other Collaborators or Personnel Listed in the 'other collaborators or personnel' section. Typically, do not receive funding, have advisory roles, etc. May be exempted from certain document requirements.

Formatting and Page Limits

Policy Reminders: Formatting

- Font sizing should be applied to <u>all</u> pages of the document, including references and tables.
 Graphic elements may have axis labels and legends in a lesser, but legible, font.
 - Applications that do not follow font sizing requirements will have non-compliant sections redacted from the application before being sent forward for review.

Page limits are strict.

- All documents exceeding the specified page limit will be reduced to the allowed page limit before being sent forward for review.
- Do not lock cells in budget spreadsheets.

Technical Narrative Page Limits

Appendix A (R&D)

- Up to 5-page preapplication
- Up to 10-page full application

Appendix A (NSUF-1)

- Two-page Letter of Intent (LOI)
- Up to 5- page preapplication
- Up to 15-page full application

Appendix B (IRP)

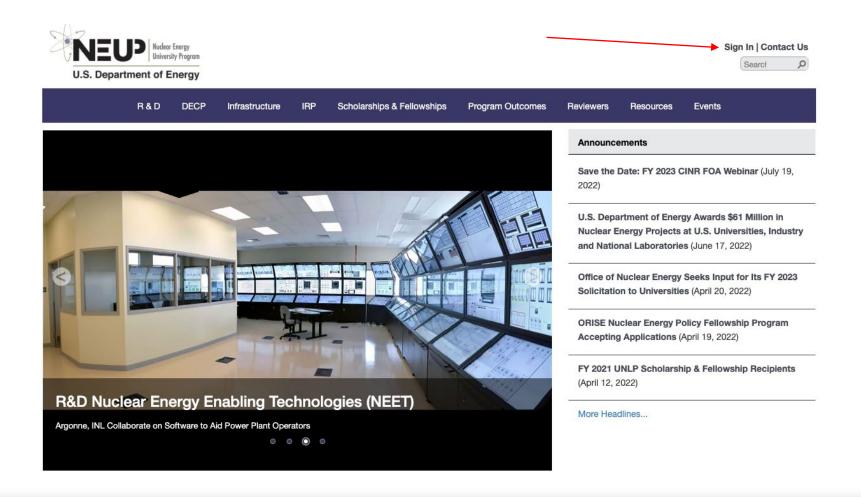
Up to 50-page application

Appendix C (NSUF-2 Access Only)

- Two-page Letter of Intent (LOI)
- Up to 5- page preapplication
- Up to 15-page full application

Application Submission

How to Submit an Application





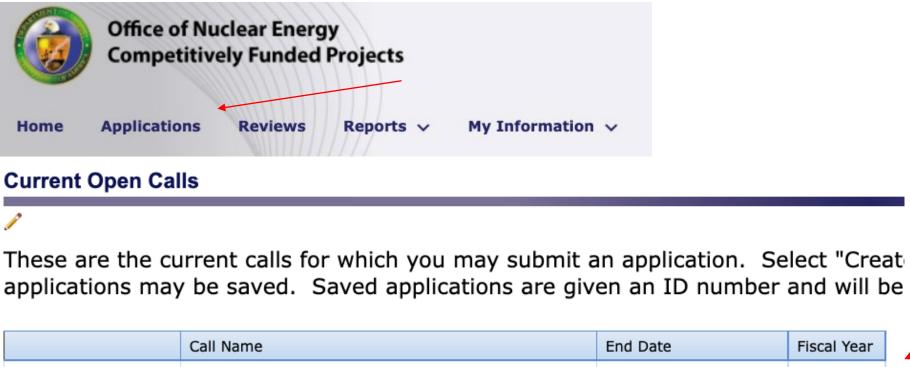
How to Submit an Application

Office of Nuclear Energy Competitively Funded Projects	Log In
Log In User Name:	
Password: Remember me next time. Log In	
Create New Account Forgot Password? Forgot UserName?	





How to Submit an Application



L				FISCAL TEAL
	Create New Application	NE INFRA Request for Information DE-SOL-0008318	5/5/2023 3:00:00 PM	2022
l	Create New Application	NE R&D Request for Information DE-SOL-0008246	5/16/2023 1:00:00 PM	2023
l	Create New Application	FY22-B UNLP FOA University Application DE-FOA-2265	3/29/2023 12:00:00 AM	2022



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Policy Reminders: Accounts and Submissions

- Lead applicants MUST have an account at www.neup.gov.
 - A research administrator may create and submit the application, but it must be tied to a lead PI account, as well.
- The application MUST be submitted by the same institution as the lead applicant.
 - Co-PIs from other institutions are not allowed to submit an application on behalf of the Lead PI.
 - Applications are considered submitted by the lead institution at the pre-application phase. Applications cannot be moved to another institution mid-process.
- Materials required by the FOA must be submitted by the published deadlines. Any material received after these dates may not be considered.

Policy Reminders: Accounts and Submissions

- Applicants (i.e., institutions) are required to obtain a Unique Entity Identifier and register with the SAM website.
- All CINR applications must include a list of publications resulting from previous CINR supported projects.
- Pls and collaborators are considered final when the pre-application is submitted (extenuating circumstances will be addressed as needed with Contracting Officer approval prior to full application submission).
- The PI is responsible for selection of the appropriate topic area.
 - Full applications must compete in the topic area to which the pre-application was submitted.
 - Applications may only be submitted once, in a single topic area.
 - After submission, applications may be moved (with PI approval) to a different topic area that DOE may deem more relevant for the application.

NSUF Applications

Program Reminders: NSUF

- NSUF-1 (R&D with NSUF Access) applications may be led only by university applicants.
- NSUF-2 (NSUF Access Only) applications may be led by university, national laboratory, or industry applicants.
- NSUF applicants are required to affirm their ability to accept the NSUF User Agreement on submission of LOI, pre-application, and full application.
- NSUF Statements of Work are uploaded to neup.gov as a postsubmittal attachment to the pre-application submission.

Eligibility

Policy Reminders: Eligibility

- Applicants are responsible for not exceeding submission limits.
- Investigators claiming university affiliation must be considered faculty, not on appointment from a national laboratory. To qualify as a faculty member, more than 50% of an individuals' salary and benefits must be paid by the university.
 - The Institute of Higher Education should be considered the PI's primary employer. Adjunct appointments, joint appointments, or other similar arrangements typically do not meet this requirement.
- Phase II Continuation Projects are not bound by any of the eligibility restrictions described in the CINR FOA, only by those in the Phase II Continuation FOA.

Eligibility CINR FOA

- U.S. university PIs may submit up to six Pre-Applications (three of those applications may be as lead PI).
- A PI may have no more than one IRP, or three R&D projects (excluding NSUF Access Only (NSUF-2) projects) funded at any time and may not submit more Full Applications than would be allowed by these restrictions.
- Pls cannot submit the same application to multiple topic areas, including the NSUF Access Only (NSUF-2) CINR FOA area.
- NSUF Access Only (NSUF-2) projects are not bound by these eligibility restrictions, unless specified above.

CINR FOA Eligibility: Research & Development (Appendix A)

- Applicants are ineligible to submit an R&D application to this CINR FOA as a lead PI under any of the following circumstances:
 - The PI has a currently funded IRP that will be active after December 31, 2024.
 - The PI has three or more R&D projects that will still be active after December 31, 2024, excluding NSUF Access Only (NSUF-2) projects.
 - The PI has a no-cost time extension on any NE funded project (excluding Infrastructure) that will still be active beyond December 31, 2024, excluding extensions caused by NSUF.

CINR FOA Eligibility: Integrated Research Projects (Appendix B)

- Applicants are ineligible to submit an IRP application to this CINR FOA as a lead PI under any
 of the following circumstances:
 - The PI has a currently funded IRP that will be active after December 31, 2024.
 - The PI has three or more R&D projects that will still be active after December 31, 2024, excluding NSUF Access Only (NSUF-2) projects.
 - The PI has a no-cost time extension on any NE funded project (excluding Infrastructure) that will still be active beyond December 31, 2024, excluding extensions caused by NSUF.
 - The applicant is designated as PI for more than one currently funded NE project that will be active beyond December 31, 2024. Applicants with only one currently funded R&D project are eligible to apply for an IRP.
 - If a PI chooses to submit an IRP application to this CINR FOA and has no currently funded R&D projects that will still be active after December 31, 2024, excluding NSUF Access Only (NSUF-2) projects, that PI is allowed to submit up to one R&D application as the lead. If both the IRP and R&D applications are successful, only one award will be made with priority given to the IRP project.

Eligibility: Changing Institutions

Procurement regulations require that applications submitted to this CINR FOA will be awarded to the applicant entity listed and will not be transferred preaward to another institution if a lead PI changes institutions. Following the date set in this CINR FOA for receipt of applications, PIs that are moving from one institution to another during the CINR review time period are subject to the DOE-ID Changing Principal Investigator and Related Changes/Revisions Policy which is explained at <u>www.NEUP.gov</u>. Post award revisions must adhere to the requirements of 2 CFR 200.308.

Collaborations

Collaboration Guidance

- Additional consideration is given for collaborations with minority-serving institutions.
 - MSI lists can be found in multiple locations. FOA outlines process for being considered as an MSI.
- For all applications (excluding NSUF-2), non-university collaborators, in composite, can account for no more than 20% of the total funds provided by the government.
- Funding is for U.S. institutions only.
 - International organizations are encouraged to collaborate if they are neither a denied party nor a party requiring an export license.
 - U.S. funding will not be provided to international collaborators under any circumstance.

CINR International Partnerships

• The CINR FOA will feature international partnerships with government research programs in the UK and Japan.

- Each country has selected topic areas where they are interested in joint funding of project so that U.S. faculty can collaborate with UK or Japanese faculty.
- Applications with international collaborators should be developed such that they stand on their own and do not require collaboration for execution or success.
- Proposals, regardless of an international partnership, will be evaluated through the CINR FOA review process and projects will be selected based on their merits.
- UK's Research Councils United Kingdom (RCUK) Energy Program, led by the Engineering and Physical Research Council (ESPRC) will support collaborations in the following topic areas:
 - Topic 5- Fuels
 - Topic 6- Spent Fuel, Waste Science & Technology, and Integrated Waste Management System
 - Topic 11- Advanced Nuclear Materials
- Japan's Atomic Energy Agency (JAEA) will support collaborations in the following topic area:
 - Topic 9- Measuring, Monitoring, and Controls

Collaborators

CINR Definition of a Collaborator:

- Individual making a defined, material contribution critical to the success of the project and/or contributing to joint publications.
- Individual appearing in the project summary, technical narrative, benefit of collaboration, coordination and management plan, or budget documents should be listed directly on the application form.
- Individuals not meeting these criteria should not be listed as collaborators on the application.

Two Types of Collaborator Designations:

- Key/Senior Personnel
 - Collaborators receiving funding or making major contributions to the project.
 - All documents are required for key/senior personnel.
 - Individuals considered key/senior project personnel should be listed in the <u>first</u> collaborator section of the application form.
- Other Collaborators or Personnel
 - Collaborators typically not receiving funding, have advisory only roles, etc.
 - Some documents may not be required.
 - NSUF Technical Leads should be listed as 'other collaborators.'
 - 'Other collaborators' should be listed in the <u>second</u> collaborator section of the application form to facilitate management of COI.

Collaborators (continued)

- PI must certify that all collaborators are listed on the application form and have agreed to participate on the project.
 - All individuals involved in the project MUST be listed (as either key/senior personnel or other collaborators), including those at the lead institution.
 - Applications that do not identify all collaborators may be dismissed.
 - Policy Drivers:
 - Must be able to identify all individuals involved in the project for conflict-of-interest mitigation.
 - Must verify that all individuals listed on the application are aware and agree to obligations outlined in the project proposal.

Cost Sharing

• Cost sharing is encouraged but not required.

Project Administration Reminders

Project or PI Transfer

- Applications submitted to this FOA will be awarded to the applicant institution listed and will not be transferred pre-award to another if a lead PI changes institutions. An application is considered 'submitted' once the pre-application is submitted.
- Pls that are moving from one institution to another during and/or after the CINR review process are subject to the DOE's PI Move/Change Policy which is explained at www.NEUP.gov.
- Awards in this FOA are made to the applying institution and will remain at that institution for the entirety of the project.
- Any additional changes to partners/collaborators must be approved by the DOE Contracting Officer.

Pre-Award Costs

Recipients may charge allowable costs to an award 90 days immediately preceding the effective award date. Recipients must obtain the prior approval of the DOE Contracting Officer for any pre-award costs greater than 90 days. Recipients are responsible for pre-award costs, if award negotiations are unsuccessful.



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Review Criteria

- NE Mission Relevancy Review: Confirm that the application addresses a relevant aspect of NE's mission.
- Pre-Application Technical Merit Review
 - High level merit review focusing on the originality, creativity and thoroughness of the concept being proposed.

Full Application Technical Merit Review

- <u>Criterion 1:</u> Advances the State of Knowledge and Understanding and Addresses Gaps in Nuclear Science and Engineering Research
- <u>Criterion 2</u>: Technical Quality of the Proposed R&D Project
- <u>Criterion 3:</u> Applicant Team Capabilities, Risks, and Experience

Minority Serving Institution Diverse Team Scoring

Additional points may be awarded due to meaningful participation by Minority Serving Institutions.

Meaningful MSI participation could include:

- MSI-led application
- Significant R&D contribution by the MSI institution
- Significant MSI student involvement

NSUF Specific Review Criteria

Feasibility Review

- Takes place during the pre-application review process.
- Includes the feasibility of executing the project with factors including type of project; duration of project; experimental degree of complexity; types of samples; number of samples; need for shipping and containment; potential needed capability or facility enhancement or upgrade; project schedule, and cost.
- Technical Lead guidance will help prevent feasibility issues. Engage with your tech lead during application preparation.

Readiness Review

- Takes place at both the pre-application and full application reviews.
- Requires that the project meets the stipulations of NSUF's readiness criteria (outlined in Part I, Section B.3.1 of the CINR FOA).

Uninvited Pre-Applications

- Uninvited applications may be submitted as full applications per the stipulations in the FOA.
 - Uninvited applications associated with NSUF submissions may <u>not</u> be submitted as full applications due to the expense associated with feasibility assessments.
- Uninvited applications will be re-reviewed for NE mission relevance during the full application technical review process.

Contact Information



Federal Points of Contact - Technical Questions

Contact <u>neup@inl.gov</u> with a question directed at a Federal Point of Contact.

DOE-ID - Procurement Questions

- Andrew Ford
- fordaj@id.doe.gov
- NEUP Integration Office General Application Submittal Questions
 - 208-526-2123/ 208-526-1602
 - <u>neup@inl.gov</u>



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U.S. DEPARTMENT OF **ENERGY**Office of **NUCLEAR ENERGY**