

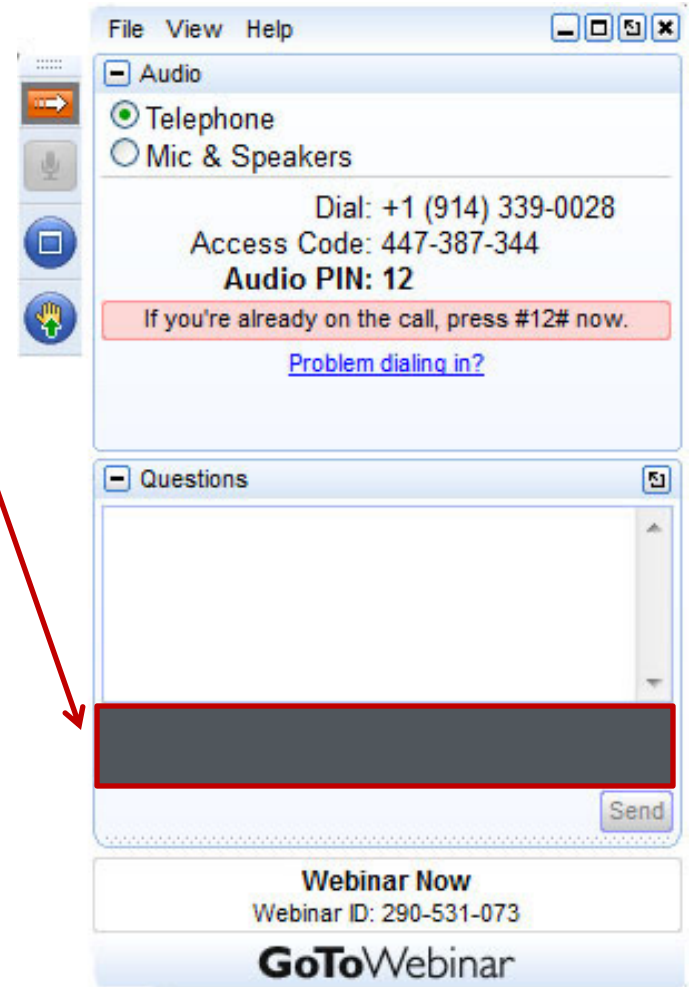


FY 2022 CINR FOA DE-FOA-0002516

Informational Webinar
August 9-12, 2021

How to Ask Questions During This Webinar

- ❑ Submit questions using the GoToWebinar software by typing in the Webinar ID field.
- ❑ Questions that do not get answered during the allotted time will be answered and posted on www.NEUP.gov.
- ❑ Specific questions on individual eligibility or workscope detail should be addressed offline.



Outline

- **FY 2021 Outcomes**
- FOA Overview
- Policy Updates and Reminders
- Review Process, Tools, and Submissions

Fiscal Year 2022 Consolidated Innovative Nuclear Research

FINANCIAL ASSISTANCE FUNDING OPPORTUNITY ANNOUNCEMENT



U. S. Department of Energy

Idaho Operations Office

Fiscal Year 2022 Consolidated Innovative Nuclear Research

Funding Opportunity Announcement:
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Announcement Type: Initial – August 23, 2021

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FY 2021 Summary Outcome

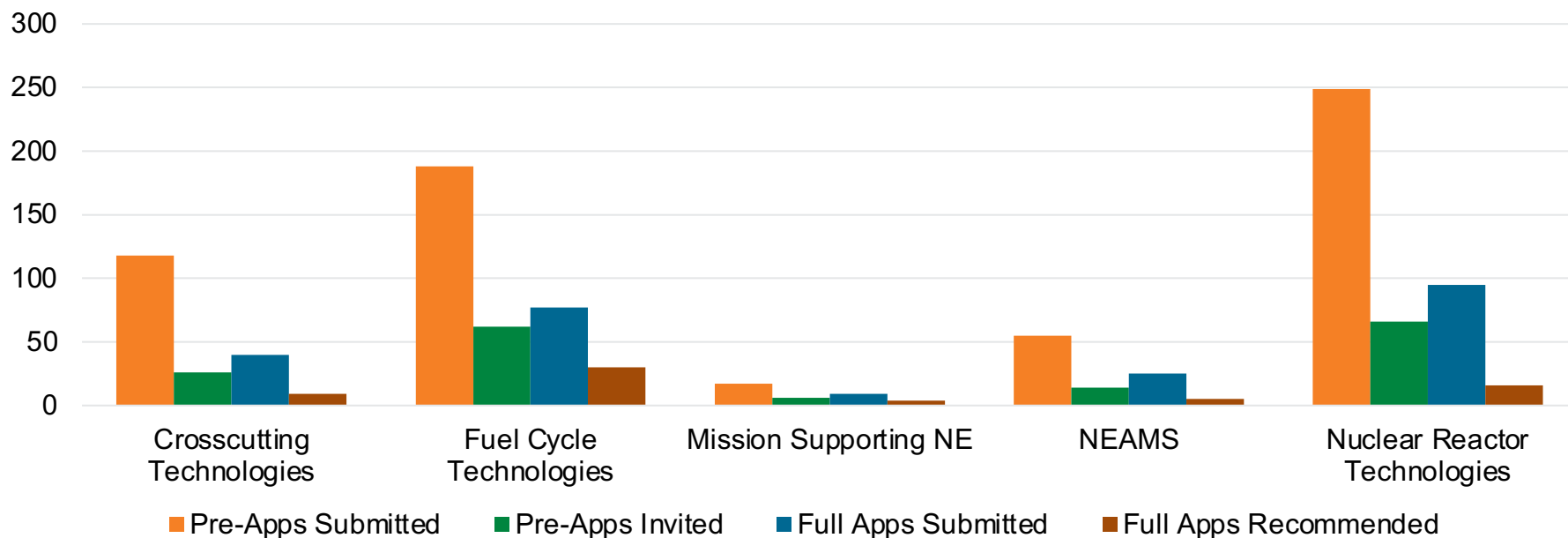
- ❑ In FY 2021, DOE awarded more than \$61 million in nuclear energy research, cross-cutting technology development, facility access, and infrastructure awards for 99 advanced nuclear technology projects in 30 states.



- ❑ These awards provide funding for nuclear energy-related research through the Nuclear Energy University Program (NEUP), Nuclear Science User Facilities (NSUF), and Nuclear Energy Enabling Technology (NEET) programs. With these awards, DOE's Office of Nuclear Energy has now awarded more than \$860 million to continue American leadership in clean energy innovation and to train the next generation of nuclear engineers and scientists through its competitive opportunities since 2009.

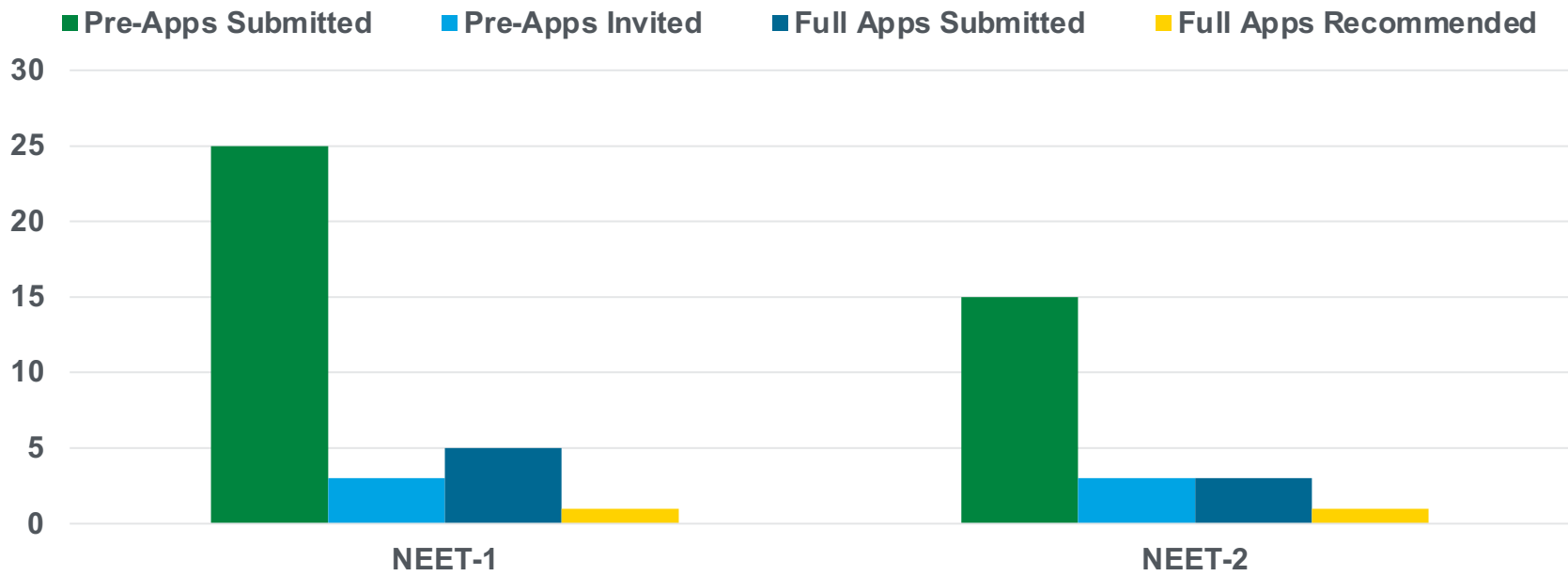
FY 2021 NEUP Application Overview

- **627** pre-applications received
- **176** applications invited
- **246** full applications received
 - 1 invited was not submitted
 - 3 submitted were dismissed
 - 72 uninvited submitted
 - 24 fully peer-reviewed
- **64** applications recommended
 - 57 individual lead PIs
 - Includes 3 uninvited



NEET Application Overview

- **40** received pre-applications
- **7** invited applications
 - 1 invited not submitted
- **8** full applications received
 - 7 fully peer-reviewed
- **2 recommended applications**

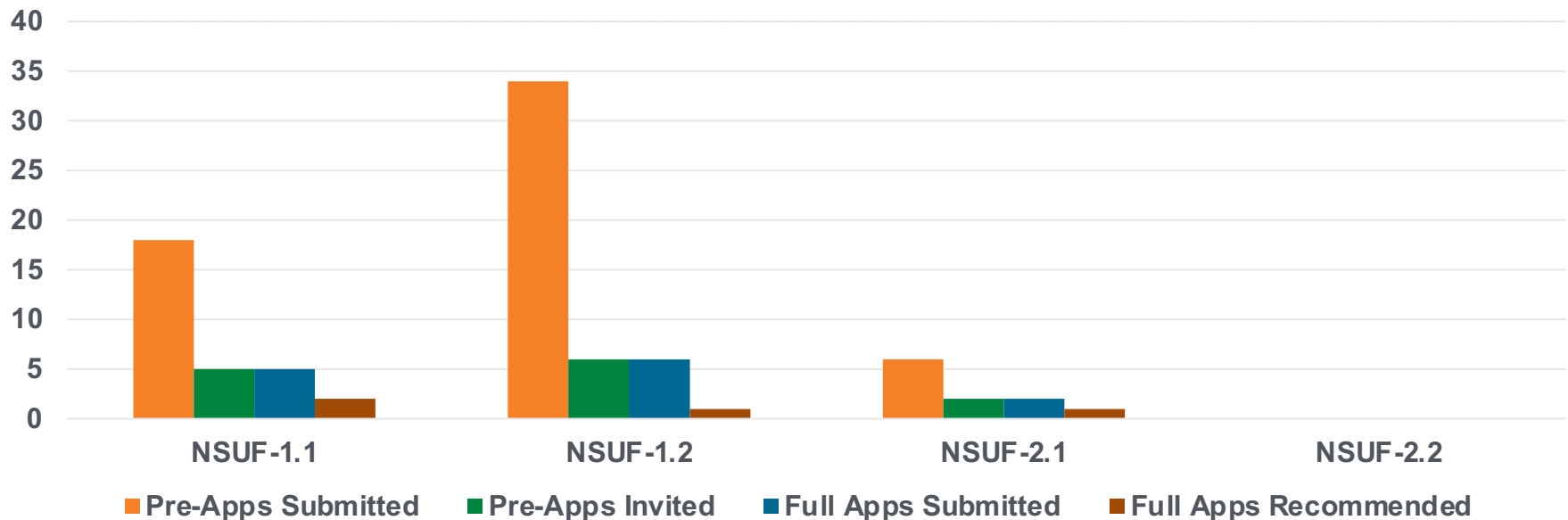


NEET-1: Advanced Methods for Manufacturing

NEET-2: Wireless Technology for Nuclear Instrumentation and Control Systems

NSUF Application Overview

- **58** received pre-applications
- **15** invited applications
- **13** full applications received
 - 2 invited were not submitted
- **4** applications recommended
 - No uninvited applications
 - 3 individual lead PIs
- No applications invited in NSUF-2.2



NSUF-1.1: Testing of Advanced Materials or Advanced Sensors for Nuclear Applications

NSUF-1.2: Irradiation Testing of Materials Produced by Innovative Manufacturing Techniques

NSUF-2.1: Core and Structural Materials – NSUF Access Only

NSUF-2.2: High Performance Computing at Idaho National Laboratory – NSUF Access Only

FY 2022 CINR FOA Objectives and Priorities

- ❑ DOE NE mission is to advance U.S. nuclear power in order 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 at least one of these three priorities.
- ❑ 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.

FOA Highlights

❑ Funding Mechanism

- Universities: Cooperative Agreements issued by DOE
- National laboratories: Work Authorizations managed by DOE
- Nuclear Science User Facilities (NSUF) Access: NSUF User Agreement

❑ Collaborative Opportunity

- NSUF (requires signed user agreement)
 - applications for CINR R&D support and NSUF access
 - applications for NSUF access only

❑ Official FOA (DE-FOA-0002516) at <http://www.grants.gov>

❑ Apply through <http://www.NEUP.gov>

FY 2022 Important Due Dates

- ❑ FOA release (pending): Aug 2021
- ❑ NSUF LOI's (NSUF- and IRP-FC-1 scopes): Sept 2, 2021
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Notable Changes to FY 2022 CINR FOA

- ❑ NEET-CTD and NSUF scopes with R&D support have moved to Appendix A and are university-led only. These scopes can be found in the Cross-Cutting Technologies (CT-) section and NSUF section of Appendix A.
- ❑ FY 2022 will feature multiple IRP scopes
 - An IRP scope will include NSUF access (IRP-FC-1). IRP scopes that include NSUF access require a Letter of Intent.
- ❑ Diverse partnership scoring will be enhanced and focus on involvement of Minority Serving Institutions (MSIs) with particular focus on Historically Black Colleges and Universities (HBCUs) and Tribal Colleges and Universities (TCUs).
 - MSIs are encouraged to submit as lead applicants and in collaboration roles.

Notable Changes to FY 2022 CINR FOA (Cont.)

- ❑ Pre-Application page limit is increasing to 5 pages.
- ❑ Data Management Plan will be required of all awarded projects within 90 days of award.
 - Documents are requested during the award negotiation process.
- ❑ Increased focus and tools to prevent common mistakes which lead to application dismissal.
 - FOA outlines common mistakes that lead to dismissal.
 - Documents listed as 'if applicable' on the required documents table.
 - Clarifications on required documents should be asked before the application deadline.
- ❑ Applicants should contact neup@inl.gov for technical questions in place of contacting Federal or Technical Points of Contact.

FOA Organization

University-led R&D (NEUP, NEET-CTD, and NSUF workscopes):

- Appendix A & C
 - Program Supporting
 - Mission Supporting
 - Program Directed

University-, National Laboratory-, or Industry-led NSUF Access (NSUF workscopes):

- Appendix B
 - Program Supporting

Research Elements

❑ Program Supporting

- supports NE programs
- defined by, and focused on, the statement of objectives developed by responsible programs



❑ Mission Supporting

- must support NE mission
- includes research in fields or disciplines of nuclear science and engineering that are relevant to NE's mission but may not fully align with the specific initiatives and programs as described in Program Supporting objectives



❑ Program Directed

- directed by NE programs
- significant projects within specific research areas
- intended to develop a capability to address specific needs, problems, or capability gaps identified and defined by DOE



University-led R&D: Appendix A

☐ Award Size

- Program Supporting: up to \$800,000
- Mission Supporting: up to \$400,000

☐ Period of Performance

- up to three years

☐ Eligibility

- only universities are eligible to lead
- universities, national laboratories, and industry are eligible to collaborate

☐ Estimated Funding Level

- approximately \$46 million, totaling approximately 65 awards

University-, National Laboratory-, or Industry-led: Appendix B

❑ Award Size

- NSUF Access Only workscopes: up to \$5 M for irradiation/PIE, \$1.5 M for irradiation, or \$750,000 for beamline or PIE access request

❑ Period of Performance

- Up to 3 yrs; up to 7 if irradiation and PIE are proposed in NSUF workscopes

❑ Eligibility

- NSUF-2 applications are open to universities, national laboratories, and industry to lead or collaborate

❑ Estimated number of awards

- Approximately \$2 million for NSUF Access (totaling approximately 3 awards)

University-led IRP: Appendix C

❑ Eligibility

- Only universities are eligible to lead.
- At a minimum the team should consist of multiple universities.
- Universities, national laboratories, and industry are eligible to collaborate.
- International collaborations are encouraged

❑ Period of Performance

- Dependent on workscope area

❑ Award Size

- Dependent on workscope area

❑ Estimated number of awards

- One per workscope area

❑ IRP-MS Scopes

- Collaboration with a Minority Serving Institution (MSI), Historically Black College or University (HBCU), and/or Tribal College and University (TCUs) is required.

❑ Estimated Budget for Awards

- \$28 million for 8 projects.

University-led IRP: Appendix C (Cont.)

Scope Number	Scope Title	Period of Performance	Award Size
IRP-FC-1	Fundamentals of Actinide Materials Supporting Advanced Reactor Fuel Development	Up to 4 years	\$3M
IRP-FC-2	ATF Cladding Tests in the MITR Pressurized Water Loop	Up to 4 years	\$4M
IRP-RC-1	Development of Enabling Fabrication Technology for Compact Heat Exchangers for Advanced Reactors	Up to 3 years	\$4M
IRP-RC-2	High Temperature Reactor Graphite Core Waste Processing	Up to 3 years	\$3M
IRP-RC-3	Light Water Reactor Sustainability	Up to 5 years	\$4M
IRP-NEAMS-1	Combined Experimental-Modeling Assessments of Impurities/Fission Products in Molten Salts and Fundamental Corrosion Mechanisms of Relevant Structural Alloys	Up to 3 years	\$3M
IRP-MS-1*	Nuclear Energy Workforce Pipeline Gap Analysis	Up to 3 years	\$3M
IRP-MS-2*	Consent-Based Siting	Up to 3 years	\$3M

***Requires MSI lead or collaborator**

Lead Institution Participation Summary

- ❑ **Appendix A:** U.S. Universities Only
- ❑ **Appendix B:** U.S. Universities, National Laboratories, Industry
 - applicants may only request NSUF access only
- ❑ **Appendix C:** U.S. Universities Only

Technical Narrative Application Page Limits

□ Appendix A

- Two-page Letter of Intent (LOI) for applications requesting NSUF access
- Up to five-page pre-application
- Up to 10-page full application for applications requesting R&D support
- Up to 15-page full application for applications requesting R&D support and NSUF access

□ Appendix B

- Up to 15-page full application for applications requesting NSUF access

□ Appendix C

- Up to 50-page full application

Pay attention to the formatting guidelines. No smaller than Times New Roman, 11-point font, **including references, title pages and tables**. Labels on graphs and images are not required to follow these guidelines if they are legible. Applications will be redacted of any information not following the formatting and page limit guidelines.

Collaboration Guidance

- ❑ To enhance and diversify DOE's research portfolio, additional consideration is given for collaborations with minority-serving institutions (MSIs). MSIs leading projects or in a significant collaboration role are highly encouraged.
- ❑ For university-led applications in Appendix A and C, non-university collaborators in composite can account for no more than 20% of the total funds provided by the government.
- ❑ Applications with international collaborators should be developed such that they stand on their own, and do not require the collaboration for execution or success.
- ❑ Funding is for U.S. institutions only.
 - International organizations are encouraged to collaborate as long as they are neither a denied party nor a party requiring an export license.
 - U.S. funding will not be provided to international collaborators.

Diverse Team: Criteria and Contribution

- ❑ The degree to which MSIs, if any, contribute to the applicant's ability to support the relevant program element or overall NE mission
 - MSI is attributed at the institution level and valued by a listing maintained by the Department of Education.
- ❑ Collaborations are evaluated as part of relevancy.
- ❑ Collaborations are not required to achieve the highest relevancy score.
- ❑ IRP-MS-1 and IRP-MS-2 scopes require collaboration with a Minority Serving Institution (MSI), Historically Black College or University (HBCU), and/or Tribal College and University (TCUs) is required.

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Policy Updates and Reminders

- ❑ All application documents must be submitted by published deadlines. Failing to submit a required document will lead to dismissal of the application.
 - List of common mistakes is available at the beginning of the FOA
 - If in doubt, please reach out to neup@inl.gov for clarifications on document requirements.
- ❑ A new award may be delayed due to delinquent reporting, including delinquent final reports for past awards.
- ❑ A data management plan is required for awarded projects. This is a detailed requirement now outlined in Section IV, Part E.
- ❑ For university-led applications, non-university collaborators in composite can have no more than 20% of the total funds provided by the government.

Policy Updates and Reminders

- ❑ Font sizing applies to all pages of the document and includes references, title pages and tables. Graphic elements may have axis labels or legends in a lesser (but legible) font.
- ❑ Due to the COVID-19 pandemic, FY 2016-FY 2019 active projects will not be counted toward eligibility restrictions.
- ❑ For NSUF applications, NSUF Technical Leads and instrument scientists **should be** listed as collaborators.
- ❑ Lead applicants must have an account at www.neup.gov
- ❑ The application must be submitted by the same institution as the lead applicant

Policy Updates and Reminders

- ❑ CINR reviews are no longer performed in a semi-blind format.
- ❑ **All CINR** applications must include a list of publications resulting from previous CINR supported projects.
- ❑ NSUF-2 (Appendix B) applications may be led by university, national laboratory or industry applicants.
- ❑ Applicants are required to obtain a DUNS number (<http://fedgov.dnb.com/webform>), and register with the SAM website (<http://www.sam.gov/>).
- ❑ NSUF applicants are required to affirm their ability to accept the NSUF User Agreement on submission of LOI, pre-app, and full app. Must be signed within 30 days of receipt.
- ❑ For NSUF pre-applications a separate section describing readiness is required.
- ❑ NSUF SOW's are uploaded to NEUP.gov.
- ❑ SOWs are not considered a 'review document'.

Policy Updates and Reminders Continued

- ❑ PIs and collaborators are considered final when the pre-application is submitted (extenuating circumstances will be addressed as needed).
- ❑ The PI is responsible for selection of appropriate workscope.
 - Full applications must compete in the workscope to which the pre-applications were submitted.
 - Applications may only compete in a single workscope area.
- ❑ For review purposes, conflict of interest restrictions, if necessary, will be attributed to the individual, not the institution.
- ❑ Applicants are responsible for not exceeding submission limits.

Policy Updates and Reminders Continued

- ❑ Uninvited applications may be submitted as full applications per the stipulations of the FOA.
- ❑ Uninvited applications associated with NSUF submissions may not be submitted as full applications due to the expense associated with feasibility assessments.
- ❑ U.S. funding may not be provided to international institutions.

Policy Updates and Reminders Continued



❑ **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 not successful.

❑ ***DO NOT LOCK CELLS IN BUDGET SPREADSHEETS.***

Applications with locked cells may be disregarded without further review.

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.***
- ❑ PIs 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.

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.
- NSUF Technical Leads ***should be listed*** as collaborators to facilitate management of COI

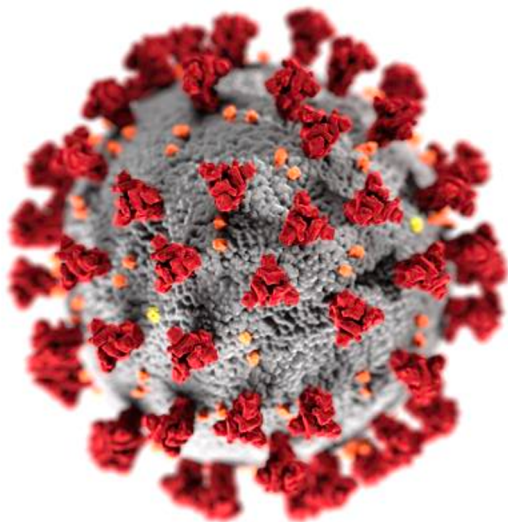
Collaborators Continued

PI must certify that all collaborators are listed on the application form and have agreed to participate on the project.

- You **MUST** list all individuals involved in the project, including those at your own institution on the application form.
- If you do not list all collaborators, your application may be dismissed.
- Policy Drivers
 - Must be able to identify all individuals involved in the project for conflict-of-interest purposes.
 - Must verify that all individuals listed on the application are aware and agree to obligations outlined in the project proposal.

Submittal Guidelines & Eligibility

SPECIAL NOTE



Due to the COVID-19 pandemic, FY 2016-FY 2019 active projects *will not be counted* toward eligibility restrictions.

Submittal Guidelines & Eligibility

- ❑ The following applicants are ineligible to apply to any area of this FOA as a lead PI if:
 - The PI has a currently funded IRP that will be active after December 31, 2022.
 - The PI has three or more R&D projects that will still be active after December 31, 2022 excluding NSUF-2 projects and any NSUF project with a duration greater than 3 years.
 - The PI has a no-cost extension on any DOE-NE funded project (excluding Infrastructure) that will still be active beyond December 31, 2022 excluding extensions caused by NSUF.
- ❑ Pre-application submittal limits: University PIs can be included on no more than six pre-applications total, with no more than three of those submissions as the PI.
- ❑ Full application submittal limit: A university PI may have no more than one IRP, or 3 active R&D projects at any time and may not submit more full applications than allowed should the applications be selected for funding. *NSUF access only and NSUF projects that last more than three years are excluded.*
- ❑ An applicant cannot submit an IRP as lead PI and an R&D full application to the same FOA.
- ❑ Existing NCE's that will end before December 31, 2022 are not subject to this restriction. NCE requests for projects ending in FY 2022 must be submitted by April 15, 2022.
- ❑ NSUF-2 applications are not subject to these eligibility restrictions.

Cost Sharing

- ❑ For applications led by universities, cost sharing is permitted but not required.

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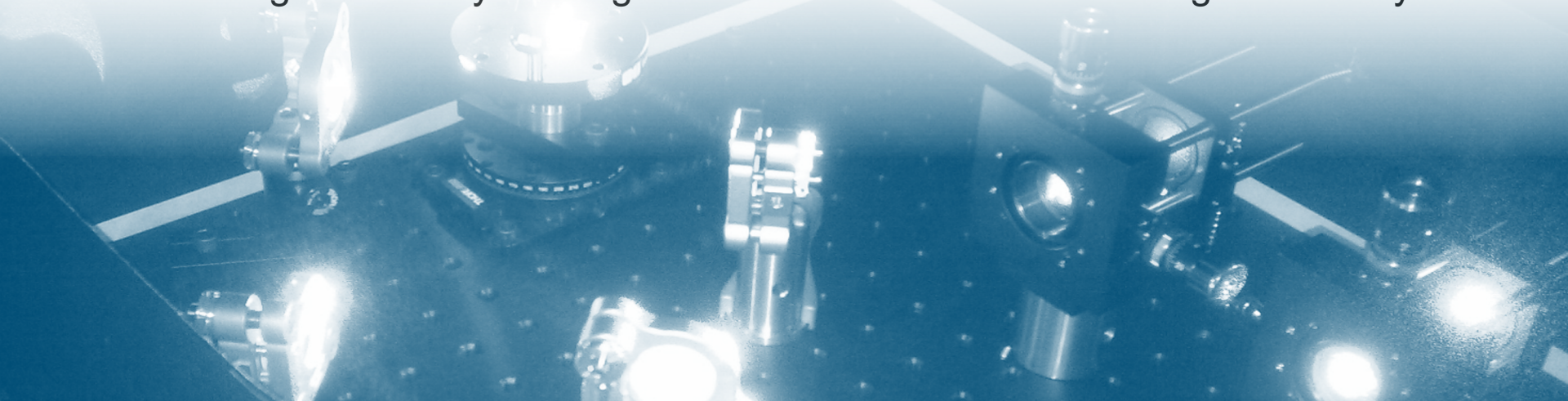
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Uninvited Pre-Applications

- ❑ With the exception of NSUF applications, pre-applications that are not invited may still be submitted as full applications.
- ❑ Uninvited pre-applications that are received as full applications must meet the following criteria in a re-review to be considered for a full technical review.
 - Relevancy: average score of at least High Relevance
 - Program Priority: average score of at least Moderate Program Priority



Weighting of Scores

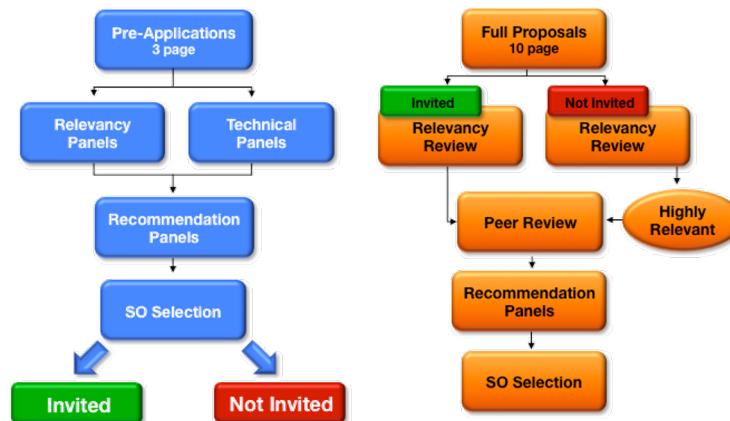
- ❑ Technical merit and relevancy are weighted according to program involvement:
 - Mission Supporting 80% Technical; 20% Relevancy
 - Program Supporting 65% Technical; 35% Relevancy
 - NSUF Access Only: 65% Technical; 35% Relevancy
 - Program Directed: 50% Technical; 50% Relevancy
- ❑ The FOA details criteria for all sections and application types.
- ❑ Additional relevancy consideration is given for effective partnerships including MSIs.
- ❑ Program priority is a separate criteria that is scored by relevancy reviewers.

Semi Blind Reviews

- ❑ CINR policy is to review proposals and MS applications in a semi blind process. Technical narrative is evaluated with the knowledge of individuals on the review panel to assess the merit of the proposal. **Do not include the following information in the narrative:**
 - Cost and pricing information.
 - Identification, by individual name or name of institution, of any teaming partner or lead institution (examples of acceptable ways of referring to partners are posted on the NE website).
 - Official name or title of facilities used to execute scope. Do not describe the facility by function and/or technical attributes such as particle accelerator, a test reactor, etc.
- ❑ **Note:** For applications requesting NSUF facilities, the NSUF facilities may be named.

Review Processes and Criteria

- ❑ Review criteria and processes used for PS and MS evaluation are consistent with traditional peer review.
 - PS and MS applications are reviewed in a process that includes pre-applications.
 - pre-applications: two relevancy, one peer
 - results in Invited and Not Invited status
 - full applications: typically two relevancy, three peer



Contact Information



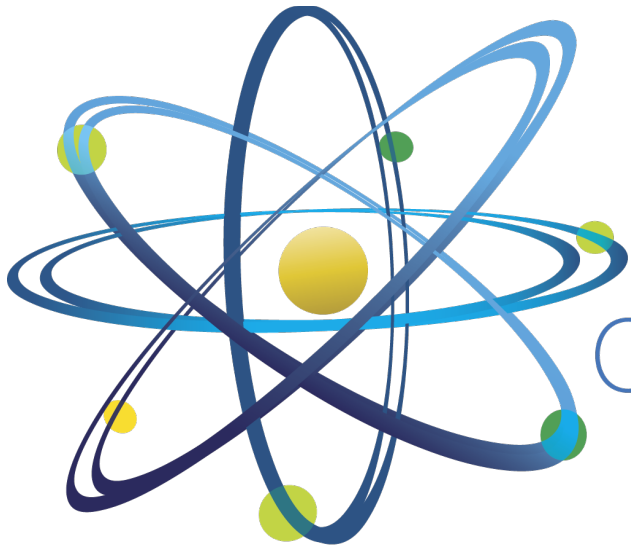
- ❑ Technical Questions
 - Submit in writing to neup@inl.gov
- ❑ DOE-ID – Procurement Questions
 - Andrew Ford
 - fordaj@id.doe.gov
- ❑ NE Integration Office – General Application Submittal Questions
 - (208) 526-2123 / (208) 526-1602
 - neup@inl.gov

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Questions?



Clean. **Reliable. Nuclear.**