# U.S. NUCLEAR REGULATORY COMMISSION
## NOTICE OF GRANT/ASSISTANCE AWARD

| 1. GRANT/AGREEMENT NO. | 2. MODIFICATION NO. | 3. PERIOD OF PERFORMANCE | 4. AUTHORITY |
|---|---|---|---|
| NRC-38-09-935 | | FROM: 7/31/2009 TO: 7/30/2013 | Pursuant to Section 31b and 141b of the Atomic Energy Act of 1954, as amended |

| 5. TYPE OF AWARD | 6. ORGANIZATION TYPE | 7. RECIPIENT NAME, ADDRESS, and EMAIL ADDRESS |
|---|---|---|
| [x] GRANT<br>[ ] COOPERATIVE AGREEMENT | Private Non-Prof St-Rel Edu.Inst.<br>DUNS:004514360 | UNIVERSITY OF PITTSBURGH THE<br>3520 FIFTH AVE<br>PITTSBURGH PA 152133320<br>Email: offres@offres.pitt.edu |

8. PROJECT TITLE:
NRC GRADUATE FELLOWSHIP IN NUCLEAR ENGINEERING

| 9. PROJECT WILL BE CONDUCTED | 10. TECHNICAL REPORTS ARE REQUIRED | 11. PRINCIPAL INVESTIGATOR(S) NAME, ADDRESS and EMAIL ADDRESS |
|---|---|---|
| PER GOVERNMENT'S/RECIPIENT'S PROPOSAL(S) DATED 2/25/2009 AND APPENDIX A-PROJECT GRANT PROVISIONS | [x] PROGRESS AND FINAL<br>[ ] FINAL ONLY<br>[ ] OTHER (Conference Proceedings) | University of Pittsburgh<br>PI: Dr. Jorg Wiezorek<br>Swanson School of Engineering<br>Pittsburgh, PA 15261<br>Email: Wiezorek+@pitt.edu |

| 12. NRC PROGRAM OFFICE (NAME and ADDRESS) | 13. ACCOUNTING and APPROPRIATION DATA | 14. METHOD OF PAYMENT |
|---|---|---|
| U.S. Nuclear Regulatory Commission<br>Office of Human Relations<br>Attn: John Gutteridge<br>Mail Stop: GW5A06<br>Washington DC 20555-0001<br>Email: John.Gutteridge@nrc.gov | APPN. NO: 31X0200<br>B&R NO: 9-8415-5C1115<br>JOB CODE: T8460<br>BOC NO: 4110<br>OFFICE ID NO: 38 | [ ] ADVANCE BY TREASURY CHECK<br>[ ] REIMBURSEMENT BY TREASURY CHECK<br>[ ] LETTER OF CREDIT<br>[x] OTHER (SPECIFY) Electronic ASAP.gov<br>(See Remarks in Item #20 "Payment Information") |

| 15. NRC OBLIGATION FUNDS | | 16. TOTAL FUNDING AGREEMENT | |
|---|---|---|---|
| THIS ACTION | $400,000.00 | NRC | $400,000.00 |
| PREVIOUS OBLIGATION | | RECIPIENT | $0.00 |
| TOTAL | $400,000.00 | TOTAL | $400,000.00 |

This action provides funds for Fiscal Year 2009 in the amount of $400,000.00

17. NRC ISSUING OFFICE (NAME, ADDRESS and EMAIL ADDRESS)

U.S. Nuclear Regulatory Commission
Div. of Contracts
Attn: Aaron Alvarado Email: aaron.alvarado@nrc.gov
Mail Stop: TWB-01-B10M
Washington, DC 20555

18.
Acceptance of or objections to the Terms and Conditions of Award must be Emailed to the NRC Issuing Office (Block #17) within three (3) business days following the Award issue date. NRC considers lack of response as acceptance by the grantee of the terms and conditions of award.

19. NRC CONTRACTING OFFICER

Donald A. King 7/23/2009
(Signature) (Date)

NAME (TYPED) Donald A. King

TITLE Contracting Officer

TELEPHONE NO. (301)492-3635 email: Donald.King@nrc.gov

20. PAYMENT INFORMATION

Payment will be made through the Automated Standard Application for Payment (ASAP.gov) unless the recipient has failed to comply with the program objectives, award conditions, Federal reporting requirements or other conditions specified in 2 CFR 215 (OMB Circular A110).

21. Attached is a copy of the "NRC General Provisions for Grants and Cooperative Agreements Awarded to Non-Government Recipients.
Acceptance of these terms and conditions is acknowledged when Federal funds are used on this project.

22. ORDER OF PRECEDENCE
In the event of a conflict between the recipient's proposal and this award, the terms of the Award shall prevail.

23. By this award, the Recipient certifies that payment of any audit-related debt will not reduce the level of performance of any Federal Program.

TEMPLATE - ADM001 SUNSI REVIEW COMPLETE JUL 28 2009 ADM002

NRC-38-09-935

## The Nuclear Regulatory Commission's Standard Terms and Conditions for U.S. Nongovernmental Recipients

### Preface

This award is based on the application submitted to, and as approved by, the Nuclear Regulatory Commission (NRC) under the authorization 42 USC 2051(b) pursuant to section 31b and 141b of the Atomic Energy Act of 1954, as amended, and is subject to the terms and conditions incorporated either directly or by reference in the following:

- Grant program legislation and program regulation cited in this Notice of Grant Award.
- Restrictions on the expenditure of Federal funds in appropriation acts, to the extent those restrictions are pertinent to the award.
- Code of Federal Regulations/Regulatory Requirements - 2 CFR 215 Uniform Administrative Requirements For Grants And Agreements With Institutions Of Higher Education, Hospitals, And Other Non-Profit Organizations (OMB Circulars), as applicable.

To assist with finding additional guidance for selected items of cost as required in 2 CRF 220, 2 CFR 225, and 2 CFR 230 these URLs to the Office of Management and Budget Cost Circulars are included for reference:
A-21: http://www.whitehouse.gov/omb/circulars/a021/print/a021.html
A-87: http://www.whitehouse.gov/omb/circulars/a087/print/a087-all.html
A-122: http://www.whitehouse.gov/omb/circulars/a122/print/a122.html
A-102, SF 424: http://www.whitehouse.gov/omb/circulars/a102/print/a102.html
Form 990: http://www.irs.gov/pub/irs-pdf/i990-ez.pdf

Any inconsistency or conflict in terms and conditions specified in the award will be resolved according to the following order of precedence: public laws, regulations, applicable notices published in the Federal Register, Executive Orders (EOs), Office of Management and Budget (OMB) Circulars, the Nuclear Regulatory Commission's (NRC) Mandatory Standard Provisions, special award conditions, and standard award conditions.

By drawing funds from the Automated Standard Application for Payment system (ASAP), the recipient agrees to the terms and conditions of an award.

**Certifications and representations.** These terms incorporate the certifications and representations required by statute, executive order, or regulation that were submitted with the SF424B application through Grants.gov.

**INFORMATION** This award has been negotiated between Aaron Alvarado of the Nuclear Regulatory Commission and Laurie Mejia on 6/20/2009.

### COST SCHEDULE

| Line Item | Year 1 | Year 2 | Year 3 | Year 4 | Total |
|---|---|---|---|---|---|
| Personnel | | | | | |
| *Fellows (2)* | $ 51,504.00 | $ 51,504.00 | $ 51,504.00 | $ 51,504.00 | $ 206,016.00 |
| Travel | $ 2,000.00 | $ 2,000.00 | $ 2,000.00 | $ 2,000.00 | $ 8,000.00 |
| Supplies | | | | | |
| *Books* | $ 1,285.00 | $ 1,285.00 | $ 1,285.00 | $ 1,285.00 | $ 5,140.00 |
| *Lab Expenses* | $ 3,000.00 | $ 3,000.00 | $ 3,000.00 | $ 3,000.00 | $ 12,000.00 |
| Other | | | | | |
| *Tuition and Fees (2 Fellows @$18,794/ yr)* | $ 37,588.00 | $ 37,588.00 | $ 37,588.00 | $ 37,588.00 | $ 150,352.00 |
| ***Direct Costs*** | $ 95,377.00 | $ 95,377.00 | $ 95,377.00 | $ 95,377.00 | $ 381,508.00 |
| ***Indrect Costs (8% on DCs excluding Other)*** | $ 4,623 | $ 4,623 | $ 4,623 | $ 4,623 | $ 18,492 |
| **Total Cost** | $ 100,000 | $ 100,000 | $ 100,000 | $ 100,000 | $ 400,000 |

## I. Mandatory General Requirements

The order of these requirements does not make one requirement more important than any other requirement.

### 1. Applicability of 2 CFR Part 215

a. All provisions of 2 CFR Part 215 and all Standard Provisions attached to this grant/cooperative agreement are applicable to the Recipient and to sub-recipients which meet the definition of "Recipient" in Part 215, unless a section specifically excludes a sub-recipient from coverage. The Recipient and any sub-recipients must, in addition to the assurances made as part of the application, comply and require each of its sub-awardees employed in the completion of the project to comply with Subpart C of 2 CFR 215 Part 180 and include this term in lower-tier (subaward) covered transactions.

b. Recipients must comply with monitoring procedures and audit requirements in accordance with OMB Circular A-133. < http://www.whitehouse.gov/omb/circulars/a133_compliance/08/08toc.aspx >

### 2. Award Package

This award is composed of an award face page, which incorporates the recipient's proposal by reference, and the NRC Standard Provisions for U.S. Nongovernmental Recipients. This award constitutes acceptance by the NRC of the Recipient's proposal and budget unless otherwise indicated on the face page, Block 9.

**§ 215.41 Recipient responsibilities.**

The Recipient is obligated to conduct such project oversight as may be appropriate, to manage the funds with prudence, and to comply with the provisions outlined in 2 CFR 215.41 Within this framework, the Principal Investigator (PI) named on the award face page, Block 11, is responsible for the scientific or technical direction of the project and for preparation of the project performance reports. This award is funded on a cost reimbursement basis not to exceed the amount awarded as indicated on the face page, Block 16. and is subject to a refund of unexpended funds to NRC.

The standards contained in this section do not relieve the recipient of the contractual responsibilities arising under its contract(s). The recipient is the responsible authority, without recourse to the NRC, regarding the settlement and satisfaction of all contractual and administrative issues arising out of procurements entered into in support of an award or other agreement. This includes disputes, claims, protests of award, source evaluation or other matters of a contractual nature. Matters concerning violation of statute are to be referred to such Federal, State or local authority as may have proper jurisdiction.

**Subgrants**

Appendix A to Part 215—Contract Provisions

Sub-recipients, sub-awardees, and contractors have no relationship with NRC under the terms of this grant/cooperative agreement. All required NRC approvals must be directed through the Recipient to NRC. See 2 CFR 215.180 and 215.41.

**Nondiscrimination**

(This provision is applicable when work under the grant/cooperative agreement is performed in the U.S. or when employees are recruited in the U.S.)

No U.S. citizen or legal resident shall be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity funded by this award on the basis of race, color, national origin, age, religion, handicap, or sex. The Recipient agrees to comply with the non-discrimination requirements below:

Title VI of the Civil Rights Act of 1964 (42 USC §§ 2000d et seq)

Title IX of the Education Amendments of 1972 (20 USC §§ 1681 et seq)
Section 504 of the Rehabilitation Act of 1973,as amended (29 USC § 794)
The Age Discrimination Act of 1975, as amended (42 USC §§ 6101 et seq)
The Americans with Disabilities Act of 1990 (42 USC §§ 12101 et seq)
Parts II and III of EO 11246 as amended by EO 11375 and 12086.
EO 13166, "Improving Access to Services for Persons with Limited English Proficiency."
Any other applicable non-discrimination law(s).

Generally, Title VII of the Civil Rights Act of 1964, 42 USC § 2000e et seq, provides that it shall be an unlawful employment practice for an employer to discharge any individual or otherwise to discriminate against an individual with respect to compensation, terms, conditions, or privileges of employment because of such individual's race, color, religion, sex, or national origin. However, Title VII, 42 USC § 2000e-1(a), expressly exempts from the prohibition against discrimination on the basis of religion, a religious corporation, association, educational institution, or society with respect to the employment of individuals of a particular religion to perform work connected with the carrying on by such corporation, association, educational institution, or society of its activities.

**Modifications/Prior Approval**

NRC prior written approval may be required before a recipient makes certain budget modifications or undertakes particular activities. If NRC approval is required for changes in the grant or cooperative agreement, it must be requested of, and obtained from, the NRC Grants Officer in advance of the change or obligation of funds. All requests for NRC prior approval must be made, in writing (which includes submission by e-mail), to the designated Grants Specialist and Program Office no later than 30 days before the proposed change. The request must be signed by both the PI and the authorized organizational official. Failure to obtain prior approval, when required, from the NRC Grants Officer may result in the disallowance of costs, termination of the award, or other enforcement action within NRC's authority.

**Lobbying Restrictions**

The Recipient will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

The Recipient shall comply with provisions of 31 USC § 1352. This provision generally prohibits the use of Federal funds for lobbying in the Executive or Legislative Branches of the Federal Government in connection with the award, and requires disclosure of the use of non-Federal funds for lobbying.

The Recipient receiving in excess of $100,000 in Federal funding shall submit a completed Standard Form (SF) LLL, "Disclosure of Lobbying Activities," regarding the use of non-Federal funds for lobbying within 30 days following the end of the calendar quarter in which there occurs any event that requires disclosure or that materially affects the accuracy of the information contained in any disclosure form previously filed. The Recipient must submit the SF-LLL, including those received from sub-recipients, contractors, and subcontractors, to the Grants Officer.

**§ 215.13 Debarment And Suspension.**

The Recipient agrees to notify the Grants Officer immediately upon learning that it or any of its principals:

(1) Are presently excluded or disqualified from covered transactions by any Federal department or agency;

(2) Have been convicted within the preceding three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen

property, making false claims, or obstruction of justice; commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects your present responsibility;

(3) Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b); and

(4) Have had one or more public transactions (Federal, State, or local) terminated for cause or default within the preceding three years.

b. The Recipient agrees that, unless authorized by the Grants Officer, it will not knowingly enter into any subgrant or contracts under this grant/cooperative agreement with a person or entity that is included on the Excluded Parties List System (http://epls.arnet.gov).

The Recipient further agrees to include the following provision in any subgrant or contracts entered into under this award:

'Debarment, Suspension, Ineligibility, and Voluntary Exclusion

The Recipient certifies that neither it nor its principals is presently excluded or disqualified from participation in this transaction by any Federal department or agency. The policies and procedures applicable to debarment, suspension, and ineligibility under NRC-financed transactions are set forth in 2 CFR Part 180.'

**Drug-Free Workplace**
The Recipient must be in compliance with The Federal Drug Free Workplace Act of 1988. The policies and procedures applicable to violations of these requirements are set forth in 41 USC 702.

**Implementation of E.O. 13224 -- Executive Order On Terrorist Financing**
The Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all contracts/sub-awards issued under this grant/cooperative agreement.
Award recipients must comply with Executive Order 13224, Blocking Property and Prohibiting Transactions with Persons who Commit, Threaten to Commit, or Support Terrorism. Information about this Executive Order can be found at: www.fas.org/irp/offdocs/eo/eo-13224.htm.

**Procurement Standards**. § 215.40
Sections 215.41 through 215.48 set forth standards for use by recipients in establishing procedures for the procurement of supplies and other expendable property, equipment, real property and other services with Federal funds. These standards are furnished to ensure that such materials and services are obtained in an effective manner and in compliance with the provisions of applicable Federal statutes and executive orders. No additional procurement standards or requirements shall be imposed by the Federal awarding agencies upon recipients, unless specifically required by Federal statute or executive order or approved by OMB.

**Property Management Standards**
Property standards of this award shall follow provisions as established in 2 CFR 215.30.

**Equipment** procedures shall follow provision established in 2 CFR 215.34.

**Procurement Standards**
Procurement standards of this award shall follow provisions as established in 2 CFR 215.40.

**Intangible and Intellectual Property**

Intangible and intellectual property of this award shall generally follow provisions established in 2 CFR 215.36.

Inventions Report - The Bayh-Dole Act (P.L. 96-517) affords recipients the right to elect title and retain ownership to inventions they develop with funding under an NRC grant award ("subject inventions"). In accepting an award, the recipient agrees to comply with applicable NRC policies, the Bayh-Dole Act, and its Government-wide implementing regulations found at Title 37, Code of Federal Regulations (CFR) Part 401. A significant part of the regulations require that the recipient report all subject inventions to the awarding agency (NRC) as well as include an acknowledgement of federal support in any patents. The invention must be reported in progress reports and continuation applications. All final progress reports must include a listing all subject inventions or stating that there were none.

As specified in 37 CFR 401.1(b), fellowships, scholarships, and training grants, which are funded by NRC primarily for educational purposes, are not subject to invention reporting requirements. The Federal Government (NRC) has no rights to any inventions, or any income resulting from inventions conceived or first actually reduced to practice during the course of such educational activities.

**Patent Notification Procedures-** Pursuant to EO 12889, NRC is required to notify the owner of any valid patent covering technology whenever the NRC or its financial assistance Recipients, without making a patent search, knows (or has demonstrable reasonable grounds to know) that technology covered by a valid United States patent has been or will be used without a license from the owner. To ensure proper notification, if the Recipient uses or has used patented technology under this award without license or permission from the owner, the Recipient must notify the Grants Officer. This notice does not necessarily mean that the Government authorizes and consents to any copyright or patent infringement occurring under the financial assistance.

**Data, Databases, and Software** - The rights to any work produced or purchased under a NRC federal financial assistance award are determined by 2 CFR 215.36. Such works may include data, databases or software. The Recipient owns any work produced or purchased under a NRC federal financial assistance award subject to NRC's right to obtain, reproduce, publish or otherwise use the work or authorize others to receive, reproduce, publish or otherwise use the data for Government purposes.

**Copyright** - The Recipient may copyright any work produced under a NRC federal financial assistance award subject to NRC's royalty-free nonexclusive and irrevocable right to reproduce, publish or otherwise use the work or authorize others to do so for Government purposes. Works jointly authored by NRC and Recipient employees may be copyrighted but only the part authored by the Recipient is protected because, under 17 USC § 105, works produced by Government employees are not copyrightable in the United States. On occasion, NRC may ask the Recipient to transfer to NRC its copyright in a particular work when NRC is undertaking the primary dissemination of the work. Ownership of copyright by the Government through assignment is permitted under 17 USC § 105.

**Records retention and access requirements** for records of the Recipient shall follow established provisions in 2 CFR 215.53.

**Organizational Prior Approval System**

In order to carry out its responsibilities for monitoring project performance and for adhering to award terms and conditions, each recipient organization shall have a system to ensure that appropriate authorized officials provide necessary organizational reviews and approvals in advance of any action that would result in either the performance or modification of an NRC supported activity where prior approvals are required, including the obligation or expenditure of funds where the governing cost principles either prescribe conditions or require approvals.

The recipient shall designate an appropriate official or officials to review and approve the actions requiring NRC prior approval. Preferably, the authorized official(s) should be the same official(s) who sign(s) or countersign(s) those types of requests that require prior approval by NRC. The authorized organization

official(s) shall not be the principal investigator or any official having direct responsibility for the actual conduct of the project, or a subordinate of such individual.

**Conflict Of Interest Standards** of this award shall follow provisions as established in 2 CFR 215.42 Codes of Conduct.

**Dispute Review Procedures**

a. Any request for review of a notice of termination or other adverse decision should be addressed to the Grants Officer. It must be postmarked or transmitted electronically no later than 30 days after the postmarked date of such termination or adverse decision from the Grants Officer.

b. The request for review must contain a full statement of the recipient's position and the pertinent facts and reasons in support of such position.

c. The Grants Officer will promptly acknowledge receipt of the request for review and shall forward it to the Director, Office of Administration, who shall appoint a review committee consisting of a minimum of three persons.

d. Pending resolution of the request for review, the NRC may withhold or defer payments under the award during the review proceedings.

e. The review committee will request the Grants Officer who issued the notice of termination or adverse action to provide copies of all relevant background materials and documents. The committee may, at its discretion, invite representatives of the recipient and the NRC program office to discuss pertinent issues and to submit such additional information as it deems appropriate. The chairman of the review committee will insure that all review activities or proceedings are adequately documented.

f. Based on its review, the committee will prepare its recommendation to the Director, Office of Administration, who will advise the parties concerned of his/her decision.

**Termination and Enforcement.** Termination of this award by default or by mutual consent shall follow provisions as established in 2 CFR 215.60,

**Monitoring and Reporting § 215.51**

a. Recipient Financial Management systems must comply with the established provisions in 2 CFR 215.21

- Payment – 2 CFR 215.22
- Cost Share – 2 CFR 215.23
- Program Income – 2 CFR 215.24
  - Earned program income, if any, shall be added to funds committed to the project by the NRC and Recipient and used to further eligible project or program objectives.
- Budget Revision – 2 CFR 215.25
  - In accordance with 2 CFR 215.25(e), the NRC waives the prior approval requirement for items identified in sub-part (e)(1-4).
  - The Recipient is not authorized to rebudget between direct costs and indirect costs without written approval of the Grants Officer.
  - Allowable Costs – 2 CFR 215.27

b. **Federal Financial Reports**

Effective October 1, 2008, NRC transitioned from the SF–269, SF–269A, SF–272, and SF– 272A to the Federal Financial Report (SF-425) as required by OMB:
http://www.whitehouse.gov/omb/fedreg/2008/081308_ffr.pdf

http://www.whitehouse.gov/omb/grants/standard_forms/ffr.pdf
http://www.whitehouse.gov/omb/grants/standard_forms/ffr_instructions.pdf

The Recipient shall submit a "Federal Financial Report" (SF-425) on a semi-annual basis for the periods ending March 31 and September 30, or any portion thereof, unless otherwise specified in a special award condition to the Grants Officer. Reports are due no later than 30 days following the end of each reporting period. A final SF-425 shall be submitted within 90 days after expiration of the award.

**Period of Availability of Funds** 2 CFR § 215.28

a. Where a funding period is specified, a recipient may charge to the grant only allowable costs resulting from obligations incurred during the funding period and any pre-award costs authorized by the NRC.

b. Unless otherwise authorized in 2 CFR 215.25(e)(2) or a special award condition, any extension of the award period can only be authorized by the Grants Officer in writing. Verbal or written assurances of funding from other than the Grants Officer shall not constitute authority to obligate funds for programmatic activities beyond the expiration date.

c. The NRC has no obligation to provide any additional prospective or incremental funding. Any modification of the award to increase funding and to extend the period of performance is at the sole discretion of the NRC.

d. Requests for extensions to the period of performance shall be sent to the Grants Officer at least 30 days prior to the grant/cooperative agreement expiration date. Any request for extension after the expiration date shall not be honored.

**Automated Standard Application For Payments (ASAP) Procedures**
Unless otherwise provided for in the award document, payments under this award will be made using the Department of Treasury's Automated Standard Application for Payment (ASAP) system < http://www.fms.treas.gov/asap/ >. Under the ASAP system, payments are made through preauthorized electronic funds transfers, in accordance with the requirements of the Debt Collection Improvement Act of 1996. In order to receive payments under ASAP, Recipients are required to enroll with the Department of Treasury, Financial Management Service, and Regional Financial Centers, which allows them to use the on-line method of withdrawing funds from their ASAP established accounts. The following information will be required to make withdrawals under ASAP: (1) ASAP account number – the award number found on the cover sheet of the award; (2) Agency Location Code (ALC) – 31000001; and Region Code. Recipients enrolled in the ASAP system do not need to submit a "Request for Advance or Reimbursement" (SF-270), for payments relating to their award.

**Audit Requirements**
Organization-wide or program-specific audits shall be performed in accordance with the Single Audit Act Amendments of 1996, as implemented by OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations." http://www.whitehouse.gov/omb/circulars/a133/a133.html Recipients are subject to the provisions of OMB Circular A-133 if they expend $500,000 or more in a year in Federal awards.

The Form SF-SAC and the Single Audit Reporting packages for fiscal periods ending on or after January 1, 2008 must be submitted online.

1. Create your online report ID at http://harvester.census.gov/fac/collect/ddeindex.html
2. Complete the Form SF-SAC
3. Upload the Single Audit
4. Certify the Submission
5. Click "Submit."

Organizations expending less than $500,000 a year are not required to have an annual audit for that year but must make their grant-related records available to NRC or other designated officials for review or audit.

## III. Programmatic Requirements

### Performance (Technical) Reports

a. The Recipient shall submit performance (technical) reports electronically to the NRC Project Officer and Grants Officer as specified in the special award conditions in the same frequency as the Federal Financial Report unless otherwise authorized by the Grants Officer.

b. Unless otherwise specified in the award provisions, performance (technical) reports shall contain brief information as prescribed in the applicable uniform administrative requirements 2 CFR §215.51 which are incorporated in the award.

### Unsatisfactory Performance

Failure to perform the work in accordance with the terms of the award and maintain at least a satisfactory performance rating or equivalent evaluation may result in designation of the Recipient as high risk and assignment of special award conditions or other further action as specified in the standard term and condition entitled "Termination".

Failure to comply with any or all of the provisions of the award may have a negative impact on future funding by NRC and may be considered grounds for any or all of the following actions: establishment of an accounts receivable, withholding of payments under any NRC award, changing the method of payment from advance to reimbursement only, or the imposition of other special award conditions, suspension of any NRC active awards, and termination of any NRC award.

### Other Federal Awards With Similar Programmatic Activities

The Recipient shall immediately provide written notification to the NRC Project Officer and the Grants Officer in the event that, subsequent to receipt of the NRC award, other financial assistance is received to support or fund any portion of the program description incorporated into the NRC award. NRC will not pay for costs that are funded by other sources.

### Prohibition Against Assignment By The Recipient

The Recipient shall not transfer, pledge, mortgage, or otherwise assign the award, or any interest therein, or any claim arising thereunder, to any party or parties, banks, trust companies, or other financing or financial institutions without the express written approval of the Grants Officer.

### Site Visits

The NRC, through authorized representatives, has the right, at all reasonable times, to make site visits to review project accomplishments and management control systems and to provide such technical assistance as may be required. If any site visit is made by the NRC on the premises of the Recipient or contractor under an award, the Recipient shall provide and shall require his/her contractors to provide all reasonable facilities and assistance for the safety and convenience of the Government representative in the performance of their duties. All site visits and evaluations shall be performed in such a manner as will not unduly delay the work.

## IV. Miscellaneous Requirements

### Criminal and Prohibited Activities

a. The Program Fraud Civil Remedies Act (31 USC §§ 3801-3812), provides for the imposition of civil penalties against persons who make false, fictitious, or fraudulent claims to the Federal government for money (including money representing grant/cooperative agreements, loans, or other benefits.)

b. False statements (18 USC § 287), provides that whoever makes or presents any false, fictitious, or fraudulent statements, representations, or claims against the United States shall be subject to imprisonment of not more than five years and shall be subject to a fine in the amount provided by 18 USC § 287.

c. False Claims Act (31 USC 3729 et seq), provides that suits under this Act can be brought by the government, or a person on behalf of the government, for false claims under federal assistance programs.

d. Copeland "Anti-Kickback" Act (18 USC § 874), prohibits a person or organization engaged in a federally supported project from enticing an employee working on the project from giving up a part of his compensation under an employment contract.

**American-Made Equipment And Products**
Recipients are herby notified that they are encouraged, to the greatest extent practicable, to purchase American-made equipment and products with funding provided under this award.

**Increasing Seat Belt Use in the United States**
Pursuant to EO 13043, Recipients should encourage employees and contractors to enforce on-the-job seat belt policies and programs when operating company-owned, rented or personally-owned vehicle.

**Federal Employee Expenses**
Federal agencies are generally barred from accepting funds from a Recipient to pay transportation, travel, or other expenses for any Federal employee unless specifically approved in the terms of the award. Use of award funds (Federal or non-Federal) or the Recipient's provision of in-kind goods or services, for the purposes of transportation, travel, or any other expenses for any Federal employee may raise appropriation augmentation issues. In addition, NRC policy prohibits the acceptance of gifts, including travel payments for Federal employees, from Recipients or applicants regardless of the source.

**Minority Serving Institutions (MSIs) Initiative**
Pursuant to EOs 13256, 13230, and 13270, NRC is strongly committed to broadening the participation of MSIs in its financial assistance program. NRC's goals include achieving full participation of MSIs in order to advance the development of human potential, strengthen the Nation's capacity to provide high-quality education, and increase opportunities for MSIs to participate in and benefit form Federal financial assistance programs. NRC encourages all applicants and Recipients to include meaningful participations of MSIs. Institutions eligible to be considered MSIs are listed on the Department of Education website:
**http://www.ed.gov/about/offices/list/ocr/edlite-minorityinst.html**

**Research Misconduct**
Scientific or research misconduct refers to the fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. It does not include honest errors or differences of opinions. The Recipient organization has the primary responsibility to investigate allegations and provide reports to the Federal Government. Funds expended on an activity that is determined to be invalid or unreliable because of scientific misconduct may result in a disallowance of costs for which the institution may be liable for repayment to the awarding agency. The Office of Science and Technology Policy at the White House published in the Federal Register on December 6, 2000, a final policy that addressed research misconduct. The policy was developed by the National Science and Technology Council (65 FR 76260). The NRC requires that any allegation be submitted to the Grants Officer, who will also notify the OIG of such allegation. Generally, the Recipient organization shall investigate the allegation and submit its findings to the Grants Officer. The NRC may accept the Recipient's findings or proceed with its own investigation. The Grants Officer shall inform the Recipient of the NRC's final determination.

**Publications, Videos, and Acknowledgment of Sponsorship**

Publication of the results or findings of a research project in appropriate professional journals and production of video or other media is encouraged as an important method of recording and reporting scientific information. It is also a constructive means to expand access to federally funded research. The Recipient is required to submit a copy to the NRC and when releasing information related to a funded project include a statement that the project or effort undertaken was or is sponsored by the NRC. The Recipient is also responsible for assuring that every publication of material (including Internet sites and videos) based on or developed under an award, except scientific articles or papers appearing in scientific, technical or professional journals, contains the following disclaimer:

> "This [report/video] was prepared by [Recipient name] under award [number] from [name of operating unit], Nuclear Regulatory Commission. The statements, findings, conclusions, and recommendations are those of the author(s) and do not necessarily reflect the view of the [name of organization] or the US Nuclear Regulatory Commission."

## SERVICE AGREEMENT FOR SCHOLARSHIP AND FELLOWSHIP RECIPIENTS

In accordance with the provisions stated within the funding opportunity announcement, scholarship and fellowship recipients are required to enter into an agreement to serve six months in nuclear-related employment for each full year of academic support. The employment may be with NRC, other Federal agencies, State agencies, Department of Energy laboratories, nuclear-related industry, or academia in the recipients' sponsored fields of study. Receipt of a scholarship or fellowship is not a guarantee of employment with the NRC.

Each scholarship or fellowship recipient is required to sign the attached service agreement (Attachment 1), prior to receiving his/her scholarship or fellowship award from the Institution. A waiver of this requirement may be granted in appropriate circumstances.

NRC-38-09-935

Attachment #1

**Scholarship and Fellowship Program**
**Service Agreement**

1. This service agreement is required for all student recipients of scholarships or fellowships (hereinafter referred to as the "recipient") funded by the U.S. Nuclear Regulatory Commission (NRC) through the University of _____.

2. This agreement confirms the recipient's obligations to maintain satisfactory academic progress and serve 6 months in nuclear-related employment for each year of academic support. The employment may be with NRC, other Federal agencies, State agencies, Department of Energy laboratories, nuclear-related industry, or academia in the recipients' sponsored fields of study.

3. The scholarship recipient must: (check here __ if scholarship)

   a. remain matriculated in the degree program for the field of study for which the scholarship was approved,

   b. maintain satisfactory academic progress in the recipient's field of study, as demonstrated by maintaining a 3.5 Grade Point Average both overall and within the recipient's major, and

   c. maintain a course load of at least 12 credit hours per semester or equivalent as a fulltime student in good standing.

4. The fellowship recipient must: (check here __ if fellowship)

   a. maintain a 3.6 GPA overall and within a field of study

   b. maintain a course load of at least 12 credit hours per semester **or** be classified as a full time student

   c. remain matriculated in a graduate degree program in a nuclear related area, preferably in the fields of Nuclear Engineering, Health Physics, and Radiochemistry.

5. If a recipient fails to maintain satisfactory academic progress, the scholarship or fellowship will be terminated and the recipient may be obligated to repay the NRC the full amount of the scholarship/fellowship.

6. If a recipient receives any subsequent scholarship(s) or fellowship(s) through this program, the service obligation periods will be consecutive.

7. At the discretion of the NRC, the service obligation period may be delayed to allow the recipient to continue a subsequent degree program immediately following that sponsored under this program. For example, a recipient who receives a fellowship to earn a Master's degree, may request and be permitted to delay fulfilling their service obligation until after they complete a subsequent terminal degree

program. Any such requests must be made to the NRC before a student enrolls in a subsequent degree program. If a student enrolls in a subsequent degree program before or without NRC approval, and the NRC does not subsequently approve the request, the NRC will not be held liable for any expenses incurred to dis-enroll, or for failure to otherwise meet the terms of this service obligation. Recipients only incur a service obligation for funded periods of study.

8. If the student receives no employment offers or does not accept any of the offers received, the student is not relieved of the service obligation, unless, pursuant to this service agreement, the student applies for and receives a waiver from the NRC. The waiver request should be accompanied by data or explanation by the student that efforts to secure employment in a nuclear-related field were undertaken. This can be in the form of job searches, referrals, etc. Absent a waiver from the NRC, rejection of one or more job offers does not eliminate the service agreement obligation.

9. If a recipient leaves the employment during a period of obligated post-academic service, the recipient may immediately become liable to the U.S. Government for repayment of the entire amount of the assistance provided under the scholarship or fellowship, for which the service obligation has not been fulfilled, unless a waiver is granted.

10. A recipient who becomes employed by NRC understands that his or her last pay check and any lump sum payment for annual leave and other payment due on separation will be applied toward any unfulfilled service obligation without further notice. If the recipient's last pay check and any lump sum payment do not satisfy the debt, the recipient may pay the balance of the debt in full or set up a repayment plan.

11. By signing this agreement, the recipient certifies that he or she has read this agreement and agrees to all of the obligations it entails.

| | |
|---|---|
| Scholarship or Fellowship Recipient | Date |
| University Program Coordinator | Date |
| NRC Office of Human Resources | Date |