

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

1. GRANT/AGREEMENT NO. NRC-HQ-12-G-38-0052	2. MODIFICATION NO.	3. PERIOD OF PERFORMANCE FROM: 04/01/2012 TO: 03/31/2014	4. AUTHORITY Pursuant to Section 31b and 141b of the Atomic Energy Act of 1954, as amended													
5. TYPE OF AWARD <input checked="" type="checkbox"/> GRANT <input type="checkbox"/> COOPERATIVE AGREEMENT	6. ORGANIZATION TYPE State Controlled Institution of Higher Education DUNS: 084704972 NAICS: 611310	7. RECIPIENT NAME, ADDRESS, and EMAIL ADDRESS Spartanburg Community College PO Box 4386 Spartanburg, SC 29305-4386														
8. PROJECT TITLE: Radiation and Nuclear Technology Curricula Enhancement																
9. PROJECT WILL BE CONDUCTED PER GOVERNMENT'S/RECIPIENT'S PROPOSAL(S) DATED See Program Description AND APPENDIX A-PROJECT GRANT PROVISIONS	10. TECHNICAL REPORTS ARE REQUIRED <input checked="" type="checkbox"/> PROGRESS AND FINAL <input type="checkbox"/> FINAL ONLY <input type="checkbox"/> OTHER (Conference Proceedings)	11. PRINCIPAL INVESTIGATOR(S) NAME, ADDRESS and EMAIL ADDRESS Attn: Berta Hopkins Spartanburg Community College PO Box 4386 Spartanburg, SC 29305-4386 hopkinsb@sccsc.edu (864)592-4262														
12. NRC PROGRAM OFFICE (NAME and ADDRESS) NRC Attn: Tanya Parwani-Jaimes MS: W5A6 (301) 492-2308 Office of Human Resources 11545 Rockville Pike Rockville, MD 20852 Tanya.parwani-jaimes@nrc.gov	13. ACCOUNTING and APPROPRIATION DATA APPN. NO: 31X0200 B&R NO: 2012-84-51-K-164 JOB CODE: T8458 BOC NO: 4110 OFFICE ID NO: HR-12-138 FAIMS: GR0174	14. METHOD OF PAYMENT <input type="checkbox"/> ADVANCE BY TREASURY CHECK <input type="checkbox"/> REIMBURSEMENT BY TREASURY CHECK <input type="checkbox"/> LETTER OF CREDIT <input checked="" type="checkbox"/> OTHER (SPECIFY) Electronic ASAP.gov (See Remarks in Item #20 "Payment Information")														
15. NRC OBLIGATION FUNDS <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">THIS ACTION</td> <td style="text-align: right; border-bottom: 1px solid black;">\$89,545.00</td> </tr> <tr> <td>PREVIOUS OBLIGATION</td> <td style="text-align: right; border-bottom: 1px solid black;">\$0.00</td> </tr> <tr> <td>TOTAL</td> <td style="text-align: right; border-bottom: 1px solid black;">\$89,545.00</td> </tr> </table>		THIS ACTION	\$89,545.00	PREVIOUS OBLIGATION	\$0.00	TOTAL	\$89,545.00	16. TOTAL FUNDING AGREEMENT <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">NRC</td> <td style="text-align: right; border-bottom: 1px solid black;">\$89,545.00</td> <td rowspan="3" style="vertical-align: top; padding-left: 20px;"> This action provides funds for Fiscal Year 2012 in the amount of \$89,545.00 </td> </tr> <tr> <td>RECIPIENT</td> <td style="text-align: right; border-bottom: 1px solid black;">\$12,000.00</td> </tr> <tr> <td>TOTAL</td> <td style="text-align: right; border-bottom: 1px solid black;">\$101,545.00</td> </tr> </table>		NRC	\$89,545.00	This action provides funds for Fiscal Year 2012 in the amount of \$89,545.00	RECIPIENT	\$12,000.00	TOTAL	\$101,545.00
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17. NRC ISSUING OFFICE (NAME, ADDRESS and EMAIL ADDRESS) U.S. Nuclear Regulatory Commission Div. of Contracts Attn: Rob Robinson, 301-492-3693 Mail Stop: TWB-01-B10M Washington, DC 20555 Richard.robinsonii@nrc.gov																
18. No Signature Required		19. NRC CONTRACTING OFFICER <div style="text-align: center;"> <i>Sheila Bumpass</i> 4/1/2012 <hr/> (Signature) _____ (Date) </div> NAME (TYPED) Sheila Bumpass TITLE Contracting Officer TELEPHONE NO. 301-492-3484 Shelia.Bumpass@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

ADM002

ATTACHMENT A - SCHEDULE

A.1 PURPOSE OF GRANT

The purpose of this Grant is to provide support to the "Spartanburg Community College – Radiation and Nuclear Technology Curricula Development" curriculum project as described in Attachment B entitled "Program Description."

A.2 PERIOD OF GRANT

1. The effective date of this Grant is April 1, 2012. The estimated completion date of this Grant is March 31, 2014.

2. Funds obligated hereunder are available for program expenditures for the estimated period: April 1, 2012 – March 31, 2014.

A. GENERAL

1. Total Estimated NRC Amount: \$89,545.00
2. Total Obligated Amount: \$89,545.00
3. Cost-Sharing Amount: \$12,000.00
4. Activity Title: Radiation and Nuclear Technology Curricula Development
5. NRC Project Officer: Tanya Parwani-Jaimes
6. DUNS No.: 084704972

B. SPECIFIC

RFPA No.: HR-12-138
FAIMIS: GR0174
Job Code: T8458
BOC: 4110
B&R Number: 2012-84-51-K-164
Appropriation #: 31X0200
Amount Obligated: \$89,545.00

A.3 BUDGET

Revisions to the budget shall be made in accordance with Revision of Grant Budget in accordance with 2 CFR 215.25.

	YEAR 1	YEAR 2
Travel	\$1,904.00	\$1,141.00
Supplies	\$0.00	\$2,500.00
Contractual	\$52,800.00	\$31,200.00
Total Direct Charges	\$54,704.00	\$34,841.00
TOTAL	\$54,704.00	\$34,841.00
TWO (2) YEAR TOTAL		\$89,545.00

A.4 AMOUNT OF AWARD AND PAYMENT PROCEDURES

1. The total estimated amount of this Award is \$101,545.00 (includes \$12,000.00 in cost share) the two-year period.
2. NRC hereby obligates the amount of \$89,545.00 for program expenditures during the period set forth above and in support of the Budget above. The Grantee will be given written notice by the Grants Officer when additional funds will be added. NRC is not obligated to reimburse the Grantee for the expenditure of amounts in excess of the total obligated amount.
3. Payment shall be made to the Grantee in accordance with procedures set forth in the Automated Standard Application For Payments (ASAP) Procedures set forth below.

Attachment B – Program Description

Radiation and Nuclear Technology Curricula Enhancement

Spartanburg Community College (SCC). SCC is a public, two-year, multi-site, college serving the citizens and communities of Cherokee, Spartanburg and Union Counties in Upstate South Carolina with a population of 368,898. SCC serves 7,000 to 10,000 credit students annually through classroom, hybrid and e-learning courses leading to associate degrees, diplomas and certificates designed for direct job placement, as well as associate degrees designed for transfer to four-year colleges.

Vision:

To change the lives and build the futures of our students and to be a catalyst for economic development through innovation, collaboration and excellence in educational programs and services.

Mission Statement:

Spartanburg Community College (SCC) provides affordable access to high-quality technical, transfer and lifelong professional and personal development programs in a teaching and learning environment that prepares students for success. The College is a key community partner in advancing the Upstate's economy.

Role and Scope

Spartanburg Community College (SCC) is a public, two-year, multi-site, suburban college serving the citizens and communities of Cherokee, Spartanburg and Union Counties of South Carolina. SCC implements its mission through programs, services and partnerships that include:

College Credit Programs

SCC serves 7,000 to 10,000 credit students annually through classroom, hybrid and e-learning courses leading to associate degrees, diplomas and certificates designed for direct job placement, as well as associate degrees designed for transfer to four-year colleges and universities.

Radiation Protection Technology at SCC:

"Radiation protection technicians provide valuable support services for the operation of nuclear power plants. Duties include monitoring the environment through water, soil and air sampling, evaluating technical data, operating and calibrating plant equipment, implementing work procedures, conducting in-plant radiological surveys, directing activities for radiological safety, and providing radiation protection training to plant personnel." SCC College catalog, 2011-2012.

Project Description

This course revision project is being undertaken upon recommendations from Duke Energy, a Spartanburg Community College (SCC) sustaining partner in nuclear power energy training, in an effort to standardize the curricular offerings and training of individuals who seek a career path in nuclear energy in the United States in keeping with the Nuclear Uniform Curriculum Program (NUCP).

Each course to be modified and revised is a permanent, required course for program completion for an associate degree in applied science. The first year course, "Introduction to Radiation Protection" will be modified; along with four of the fourteen second-year undergraduate courses leading to an associate degree in applied science.

The five (5) courses that will be revised involve required courses for the two-year Radiation Protection Technology program. Courses to be revised and enhanced include:

- | | |
|---|-----------|
| • RPT 101 Introduction to Radiation Protection | 1 credit |
| • RPT 206 Radiation Monitoring and Exposure Control | 4 credits |
| • RPT 207 Contamination Control and Incident Prevention | 3 credits |
| • RPT 212 Preparation for Task Qualification | 1 credit |
| • RPT 213 Qualification to Standardized Tasks | 6 credits |

Course revision will be comprehensive with new and revised modules in each course under modification and enhancement. The objective is to broaden the scope of instruction within each course that will provide students with several career pathway opportunities upon graduation. The lead instructor for revisions, Mr. Michael Mc Connell will provide leadership, guidance, and revisions, for each of the five courses to be revised. He will be assisted in this effort with a team of instructors from Duke Energy and from Spartanburg Community College (Pamela Hagan, Berta Hopkins, Debra Hager, Smita Mehta, and Craig Densha).

The number of students that will be reached will be 30 students per year as there is a seating limit of 16 students per class. This is not a cohort program per se; however, students must take the courses in sequence and enrollment tends to follow a cohort pattern. Individual students do "stop-out" from time to time and new students come in to take those seats. The total of unduplicated students in the program each year may reach 40 individuals.

Description of how the proposed project will improve the education infrastructure, teaching competencies, subject matter expertise, and skills in serving students in the target disciplines.

Course revisions will improve the educational infrastructure, teaching competencies, subject matter expertise and learning, and skills in serving students in radiation and nuclear studies.

Course revisions will also provide a solid base for the educational infrastructure of a program that had previously been focused upon radiation issues to a program that provides a multi-level career path approach to nuclear energy production and safety. This curricular revamping process begins with the first Introductory course RPT 101; and, extends through the major revisions planned for the four, second-year courses. Every course in the curriculum will be reviewed and have revisions based upon the core major revisions to be achieved in the five redesigned courses.

First year courses in the program include:

- Physical Science I and Physical Science II
- Introduction to Computers
- English Composition I
- Introduction to Radiation Protection**
- General, Organic and Bio-Chemistry
- Geometry and Trigonometry
- College Algebra
- General Psychology
- Interpersonal Communications
- Microcomputer Spreadsheets

Second year courses in the program include:

- Power Plant Fundamentals*
- Fundamental Plant Systems*
- General Employee Training*
- Human Resources and Error Reduction
- Radiation Detection and Standards*
- Research in Radiation Protection*
- Radiation Monitoring and Exposure Control**
- Contamination Control and Incident Prevention**
- Introduction to Radiation Protection Internship I
- SCWE in Radiation Protection Internship I
- Preparation for Task Qualification**
- Qualification to Standardized Tasks**
- Introduction to Radiation Protection Internship II
- Surveillance Control and Work Experience (SCWE) in Radiation Protection Internship II

**Starred (two stars) courses are to be thoroughly and completely revised.

*Starred (one star) courses will be reviewed for minor revisions.

Program instructors will be involved in the course revision process and gain valuable insights into content and sequence of instruction; thereby, enhancing their teaching competencies. A part of the curricular revision will be interactive exchanges among faculty under the guidance of the PI and Senior Personnel. These enthusiastic curricular interactions will strengthen and revitalize instructor subject matter expertise and skills as they research materials and engage in focused discussion and role-play situations.

Student learning and mastery of materials will be enhanced by academic exercises and experiences that faculty have engaged in prior to entering the classroom. The revision process will also provide students with a great variety of career-path options and opportunities than may have been previously presented.

The project's primary innovative instructional approaches and techniques will be derived and developed in the interactive curricular development processes. The core curricular revisions will be made by Duke Energy instructors and advisors with immediate input from SCC faculty. This interactive approach will allow instructors to pilot new and varied instructional techniques and approaches to enhance student learning. All revisions will comply with objectives identified in the Uniform Curriculum Guide for Nuclear Power Plant Technicians, Maintenance, and non-licensed Operation Personnel Associate Degree Programs, published by the National Academy for Nuclear Training.

One course, "Research in Radiation Protection", in the curriculum is designed as an on-line, distance learning course offering. Students are also required to participate in two experiential learning experiences via Fall and Spring (second year) Internships that provide a four-week paid experience at area and regional nuclear power plants.

The project's innovative instructional approaches or techniques to enhance student learning, including distance education and experiential learning.

- The major portion of time devoted to the course revisions/modifications will take place between terms. The faculty and consultants will meet regularly during each term for course content and objectives review; however, the actual writing and re-development of the courses will be accomplished between the Fall – Spring – Summer terms. This will permit great amounts of time each day for course development.

Timeframe: April 1, 2012 – March 31, 2014						
Courses to be Revised	Prior to Funding	Year One April-Sept.	Year One Oct.- March	Year Two April-Sept.	Year Two Oct.-March	Post Funding
Introduction to Radiation Protection	Select faculty & consultants for project	Faculty & consultant Review course content and learning objectives	Faculty & consultant make revisions to course content	Activate course revisions in Summer & Fall terms; Formative Evaluation for Improvements & revisions	Monitor the effectiveness of revisions Fall and Spring terms; Summative Evaluation of Revisions	Continue monitoring and evaluation of effectiveness of course content
Radiation Monitoring and Exposure Control	Select faculty & consultants for project	Faculty & consultant Review course content and learning objectives	Faculty & consultant make revisions to course content	Activate course revisions in Summer & Fall term classes	Monitor the effectiveness of revisions for Fall and Spring terms; Summative Evaluation of Revisions	Continue monitoring and evaluation of effectiveness of course content
Contamination Control and Incident	Select faculty & consultants	Faculty & consultant Review	Faculty & consultant make	Activate course revisions in	Monitor the effectiveness of revisions	Continue monitoring and evaluation of

Prevention	for project	course content and learning objectives	revisions to course content	Summer & Fall terms; Formative Evaluation for Improvements & additional revisions	for Fall and Spring terms; Summative Evaluation of Revisions	effectiveness of course content
Preparation for Task Qualification	Select faculty & consultants for project	Faculty & consultant Review course content and learning objectives	Faculty & consultant make revisions to course content	Activate course revisions in Summer & Fall terms; Formative Evaluation for Improvements & additional revisions	Monitor the effectiveness of revisions throughout Fall and Spring terms; Summative Evaluation of Revisions	Continue monitoring and evaluation of effectiveness of course content
Qualification to Standardized Tasks	Select faculty & consultants for project	Faculty & consultant Review course content and learning objectives	Faculty & consultant make revisions to course content	Activate course revisions in Summer & Fall terms; Formative Evaluation for Improvements & additional revisions	Monitor the effectiveness of revisions throughout Fall and Spring terms; Summative Evaluation of Revisions	Continue monitoring and evaluation of effectiveness of course content

Course outline

First year courses (course outline) in the program include:

- Physical Science I and Physical Science II
- Introduction to Computers
- English Composition I
- Introduction to Radiation Protection**
- General, Organic and Bio-Chemistry
- Geometry and Trigonometry
- College Algebra
- General Psychology
- Interpersonal Communications
- Microcomputer Spreadsheets
- Advanced Technical Communications

Second year courses (course outline) in the program include:

- Power Plant Fundamentals
- Fundamental Plant Systems
- General Employee Training
- Human Resources and Error Reduction

- Radiation Detection and Standards
- Research in Radiation Protection
- Radiation Monitoring and Exposure Control**
- Contamination Control and Incident Prevention**
- Introduction to Radiation Protection Internship I
- SCWE in Radiation Protection Internship I
- Preparation for Task Qualification**
- Qualification to Standardized Tasks**
- Introduction to Radiation Protection Internship II
- Surveillance Control and Work Experience (SCWE) in Radiation Protection Internship II

Assessment plan of program, as well as benchmarks or milestones

The overall assessment – evaluation plan of the program is comprised of three elements: (1) process objective of task completion; that is, each targeted course has been revised on schedule and as planned; (2) formative evaluations throughout the project process for project improvement. Formative evaluations will be assessed quarterly and adjustments will be made at that time and whenever appropriate; and (3) summative evaluation at the conclusion of the project that will assess improvements in student learning and expertise related to nuclear energy safety processes.

Assessment of Process Objectives:

- The selection of appropriate individuals with appropriate expertise was accomplished prior to the beginning of the course revisions.
- Course revisions for each of the five courses to be revised were completed within the timeframe as scheduled.
- Formative assessments were implemented and completed as scheduled.
- The summative evaluation was implemented and completed as scheduled.

Assessment of formative evaluations:

- The Principal Investigator and project participants conducted formative evaluation of the project on a continuing basis for the purposes of program improvements and additional revisions to assist in achieving significant course revisions.
- Formative evaluation was ongoing and adhered to the planned schedule.
- A Satisfaction survey will be conducted with employers to learn if they are hiring better trained SCC employees in relationship to the course revisions made.

Summative Evaluation:

- The Vice President for Planning and Information Resources, Dr. Patricia Abell, will conduct the overall, final-summative evaluation of the project. Dr. Abell will be assisted by the PI, Dr. Hopkins, Senior Personnel from Duke Energy, Debra Hager, Dr. Pamela Hagan, Academic Dean, and Dr. Cheryl Cox, Vice President for Academic Affairs. The evaluation team will assess the effectiveness of the course revisions and the impact these revisions have on student learning.

Quantifiable criteria for demonstrating that the program is sustainable

The quantifiable criteria that demonstrates program sustainability includes:

- Number of students enrolled in the Radiation Protection Technology each semester;
- Number of students retained– moving on to an advanced course each semester; and on through to program completion;
- Number of students completing all program requirements and graduating each year;
- Number of program graduates securing career path employment in nuclear energy companies and/or suppliers, or related industries;
- Number of students transferring and/or enrolling in baccalaureate degree programs pursuing nuclear career path.

Benchmarks:

Quantifiable data will be benchmarked each year of the project. We will use data established and on record with the 2009-2010 and 2010-2011 academic years for comparison purposes to measure changes and differences for pre-course revision instruction and post-revision instruction. Data from our Office of Research and Planning shows that in 2009-2010, of the twenty (20) graduates from the program fifteen (15) secured career employment in nuclear energy related jobs and one individual continued their studies. This resulted in an 80% positive placement rate. In 2008-2009, of the seventeen graduates, sixteen (16) secured employment related to their program of study and resulted in a 94% positive placement rate.

Attachment C – Standard Terms and Conditions

The Nuclear Regulatory Commission's Standard Terms and Conditions for U.S. Nongovernmental Grantees 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 CFR 220, 2 CFR 225, and 2 CFR 230 this URL to the Office of Management and Budget Cost Circulars is included for reference to:

A-21 (now 2 CFR 220)

A-87 (now 2 CFR 225)

A-122 (now 2 CFR 230)

A-102:

http://www.whitehouse.gov/omb/circulars_index-ffm

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.

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.

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 Grantee and to sub-recipients which meet the definition of "Grantee" in Part 215, unless a section specifically excludes a sub-recipient from coverage. The Grantee 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 and include this term in lower-tier (subaward) covered transactions.

b. Grantees 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

§ 215.41 Grantee responsibilities.

The Grantee 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 Grantee of the contractual responsibilities arising under its contract(s). The Grantee 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 Grantee to NRC. See 2 CFR 215 and 2 CFR 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 Grantee 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 VI 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 VI, 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's prior written approval may be required before a Grantee 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 should 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, or other enforcement action within NRC's authority.

Lobbying Restrictions

The Grantee 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 Grantee 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 Grantee 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 Grantee must submit the SF-LLL, including those received from sub-recipients, contractors, and subcontractors, to the Grants Officer.

§ 215.13 Debarment And Suspension.

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

'Debarment, Suspension, Ineligibility, and Voluntary Exclusion

The Grantee 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 Grantee 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 Grantee 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 Grantee 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 Grantees 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. § 215.40-48

Sections 215.41 through 215.48 set forth standards for use by Grantees 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 Grantees, unless specifically required by Federal statute or executive order or approved by OMB.

Travel

Travel must be in accordance with the Grantee's Travel Regulations or the US Government Travel Policy and Regulations at: www.gsa.gov/federaltravelregulation and the per diem rates set forth at: www.gsa.gov/perdiem, absent Grantee's travel regulation. Travel costs for the grant must be consistent with provisions as established in Appendix A to 2 CFR 220 (J.53). All other travel, domestic or international, must not increase the total estimated award amount.

Domestic Travel:

Domestic travel is an appropriate charge to this award and prior authorization for specific trips are not required, if the trip is identified in the Grantee's approved program description and approved budget. Domestic trips not stated in the approved budget require the written prior approval of the Grants Officer, and must not increase the total estimated award amount.

All common carrier travel reimbursable hereunder shall be via the least expensive class rates consistent with achieving the objective of the travel and in accordance with the Grantee's policies and practices. Travel by first-class travel is not authorized unless prior approval is obtained from the Grants Officer.

International Travel:

International travel requires PRIOR written approval by the Project Officer and the Grants Officer, even if the international travel is stated in the approved program description and the approved budget.

The Grantee shall comply with the provisions of the Fly American Act (49 USC 40118) as implemented through 41 CFR 301-10.131 through 301-10.143.

Property and Equipment Management Standards

Property and equipment standards of this award shall follow provisions as established in 2 CFR 215.30-37.

Procurement Standards

Procurement standards of this award shall follow provisions as established in 2 CFR 215.40-48

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 Grantees the right to elect and retain title to inventions they develop with funding under an NRC grant award ("subject inventions"). In accepting an award, the Grantee 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 Grantee report all subject inventions to the awarding agency (NRC) as well as include an acknowledgement of federal support in any patents. NRC participates in the trans-government Interagency Edison system (<http://www.iedison.gov>) and expects NRC funding Grantees to use this system to comply with Bayh-Dole and related intellectual property reporting requirements. The system allows for Grantees to submit reports electronically via the Internet. In addition, the invention must be reported in continuation applications (competing or non-competing).

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 Grantees, 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 Grantee uses or has used patented technology under this award without license or permission from the owner, the Grantee 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 Grantee 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 Grantee 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 Grantee employees may be copyrighted but only the part authored by the Grantee 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 Grantee 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 Grantee 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 Grantee 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 Grantee 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 for this award shall follow OCOI requirements set forth in Section 170A of the Atomic Energy Act of 1954, as amended, and provisions set forth at 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 Grantee'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 an intra-agency Appeal Board to review a grantee appeal of an agency action, if required, which will consist of the

program office director, the Deputy Director of Office of Administration, and the Office of General Counsel.

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 Grantee 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 215.60-62.

Monitoring and Reporting § 215.50-53

Grantee 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 Grantee and used to further eligible project or program objectives or deducted from the total project cost allowable cost as directed by the Grants Officer or the terms and conditions of award.
- Budget Revision – 2 CFR 215.25
 - The Grantee is required to report deviations from the approved budget and program descriptions in accordance with 2 CFR 215.25, and request prior written approval from the Program Officer and the Grants Officer.
 - The Grantee is not authorized to rebudget between direct costs and indirect costs without written approval of the Grants Officer.
 - The Grantee is authorized to transfer funds among direct cost categories up to a cumulative 10 percent of the total approved budget. The Grantee is not allowed to transfer funds if the transfer would cause any Federal appropriation to be used for purposes other than those consistent with the original intent of the appropriation.
 - Allowable Costs – 2 CFR 215.27

b. Federal Financial Reports

The Grantee 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. Reports are due no later than 30 days following the end of each reporting period. A final SF-425 is due within 90 days after expiration of the award. The report should be submitted electronically to: Grants_FFR@NRC.GOV.

(NOTE: There is an underscore between Grants and FFR).

Period of Availability of Funds 2 CFR § 215.28

- a. Where a funding period is specified, a Grantee 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 should 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 may 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, Grantees 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. Grantees 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> Grantees 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 Grantee shall submit performance (technical) reports electronically to the NRC Project Officer and Grants Officer on a semi-annual basis unless otherwise authorized by the Grants Officer. Performance reports should be sent to the Program Officer at the email address indicated in Block 12 of the Notice of Award, and to Grants Officer at:

Grants_PPR.Resource@NRC.GOV. (**NOTE: There is an underscore between Grants and PPR**).

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.

c. The Office of Human Resources requires the submission of the semi-annual progress report on the SF-PPR, SF-PPR-B, and the SF-PPR-E forms. The submission for the six month period ending March 31st is due by April 30th, or any portion thereof. The submission for the six month period ending September 30th is due by October 31st or any portion thereof.

d. Grant Performance Metrics:

The Office of Management and Budget requires all Federal Agencies providing funding for educational scholarships and fellowships as well as other educational related funding to report on specific metrics. These metrics are part of the Academic Competitiveness Council's (ACC) 2007 report and specifically relates to Science, Technology, Engineering, and Mathematics (STEM) curricula.

As part of the HR grant awards, in addition to the customary performance progress report requested on the SF-PPR, SF-PPR-B, and SF-PPR-E forms, HR requires the following metrics to be reported on by the awardees as follows:

Curriculum Development Awards

1. Overall number of new courses developed in NRC designated STEM areas (including the names of the courses);
2. Number of students enrolled in new STEM courses;
3. Number of these enrolled students retained in STEM major.

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 Grantee 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 Grantee 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 Grantee

The Grantee 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 Grantee or contractor under an award, the Grantee 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

Grantees are hereby 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, Grantees 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 Leadership of Reducing Text Messaging While Driving

Pursuant to EO 13513, Grantees should encourage employees, sub-awardees, and contractors to adopt and enforce policies that ban text messaging while driving company-owned, rented vehicles or privately owned vehicles when on official Government business or when performing any work for or on behalf of the Federal Government.

Federal Employee Expenses

Federal agencies are generally barred from accepting funds from a Grantee 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 Grantee'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 Grantees 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 from Federal financial assistance programs. NRC encourages all applicants and Grantees 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 Grantee 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 Grantee organization shall investigate the allegation and submit its findings to the Grants Officer. The NRC may accept the Grantee's findings or proceed with its own investigation. The Grants Officer shall inform the Grantee 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 Grantee 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 Grantee 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 [Grantee 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 operating unit] or the US Nuclear Regulatory Commission."

Trafficking In Victims Protection Act Of 2000 (as amended by the Trafficking Victims Protection Reauthorization Act of 2003)

Section 106(g) of the Trafficking In Victims Protection Act Of 2000 (as amended, directs on a government-wide basis that:

"any grant, contract, or cooperative agreement provided or entered into by a Federal department or agency under which funds are to be provided to a private entity, in whole or in part, shall include a condition that authorizes the department or agency to terminate the grant, contract, or cooperative agreement, without penalty, if the grantee or any subgrantee, or the contractor or any subcontractor (i) engages in severe forms of trafficking in persons or has procured a commercial sex act during the period of time that the grant, contract, or cooperative agreement is in effect, or (ii) uses forced labor in the performance of the grant, contract, or cooperative agreement." (22 U.S.C. § 7104(g)).

Executive Compensation Reporting

2 CFR 170.220 directs agencies to include the following text to each grant award to a non-federal entity if the total funding is \$25,000 or more in Federal funding.

Reporting Subawards and Executive Compensation.

a. Reporting of first-tier subawards.

1. *Applicability.* Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment

Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).

2. *Where and when to report.*

i. You must report each obligating action described in paragraph a.1. of this award term to <http://www.fsrs.gov>.

ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

3. *What to report.* You must report the information about each obligating action that the submission instructions posted at <http://www.fsrs.gov> specify.

b. *Reporting Total Compensation of Recipient Executives.*

1. *Applicability and what to report.* You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if—

i. the total Federal funding authorized to date under this award is \$25,000 or more;

ii. in the preceding fiscal year, you received—

(A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>)

2. *Where and when to report.* You must report executive total compensation described in paragraph b.1. of this award term:

i. As part of your registration profile at <http://www.ccr.gov>

ii. By the end of the month following the month in which this award is made, and annually thereafter.

c. *Reporting of Total Compensation of Subrecipient Executives.*

1. *Applicability and what to report.* Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if—

i. in the subrecipient's preceding fiscal year, the subrecipient received—

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and

ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

2. *Where and when to report.* You must report subrecipient executive total compensation described in paragraph c.1. of this award term:

i. To the recipient.

ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (*i.e.*, between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. *Exemptions*

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

i. Subawards,

and

ii. The total compensation of the five most highly compensated executives of any subrecipient.

e. *Definitions.* For purposes of this award term:

1. *Entity* means all of the following, as defined in 2 CFR part 25:

i. A Governmental organization, which is a State, local government, or Indian tribe;

ii. A foreign public entity;

- iii. A domestic or foreign nonprofit organization;
- iv. A domestic or foreign for-profit organization;
- v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

2. *Executive* means officers, managing partners, or any other employees in management positions.

3. *Subaward*:

- i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
- ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. ___ .210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").
- iii. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

4. *Subrecipient* means an entity that:

- i. Receives a subaward from you (the recipient) under this award; and
- ii. Is accountable to you for the use of the Federal funds provided by the subaward.

5. *Total compensation* means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

- i. *Salary and bonus*.
- ii. *Awards of stock, stock options, and stock appreciation rights*. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
- iii. *Earnings for services under non-equity incentive plans*. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- iv. *Change in pension value*. This is the change in present value of defined benefit and actuarial pension plans.
- v. *Above-market earnings on deferred compensation which is not tax-qualified*.

vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.