

U.S. NUCLEAR REGULATORY COMMISSION

NOTICE OF GRANT/ASSISTANCE AWARD

1. GRANT/AGREEMENT NO. NRC-HQ-13-G-38-0030	2. MODIFICATION NO.	3. PERIOD OF PERFORMANCE FROM: 08/01/2013 TO: 07/31/2017	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 Public State-Controlled Institution of Higher ED DUNS: 009095365 NAICS: 611310	7. RECIPIENT NAME, ADDRESS, and EMAIL ADDRESS University of Utah 75 South 2000 East Salt Lake City, UT 84112 Email: heidi.harris@osp.utah.edu	

8. PROJECT TITLE:

Sustaining explosive growth of nuclear engineering graduate program at the University of Utah

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 University of Utah Director of the Utah Nuclear Engineering Program Attn: Tatjana Jevremovic Phone: (801)587-9696 Email: Tatjana.Jevremovic@utah.edu
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12. NRC PROGRAM OFFICE (NAME and ADDRESS) NRC Attn: Nancy Hebron-Isreal Office of Chief Human Capital Officer MS:3WFN03A12; Phone: (301)287-0718 11545 Rockville Pike Rockville, Maryland 20852 Email: Nancy.Hebron-Isreal@nrc.gov	13. ACCOUNTING and APPROPRIATION DATA APPN. NO: 31X0200 B&R NO: 2013-84-51-K-164 JOB CODE: T8458 BOC NO: 4110 OFFICE ID NO: HR-13-175 FAMIS: GB0286	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")
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15. NRC OBLIGATION FUNDS THIS ACTION \$389,312.00 PREVIOUS OBLIGATION TOTAL \$389,312.00	16. TOTAL FUNDING AGREEMENT NRC \$389,312.00 RECIPIENT TOTAL \$389,312.00 This action provides funds for Fiscal Year 2013 in the amount of \$389,312.00
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17. NRC ISSUING OFFICE (NAME, ADDRESS and EMAIL ADDRESS)

U.S. Nuclear Regulatory Commission
Div. of Contracts
Attn: Gordana Zuber, Email: Gordana.Zuber@nrc.gov
Mail Stop: 3WFN-05-C64M
Washington, DC MD 20555

18. Signature Not Required	19. NRC CONTRACTING OFFICER <i>Erika Eam</i> 08/01/13 (Signature) (Date) NAME (TYPED) Erika Eam TITLE Grants Officer TELEPHONE NO. 301-287-0954
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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

AUG 22, 2013

ADM002

ATTACHMENT A - SCHEDULE

A.1 PURPOSE OF GRANT

The purpose of this Grant is to provide support to the "Sustaining Explosive Growth Of Nuclear Engineering Graduate Program At The University Of Utah" as described in Attachment B entitled "Program Description."

A.2 PERIOD OF GRANT

1. The effective date of this Grant is August 1, 2013. The estimated completion date of this Grant is July 31, 2017.
2. Funds obligated hereunder are available for program expenditures for the estimated period: August 1, 2013 – July 31, 2017.

A. GENERAL

1. Total Estimated NRC Amount: \$389,312.00
2. Total Obligated Amount: \$389,312.00
3. Cost-Sharing Amount: \$0.00
4. Activity Title: Sustaining Explosive Growth Of Nuclear Engineering Graduate Program At The University Of Utah
5. NRC Project Officer: Nancy Hebron-Israel
6. DUNS No.: 009095365

B. SPECIFIC

- RFPA No.: HR-13-175
FAIMIS: GR0286
Job Code: T8458
BOC: 4110
B&R Number: 2013-84-51-K-164
Appropriation #: 31X0200
Amount Obligated: \$389,312.00

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	Year 3	Year 4
Travel	\$ 1,500.00	\$ 4,000.00	\$ 2,500.00	\$ 4,000.00
Stipend	\$89,000.00	\$89,000.00	\$89,000.00	\$89,000.00
Health Insurance	\$ 5,088.00	\$ 5,088.00	\$ 5,088.00	\$ 5,088.00
Indirect Cost	\$ 120.00	\$ 320.00	\$ 200.00	\$ 320.00
Total	\$95,708.00	\$98,408.00	\$96,788.00	\$98,408.00

All travel must be in accordance with the University of Utah Travel Regulations or the US Government Travel Policy absent Grantee's travel regulation.

A.4 AMOUNT OF AWARD AND PAYMENT PROCEDURES

1. The total estimated amount of this Award is \$389,312.00 for a four year period.
2. NRC hereby obligates the amount of \$389,312.00 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

1. Proposed Fellowship Program at the University of Utah

The University of Utah Nuclear Engineering Program (UNEP) offers Master of Science, Master of Engineering and Doctor of Philosophy degrees in nuclear engineering. These programs include students from various science and engineering disciplines, and health physics contributing to domestic workforce in supporting the design, construction, operation, and regulation of nuclear facilities and the safe handling of nuclear materials. The UNEP houses state-of-the-art laboratories including one out of 13 left TRIGA research reactors in the USA. The renewed Radiochemistry, Microscopy, Nuclear Forensics and Detection, Radiation Measurement, Bio-Medical, and the Neutron Activation Analysis Labs, support the program curriculum in full. Additionally, we offer professional training for SRO (Senior Reactor Operator); dozen of graduate students went through this training from 2010 when UNEP program as a whole was completely revitalized and modernized to meet the nuclear challenges of the 21st century. We found that our two newly established courses related to TRIGA operation became one of our *uniqueness* in presenting an advantage in preparing graduates for nuclear workforce; students are very much interested in hands-on experience and practical understanding of nuclear engineering field. Furthermore, our students are using engineering software tools for modeling and simulating the operation of our TRIGA reactor, in addition to many other applications of simulations coupled to hands-on experience (radiation detection, detector developments, radiation transport, health physics, reactor design, and other unique research).

Our program is also *very unique* in becoming the only one program (in the world) that operates its facility under the DevonWay Corrective Action Program (CAP) software system, and trains our graduates, thus mirroring in full although at the smaller scale, the environment of nuclear power plants. We are the only program in the nation to have nuclear forensics graduate track and will start with nuclear environmental engineering track in fall of 2013. With all this, we are facing an explosive interest in our graduate program. Our current graduate students are coming to our program from different engineering and science disciplines pursuing the advanced degrees in nuclear engineering and thus bridging the disciplines with UNEP faculty carefully selecting the most challenging thesis research topics. Also, a number of faculty at the College of Engineering, College of Science, College of Mines and Earth Sciences and College of Health expanded their research into nuclear engineering related disciplines, increasing involvement of students in selecting the nuclear engineering for their masters or doctoral degrees. This represents our additional *uniqueness* because we have the opportunity to create very diversified workforce; our nuclear engineering MS and PhD students have their BS degrees in other fields, mainly chemical, mechanical, electrical, civil and environmental, materials, and

computer engineering and science, health physics and pre-med sciences. We became one of the fastest growing programs in the country in the last two years: as of fall of 2012, we have 29 graduate students but just two tenure faculty in comparison to 9 graduate student in fall of 2011. Our program has been successfully attracting the students from within our university, but also from other national and international nuclear programs. Our program has the highest percentage of domestic graduate students relative to a total number of graduate students in the program; the ratio is ~80%.

We were recipients of the fellowship program in 2012 and with the funding at the modest level (two MS students per year), we now face an explosive interest among the students across many different engineering, science and medical disciplines, especially at the University of Utah, to apply for our graduate program in seeing nuclear engineering as their new BUT finite profession. As of fall 2012, we have six (and expecting more) students coming from our minor in nuclear engineering program planning on entering our graduate program in 2013. During the 2012/2013 we will hire two new faculty at assistant/associate levels. Thus, this new fellowship award program will help us sustain our growth, and will certainly add to the popularity of our graduate program in attracting outstanding students from within our university but also from across the country as well as internationally. This fellowship program will therefore, importantly contribute to the national expectations and needs, in preparing our graduates to become career professionals and leaders in the nuclear power sector and government regulatory agencies. Support of a fellowship program at the University of Utah will increase the number and quality of graduate students entering its nuclear engineering program and allow selection of the very best to be placed on a trajectory of career success and leadership within the nuclear sector. Our goal is to recruit and retain in total seven outstanding students for this fellowship program. These students will be working on research topics pertaining to nuclear power plant performance, nuclear fuel cycle, radioactive waste and spent fuel disposals, nuclear environmental engineering, and nuclear materials detection involving advanced simulations and modeling combined with the experimental verifications using our state-of-the-art laboratories.

2. Description of the Number and Size of the Fellowships

This fellowship program will encourage the best (highest GPA) students with consideration given to financial need and the goal of promoting the participation of minorities, women, and persons with disabilities. We propose a four-year graduate fellowship program with the objective to support seven graduate students (one PhD and six MS students) interested in nuclear power plant performance, fuel cycle and nuclear materials detection. A four (4) year fellowship will be awarded in the opening year to one (1) qualified PhD student at annual rate of \$26,000 and three, two years fellowships with a \$21,000 annual rate, to qualified MS students. In the year three, three (3) additional MS fellowships will be awarded to outstanding applicants. All supported students will qualify for full tuition waivers.

Every student from this program will attend the ANS Student Conference and one or two national conferences to present his/her research progress. Every incoming graduate student in his/her first year of study will be encouraged to attend the ANS Student Conference for which a fund of \$500 will be provided. If the cost of attending the ANS Student Conference exceeds provided \$500, the ANS University of Utah Chapter will secure the additional funding support. Every MS student in his/her second (final) year of study will be provided with \$1,000 for attending one or two national conferences. These students will be requested to present their research at a minimum one of the two conferences they will be attending. The PhD student will be asked to present his/her research at the national conferences in his/her third and fourth year of study. However, this student will be given total of \$3,000 travel support for last three years of

his/her study (\$1,000 per year) to attend the national conferences and present the research progress. We strongly believe that our graduate students should be attending national conferences where they can meet representatives from nuclear sector and start networking in finding their future jobs.

3. Recruitment Activities and Marketing Strategies

UNEP is enriching its programmatic and strategic initiatives in recruiting and increasing the number of retained students into the program. Newly hired Director of the UNEP (the PI of this proposal) with great support from the College and the University, is advancing the program to meet the needs of the 21st century nuclear industry in the country and therefore prepare graduates in the fields of nuclear engineering of interest to NRC. Newly established recruiting protocol is designed to attract a large and diverse pool of applicants. The UNEP is housed by the Department for Civil and Environmental Engineering but very much also supported administratively by the Chemical Engineering Department. The UNEP recruitment activities thus also follow the established practices in these two departments, allowing that large pool of students hear and learn about the graduate program in nuclear engineering field. The UNEP Director and other UNEP faculty are giving seminars across the Campus, in the region, nationally and internationally; these annual activities resulted in our program being recognized as vibrant, modern, and attractive. The Chairs of the Departments at the College of Engineering, College of Science, College of Health, College of Pharmacy and College of Mines and Earth Sciences, are informing their undergraduates and incoming graduates of the opportunities at UNEP. Our graduate program is becoming more attractive option for many students after they learned of the job market and job opportunities in the State and the country. The UNEP Director developed a few new strategies to reach out those students who has interest in nuclear engineering but are not decided yet due to lack of knowledge of the field, job market and uncertainties in successfully completing the degree; direct communication and meetings with these students resulted in a number of them deciding to pursue their graduate education at UNEP. The ANS Utah Chapter is active in outreach with an impact in informing and recruiting the students into the graduate program. The ANS Chapter is organizing the call outs and various tours: the tour of our TRIGA reactor, the tour of the Westinghouse facilities in Ogden, Utah, and in visiting various classes where they talk about the program, profession and future of the nuclear field. The UNEP Director organizes the UNEP seminar series for the students by inviting speakers from national labs, nuclear industry and government agencies. Seminars showed to be a good avenue in recruiting students into the program. One of the most unique UNEP outreach activities is organized touring of the reactor facilities that include a demonstration of the reactor operation and safety, visiting our newly established Museum where students can learn about decommissioning processes, radiochemistry, microscopes, computation simulations, practice nuclear engineering principles of a reactor operation by "operating" our miniature nuclear reactor mock-up, to mention just few.

The College of Engineering captures the interest of the students through a variety of exciting programs. Current engineering students are involved in these programs as much as possible so that they can share their enthusiasm with others. Several programs are specifically designed to reach out to under-represented minorities and women. College of *Engineering Day* is a half-day event open to high school students (9-12), undecided majors and transfer students interested in engineering. Participants have the opportunity to tour the engineering facilities, TRIGA reactor and the associated facilities, find out what research is happening in the College and at the UNEP, and attend exciting engineering presentations and demonstrations. Society of Hispanic Professional Engineers at the University of Utah chapter, revived in the fall of 2006, organizes a number of different events aimed at recruitment of students from the Hispanic community to

graduate engineering programs motivated to help to increase the numbers of Hispanic students in the college of engineering. College of Engineering organizes every year the *MESA Days*, a program for underrepresented students in engineering. The University of Utah is a member of the statewide consortium comprised of institutions of higher education, business and industries, public school districts, community organizations and government agencies. The group's mission is to increase the number of women and underrepresented minorities who succeed in math, science, engineering, and technology-related careers. This is achieved through educational programs, competitions, and campus and industry tours. The program also gives recognition awards and scholarships to deserving students. The UNEP together with the ANS Chapter is expanding their outreach activities by taking active roles in these programs.

4. Selection Process and Management Structure

This fellowship program will be fully managed by the UNEP Committee with administrative support from the Departments of Civil and Environmental, and Chemical Engineering within the existing university administrative framework, following the rules governing funded programs and taking advantage of the many established administrative tools and support organizations. The PI (Committee Chairperson) is well positioned to manage this fellowship program, and is familiar with and has access to the tools and services at the University, College, and in the Departments. The selection process that will ensure the most qualified applicants are selected based on their academic merit, with consideration given to financial need and the goal of promoting the participation of minorities, women, and persons with disabilities. The selection process and management of the fellowship program will include:

- *UNEP Fellowship Committee:* to be formed in fall of 2013 with the role to administer and maintain the fellowship program. The Committee will consist of the Chairperson who will be the PI of this project, Reactor Supervisor(s), and UNEP professors. This Committee will be responsible for determining all of the important decisions needed to create a successful fellowship program.
- *Publishing announcement and create effective communication channels:* Committee will create and publish the announcement for this fellowship program for distribution to all in the College of Engineering, College of Science, College of Health and College of Mines and Earth Sciences, and will develop the most effective ways in informing and inviting outstanding students to apply. The ANS Chapter and the Alpha Nu Sigma Society at the University of Utah will be included in this process.
- *Developing criteria and time-line for the fellowship awards:* Pre-established criteria as defined by the NRC will be followed in selecting the best graduates in our program. The Committee will develop the time schedule of the applications and the time when the awards will be announced. We will use our current practice as shown to be of great success (personal communications with the best senior students especially those enrolled in nuclear engineering minor at UNEP, posting the call for applicants at our web page, and by publicizing broadly throughout the campus and beyond, about the existing opportunities in receiving the NRC funded fellowships).
- *Awarding the fellowships:* Committee will organize a ceremony to notify the recipients or if timely we will have our students be awarded at the prestigious COE scholarship/fellowship ceremony; the more students and professors are aware of this fellowship program the more interest we may expect to have in the program and retain in the field.
- *Monitor & Mentor the awardees:* Committee will mentor & monitor the awardees to make sure they are progressing in their course work, thesis research while keeping the GPA as required by the NRC. Committee: will meet every semester with the students' advisors to

follow up with research results; and will assist with scholar networking within the University, in providing the references for the awardees and nominate them for Department, College, University and external awards and honors, and in arranging for the awardees to meet distinguished alumni and other visiting alumni having careers in the nuclear sector. Mentoring will provide other guidance as necessary and the Committee members will act in the best interests of the students.

5. Evaluation Plan

Measuring the effectiveness of the fellowship program will be an indication of how successfully the proposed fellowship structure and evaluation plan met the NRC criteria and objectives. The metrics to assess these measures will include: were academically high performing students recruited to the programs through this fellowship awards; did the SRO training show to be a channel of recruitment and retention; were the MS recipients retained in the program for the PhD; how the NRC scholarships increased interest in MS program; how the NTC fellowships for the MS students increased interest for the PhD program; did the recipients graduate with any additional award (for example, best paper award, or best thesis award); did the recipients enter a career in the nuclear sector or academia related to nuclear science and engineering; did the recipients author journal publications and how many papers presented at how many conferences; did the recipients gain practical work experience in the nuclear sector. (e.g. through a summer internship); did the recipients make presentations in a scientific or public speaking forum; did the recipients visit nuclear facilities or related industries; did the recipients join ANS Chapter; did the recipients become the Alpha Nu Sigma elected members; did the recipients meet or network with leaders in the nuclear sector or with alumni and others working as career professionals in this sector; did the recipients receive other academic, industry, community or career awards and honors during their support period, or later; did the recipients have exposure to a diverse environment or have a study abroad experience; did the recipients accept a position of leadership during the support period; and how DevonWay CAP training influenced students' profession, job selection or further learning? We will collect these information yearly and prepare reports for the NRC. Majority of these information will be published at our website.

General impact of the fellowship program will be assessed using these criteria:

- ***Recruitment*** - will be assessed by recording total number and GPA of students applied and a number admitted to our graduate program, as well as a number of students taking the SRO training courses, all as a result of this fellowship program. An increase in the number of applicants meeting the eligibility requirements, and number of PhD and MS degrees, will indicate this fellowship program is enhancing recruitment of high quality students to the disciplines of nuclear engineering. We will also record the increase in the number of graduate students as a direct result of our current funding.
- ***Retention*** - of fellowship awardees as well as total student enrollment in our nuclear engineering graduate program as a result of this fellowship program. We already observed how great impact our current NRC funding made in increasing the number of graduate students at UNEP. A measure of the overall programmatic impact, total number of students within the fellowship program and the number of applications annually, will be therefore recorded for the duration of this program.
- ***Demographics*** - of awardees will be recorded to indicate diversity promoting inspiration for students' future success in nuclear sector.
- ***Tracking*** - the fellowship students after they fulfill their academic obligation and spend minimum 6 months within the NRC or other nuclear sector will be of great interest and

importance not just to NRC but also to our nuclear engineering program. In addition to the University and College resources, the on-line UNEP database will be used for tracking the fellowship students and their careers.

6. Schedule of Tuition Fees and Other Pertinent Costs

Detailed information about the tuition and fees at the University of Utah can be found at the University web page: <http://fbs.admin.utah.edu/index.php/income>; tuition payment dates: Spring 2013 due January 25; Summer 2013 due June 1; Fall 2013 due September 7; Tuition fees: Resident \$2,500-\$4,300, and Non-Resident \$9,800-\$17,000. The tuition fee depends on the number of credit hours (listed fees refers to 9-18 credit hours).

7. Program in Relation to Strategic Plans in the State, Region and University of Utah

These fellowships are contemplated as an integrated element of a College of Engineering and the University of Utah strategic planning in supporting the advancement and growth of UNEP. The State and the region express great interest in increasing the number of graduates from the nuclear engineering program. The plan including innovative approaches covering arrangements as consortia and partnerships with other institutions in the State and world-wide. The Universities in a region, Nevada, Idaho, and Utah, all offer different opportunities for graduates in nuclear engineering field, and we all believe that the fellowships will increase the enrollment in our programs also allowing us to recruit outstanding students into the graduate program and retain them in nuclear engineering field in our region; our students usually express a strong desire to find the jobs in the region. Therefore, we believe our collaborative efforts will enhance our strategies in increasing the awareness among students about the nuclear engineering profession and possibilities in finding attractive jobs in the region.

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, and 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 (<https://www.sam.gov/portal/public/SAM/>).

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

- a. 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 the Chief Human Capital Officer (OCHCO) 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 OCHCO grant awards, in addition to the customary performance progress report requested on the SF-PPR, SF-PPR-B, and SF-PPR-E forms, OCHCO requires the following metrics to be reported on by the awardees as follows:

Fellowship Awards

1. How many graduate students have been sponsored by NRC funding?
 - a. Response is the number of students, for this reporting period and cumulative to the grant.
2. How many students, supported by NRC funding, have received M.S. or equivalent degrees?
 - a. Response is the number of students, for this reporting period and cumulative to the grant.
3. How many students, supported by NRC funding, have received Ph.D. or equivalent degrees?
 - a. Response is the number of students, for this reporting period and cumulative to the grant.
4. How many students, supported by NRC funding, have accepted a job and are employed in the nuclear industry?
 - a. Response is the number of students, for this reporting period and cumulative to the grant.
5. How many items have students produced, for example, Professional Journal articles, publications, patents, or conference reports?
 - a. Response is the type and number of items, for this reporting period and cumulative to the grant.

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 <https://www.sam.gov/portal/public/SAM/>

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.