

## Part I Overview Information

---

### Nuclear Regulatory Commission (<http://www.nrc.gov>)

**Title:** U.S. Nuclear Regulatory Commission Funding Opportunity Announcement (FOA), Minority Serving Institutions Program (MSIP), for Fiscal Year 2013.

**Announcement Type:** New.

**Announcement of Opportunity Number:** SBCR-FN-1112-MSIP03

NOTICE: Applications submitted in response to this Funding Opportunity Announcement (FOA) for Federal assistance must be submitted electronically through Grants.gov (<http://www.grants.gov>) using the SF-424 forms and the SF-424 Application Guide. For alternate submission information see [Section IV. 3.B.1](#).

#### APPLICATIONS MAY NOT BE SUBMITTED IN PAPER FORMAT

This FOA must be read in conjunction with the application guidelines included with this announcement in [Grants.gov/Apply for Grants](#) (hereafter called Grants.gov/Apply).

A registration process is necessary before submission and applicants are highly encouraged to start the process at least four (4) weeks prior to the grant submission date. See [Section IV](#).

**Catalog of Federal Domestic Assistance Number:** 77.007

### Key Dates

**Release/Posted Date:** November 19, 2012 (The earliest date an application may be submitted to Grants.gov)

**Application Deadline:** December 19, 2012 (Awards are subject to the availability of funds)

**Earliest Anticipated Start Date:** January 14, 2013

**Expiration Date:** December 19, 2012

**NOTE:** On-time submission requires that applications be successfully submitted to Grants.gov no later than 5:00 p.m. local time (the organization/institution's time zone).

**Due Dates for E.O. 12372** Not Applicable

### Additional Overview Content

## Executive Summary

The U.S. Nuclear Regulatory Commission (NRC), an independent agency created by Congress in 1974, regulates the nation's civilian use of byproduct, source, and special nuclear materials to ensure adequate protection of public health and safety, to promote the common defense and security, and to protect the environment.

This Funding Opportunity Announcement (FOA) is issued by the Nuclear Regulatory Commission's Office of Small Business and Civil Rights (SBCR) to fund Minority Serving Institutions' (MSIs) programs and activities, projects, symposiums, and training for the exchange and transfer of knowledge and skills relevant to nuclear safety, security, environmental protection, or any other fields the Commission deems critical to its mission. It is also to provide assistance for MSI programs and activities to include, but not limited to, mentoring, leadership development, training, education, instruction, developmental learning, research and development, program evaluation, technical assistance, and recruitment. Funding through issuance of this announcement is also to provide assistance to include direct institutional subsidies, facilities and equipment acquisition, internships, fellowships, scholarships, stipends, travel, tuition, housing and other types of assistance.

### **Types of Assistance:**

This FOA will result in grant awards. The Project Investigator (PI) will be solely responsible for planning, directing, and executing the proposed project.

### **Funds Available and Anticipated Number of Awards.**

Grants will be awarded based upon the availability of funds and applicability of the proposal to planned objectives. Availability of funds is dependent on annual appropriations. The number of awards for FY 2013 will depend upon the number, quality, duration, and costs of the applications received.

### **Budget and Project Period:**

While there are no budgetary caps for awards, all requested costs must be reasonable, well documented, fully justified and commensurate with the scope of the proposed program. Applications must include a program description and a budget for the entire proposed period with supporting budget narrative and budget justification. Award amounts in the previous years were from \$5,400 to \$400,000, ranging from 12 to 60 months of financial assistance. Final budgets are determined during pre-award negotiations between the applicant and NRC. Project periods may not exceed five years.

**Eligible Institutions/Organizations:** Minority Serving Institutions of Higher Education that provide services (including through third parties to Minority Serving Institutions) to their students and faculty. Institutions/organizations listed in [Section III, 1.A.](#) are eligible to apply acting on behalf of their faculty members.

**Eligible Principal Investigators (PIs):** Individuals with the skills, knowledge, and resources necessary to carry out the proposed project or activity are invited to work with their institution/organization to develop an application for support. Individuals from underrepresented racial and ethnic groups as well as individuals with disabilities are always encouraged to apply for NRC support.

**Number of Applications:** Applicants may submit more than one application, provided each application for funding is for a different project or activity.

**Continuations:** N/A

**Application Materials:** See [Section IV.1](#) for application materials.

**Hearing Impaired.** Telecommunications for the hearing impaired are available at: TTY 1-800-635-4512.

# Table of Contents

---

## [Part I Overview Information](#)

## [Part II Full Text of Announcement](#)

### [Section I. Funding Opportunity Description](#)

#### 1. Program Objectives

### [Section II. Award Information](#)

1. Award Type
2. Funds Available
3. Allowable Costs

### [Section III. Eligibility Information](#)

1. Eligible Applicants
  - A. Eligible Institutions
  - B. Eligible Individuals
2. Cost Sharing or Matching
3. Other-Special Eligibility Criteria

### [Section IV. Application and Submission Information](#)

1. Request Application Information
2. Content and Form of Application Submission
3. Submission Dates and Times
  - A. Receipt, Review, and Anticipated Start Dates
  - B. Submitting an Application Electronically to the NRC
  - C. Application Processing
4. Intergovernmental Review
5. Funding Restrictions
6. Civil Rights Compliance Requirements
7. Other Submission Requirements and Information

### [Section V. Application Review Information](#)

1. Criteria
2. Review and Selection Process
  - A. Additional Review Criteria
  - B. Additional Review Considerations
3. Anticipated Announcement and Award Dates

### [Section VI. Award Administration Information](#)

1. Award Notices
2. Administrative and National Policy Requirements
  1. Reporting

### [Section VII. Agency Contacts](#)

1. MSIP Program/Contact(s)
2. Division of Contracts Administrative Contact

### [Section VIII. Other Information](#)

1. Required Federal Citations
2. Authority and Regulations
3. Assurances and Certifications

## **Part II - Full Text of Announcement**

### **Section I. Funding Opportunity Description**

---

#### **1. Program Objectives**

The U.S. Nuclear Regulatory Commission (NRC), an independent agency created by Congress in 1974, regulates the nation's civilian use of byproduct, source, and special nuclear materials to ensure adequate protection of public health and safety, to promote the common defense and security, and to protect the environment.

This FOA is issued by the Nuclear Regulatory Commission's Office of Small Business and Civil Rights (SBCR) to fund Minority Serving Institutions' (MSI) programs and activities relevant to nuclear safety, security, environmental protection, or any other fields the Commission deems critical to its mission.

The goal of the NRC SBCR MSIP to assist MSIs in their effort to increase the number of students and faculty from groups underrepresented in fields related to the nuclear industry.

The MSIP objectives are to assist MSIs in their efforts to achieve academic excellence; build capability, capacity and infrastructure; develop human capital (faculty and students); gain knowledge and skills to effectively compete for grants, cooperative agreements, contracts and resources; participate in Federal and public programs; and to create a diverse skilled Science, Technology, Engineering, and Mathematics (STEM) pipeline.

The program supports institutional grants with well integrated developmental activities that may include, but are not limited to, leadership development activities, research experiences at on or off-campus laboratories, specialty courses with a focus on critical thinking and development of research skills, collaborative learning experiences, career seminars, mentoring activities, scientific reading comprehension and writing skills, tutoring for excellence, recruitment activities and travel to professional meetings. Support is also available for evaluation activities.

Applications will be accepted for MSI facilities improvement, alterations and equipment acquisition, internships, fellowships, scholarships, stipends, travel, tuition, housing and other costs essential to the proposed activity.

See [Section VIII, Other Information - Required Federal Citations](#), for policies related to this announcement.

### **Section II. Award Information**

---

#### **1. Type of Award**

This FOA will result in grant awards. The Principal Investigator (PI) will be solely responsible for planning, directing, and executing the proposed project or activity.

## 2. Funds Available

The number of awards for FY 2013 will depend upon the availability of funds, applicability of the proposal to planned objectives and the number, quality, duration, and costs of the applications received.

## 3. Allowable Costs

Allowable costs must be consistent with the cost principles in 2 CFR 215, 2 CFR 220, 2 CFR 225, 2 CFR 230 and be reasonable, allocable, well documented and fully justified for the program proposed in the application. Grant funds may not be used to supplant funds otherwise available at the applicant institution. Examples of allowable costs include but are not limited to the following: personnel costs, support to defray graduate student participation expenses, such as student compensation (when appropriate) and other student costs (e.g., fees, books or partial tuition). Grantee institutions must provide documentation of tuition rates, if included in the application. It is recommended that potential applicants consult NRC staff if there are any questions regarding allowable costs.

**Personnel:** Individuals participating in the design and implementation of the project may request salary and fringe benefits appropriate for the person months devoted to the program. These expenses must be itemized in Sections A and B, as appropriate, of the SF 424A Budget page. Salaries requested may not exceed the levels commensurate with the institution's policy for similar positions. Limited administrative and clerical salary costs associated distinctly with the program that are not normally provided by the applicant organization may be direct charges to the grant only when specifically identified and justified.

Graduate students may be included on applications. Graduate students should not be listed as principal investigators, co-principal investigators, or senior personnel.

**Other Program-Related Expenses:** Consultant costs, equipment, supplies, travel for key persons, and other program-related expenses must be justified as specifically required by the proposed program. These expenses must be itemized, as appropriate, in the SF424A object class categories and fully documented in the budget justification.

### **Facilities and Administrative (F&A) Costs:**

Scholarship and fellowship grantees will receive F&A costs at 8 percent of modified total direct costs (exclusive of tuition and fees, health insurance) for consortiums in excess of \$25,000, and expenditures for equipment or at the actual F&A cost rate, whichever is less. For other types of projects, grantees will receive F&A costs at the actual current negotiated F&A cost rate. A copy of the institution's and all subcontractor's current rate agreement is required in the application with the budget justification.

## Section III. Eligibility Information

---

## 1. Eligible Applicants

Minority Serving Institutions of Higher Education that provide services (including through third parties to Minority Serving Institutions) to their students and faculty.

### 1.A. Eligible Institutions

You may submit an application(s) if your institution/organization has any of the following characteristics:

- Hispanic-Serving Institutions (HSIs)
- Historically Black Colleges and Universities (HBCUs)
- Tribal Colleges and Universities (TCUs)
- Asian American Pacific Islander Institutions (AAPIs)

Eligible applicants are regionally accredited U.S. public and private minority institutions of higher education as defined in Section 102 of the Higher Education Act of 1965 (20 USC 1002). <http://ope.ed.gov/accreditation/> “Minority institutions,” as used in this clause, means institutions meeting the requirements of Section 1046(3) of the Higher Education Act of 1965 (20 U.S.C. 1135d-5(3)). The term also includes Hispanic-Serving Institutions as defined in Section 316(b)(1) of such Act (20 U.S.C. 1059c(b)(1)). The HEA’s definitions of “minority” and “minority institutions” under the (MSEIP) are in Section 365(2) and (3) of the Higher Education Act of 1965, 20 U.S.C. 1067k(2) and (3), respectively. These definitions can be found on-line at the website of the Department’s Office of Postsecondary Education (OPE), at ([HEA Definition](#)). [Note to the reader: You may find the PDF version particularly helpful in accessing the definitions.]

The current list of the United States Department of Education Accredited Postsecondary Minority Institutions may be found at <http://www.ed.gov/about/offices/list/ocr/edlite-minorityinst-list-tab.html>

Federal agencies are not eligible to receive Federal assistance under this announcement. Affiliates that manage externally funded programs for Minority Serving Institutions are eligible to submit applications for this FOA on behalf of the MSI, provided the award funds are directly attributed to the MSI’s project. Awards are not made to any other form of entity or directly to individuals. Individuals and other entities may not apply directly to NRC for these grants.

### 1.B. Eligible Principal Investigators/Project Directors

Any individual(s) with the skills, knowledge, and resources necessary to carry out the proposed project or activity as the PI is invited to work with his/her organization to develop an application for support. Individuals from underrepresented racial and ethnic groups as well as individuals with disabilities are always encouraged to apply for NRC support.

More than one PI (i.e., multiple PIs), may be designated on the application for projects.

The decision of whether to apply for a grant with a single PI or multiple PIs is the responsibility of the investigators and applicant organizations and should be determined by the goals of the project. Applications for grants with multiple PIs will require additional information, as outlined in the instructions below. The NRC review criteria for approach, investigators, and environment have been modified to accommodate applications involving either a single PI or multiple PIs. When considering the multiple PI option, please be aware that the structure and governance of the PI leadership team, as well as the knowledge, skills and experience of the individual PIs will be factored into the assessment of the overall merit of the application. Multiple PIs on a project share the authority and responsibility for leading and directing the project, intellectually and logistically. Each PI is responsible and accountable to the grantee organization, or, as appropriate, to a collaborating organization, for the proper conduct of the project or program, including the submission of required reports.

## 2. Cost Sharing or Matching

This program does not require cost sharing, but highly encouraged.

## 3. Other-Special Eligibility Criteria

Previously funded NRC SBCR MSIP projects that have reached the end of the period of performance must submit a new proposal subject to review and acceptance by the NRC Office of Small Business and Civil Rights.

### **Eligible Recipients for Scholarships and Fellowships:**

Scholarship and Fellowship projects provide funding for eligible MSI colleges and universities to award scholarships and fellowships to individuals pursuing degrees in nuclear science, engineering, and other disciplines that may be beneficial to fields related to the nuclear industry. Recipients must be enrolled in a professional degree or certification program offered by accredited institutions of higher education in the United States. Institutions receiving NRC grants must establish programs to monitor the academic progress of the scholarship students.

As a condition for receiving scholarships or fellowships, recipients must demonstrate satisfactory academic progress in their fields of study, as determined by criteria contained in the proposal and as approved by the NRC. The nuclear development supported by this funding is intended to benefit the nuclear sector broadly. Consequently, NRC requires scholarship and fellowship recipients to serve six (6) months in nuclear-related employment for each full or partial year of academic support. The employment may be with NRC, other Federal agencies, State agencies, Department of Energy laboratories, nuclear-related industry, or academia in the recipient's sponsored fields of study. NRC may waive, in whole or in part, the service obligation, upon determination that compliance by the individual is impractical. (See Scholarship and Fellowship Program Service Agreement at [www.nrc.gov/about-nrc/grants.html](http://www.nrc.gov/about-nrc/grants.html))

Scholarship and fellowship recipients who fail to satisfy the requirements of the program must reimburse the United States government for the entire amount of the assistance provided them under the scholarship or fellowship plus interest at a rate determined by the NRC. Scholarship and Fellowship recipients must be United States citizens or noncitizen nationals of the United States, or have been lawfully admitted to the United



States for permanent residence (i.e., in possession of a currently valid Alien Registration Receipt Card I-551, or other legal verification of such status). Noncitizen nationals are persons born in outlying possessions of the United States.

## Section IV. Application and Submission Information

---

To download a SF-424 Application and for completing the SF-424 forms for this FOA, use the link to <http://www.grants.gov/Apply/> and follow the directions provided on that Web site.

A one-time registration is required for institutions/organizations: Grants.gov ([http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp)) and

Several additional separate actions are required before an applicant can submit an electronic application, as follows:

Organizational/Institutional Registration in [Grants.gov/Get Registered](#)

- Your organization will need to obtain a [Data Universal Number System \(DUNS\) number](#) and register with the [System for Award Management \(SAM\)](#) as part of the Grants.gov registration process. Applicants are reminded that the SAM registration must be updated annually.
- If your organization does not have a Taxpayer Identification Number (TIN) or Employer Identification Number (EIN), allow for extra time. A valid TIN or EIN is necessary for SAM registration.
- The SAM also validates the EIN against Internal Revenue Service records, a step that will take an additional one to two business days.
- Direct questions regarding Grants.gov registration to:  
[Grants.gov Customer Support](#)  
 Contact Center Phone: 800-518-4726 or by email: <mailto:support@grants.gov>  
 Business Hours: M-F 7:00 a.m. - 9:00 p.m. Eastern Time

Several of the steps of the registration process could take four weeks or more. Therefore, applicants should immediately check with their business official to determine whether their organization/institution is already registered in Grants.gov. The NRC will accept electronic applications only from organizations through Grants.gov. NOTE: Exceptions may apply during the Recovery Act period.

The NRC requires all prospective awardees to be registered in the SAM database prior to award, during performance, and through the end of the project period. Processing time, which normally takes 48 hours, should be taken into consideration when registering with SAM. Interested parties who are not registered should consider registering immediately, and can obtain information on registration at <https://www.sam.gov>.

### 1. Request Application Information

Applicants must download the SF-424 application forms and instructions for this FOA through [Grants.gov/Apply](#).

Telecommunications for the hearing impaired: TDD: 1-800-635-4512

## 2. Content and Form of Application Submission

Prepare all applications using the SF-424 application forms and in accordance with the SF-424 instructions included in this FOA through [Grants.gov/Apply](http://Grants.gov/Apply). A compatible version of [Adobe Reader](http://Adobe Reader) is required for download. For Assistance downloading this or any Grants.gov application package, please contact Grants.gov Customer Support at <http://grants.gov/CustomerSupport>.

The SF-424 application has several components. Some components are required, others are optional. A completed application in response to this FOA includes the data in the following components:

### Required Components:

- SF 424 – Application for Federal Assistance - CFDA Number 77.007.
- SF 424A – Budget Information - complete Sections A, B, C, D, E and F
- SF 424B – Assurances
- SF LLL – Disclosure of Lobbying Activities

All applications must include a Lobbying Certification statement in addition to the SF424-B Assurances. See [Section VIII Certification Regarding Lobbying](#)

### Allowable Costs:

Allowable costs must be consistent with 2 CFR 215, 2 CFR 220 and be reasonable, allocable, well documented and fully justified for the project or activity proposed in the application. Grant funds may provide financial support in whole or in part for alteration costs, equipment acquisition, stipends, travel, tuition, housing, salaries, materials and supplies, publication costs, training costs, services required for research and/or conducting other projects or activities proposed. Restrictions on use of funds depend on grant provisions, the nature of assistance provided, and the purpose(s) for which the programs and activities were funded to achieve.

It is recommended that potential applicants consult NRC staff if there are any questions regarding allowable costs.

**Personnel:** Individuals participating in the design and implementation of the project or activity may request salary and fringe benefits appropriate for the person months devoted to the program. These expenses must be itemized in Sections A and B, as appropriate, of the SF 424A Budget page. Salaries requested may not exceed the levels commensurate with the institution's policy for similar positions. (If mentoring interactions and other activities with students/participants are considered a regular part of an individual's academic duties, then mentoring and other interactions with students/participants are non-reimbursable from grant funds). Limited administrative and clerical salary costs associated distinctly with the program that are not normally provided by the applicant organization may be direct charges to the grant only when specifically identified and justified in the application.

Graduate students may be included on applications. Graduate students should not be listed as principal investigators, co-principal investigators, or senior personnel.

Unaffiliated principal investigators need to be formally affiliated with an accredited institution of higher education to be involved in this competition. Stipends, tuition reimbursement and fees are allowable costs for, graduate research assistants (GRA) or Fellows participating in the project activities. NRC stipends are to defray living expenses. NRC stipends are not considered salaries. In addition, NRC stipend recipients are not considered to be in an employee-employer relationship with NRC or the institution solely as a result of the NRC award. Funds awarded in the stipends and tuition/fees budget categories are restricted and may not be used for other purposes except under unusual circumstances as approved by the NRC Grants Officer.

**Other Program-Related Expenses:** Consultant costs and/or other project or activity-related expenses must be justified as specifically required by the proposed project or activity. These expenses must be itemized, as appropriate, in the SF-424A object class categories and fully documented in the budget justification.

**Facilities and Administrative (F&A) Costs:** Scholarship and fellowship grantees will receive F&A costs at 8 percent of modified total direct costs (exclusive of tuition and fees, health insurance) for consortiums in excess of \$25,000, and expenditures for equipment or at the actual F&A cost rate, whichever is less. For other types of projects, grantees will receive F&A costs at the actual current negotiated F&A cost rate. A copy of the institution's and all subcontractor's current rate agreement is required in the application with the budget justification.

## **Special Instructions**

### **Applications with Multiple PIs**

When multiple PIs are proposed, NRC requires one PI to be designated as the "Contact" PI, who will be responsible for all communication between the PIs and the NRC, for assembling the application materials outlined below, and for coordinating progress reports for the project. The contact PI must meet all eligibility requirements for PI status in the same way as other PIs, but has no other special roles or responsibilities within the project team beyond those mentioned above.

Information for the Contact PI should be entered in item 8.f. of the SF-424. All other PIs should be listed in the Budget Narrative and be listed as PIs.

All projects or activities proposing Multiple PIs will be required to include a section describing the leadership plan approach for the proposed project or activity.

Multiple PI Leadership Plan: For applications designating multiple PIs, a section of the research plan, entitled "Multiple PI Leadership Plan" must be included. A rationale for choosing a multiple PI approach should be described. The governance and organizational structure of the leadership team and the project or activity should be described, and should include communication plans, process for making decisions on project area direction, and procedures for resolving conflicts. The roles and administrative, technical, and specific responsibilities for the project or activity should be delineated for the PIs and other collaborators.

If budget allocation is planned, the distribution of resources to specific components of the project or the individual PIs should be delineated in the Leadership Plan. In the event of an award, the requested allocations may be reflected in a footnote on the Notice of Award (NoA).

### **Applications Involving a Single Institution**

When all PIs are within a single institution, follow the instructions contained in the SF-424 Application Guide.

### **Applications Involving Multiple Institutions**

When multiple institutions are involved, one institution must be designated as the prime institution and funding for the other institution(s) must be requested via a subcontract to be administered by the prime institution. When submitting a detailed budget, the prime institution should submit its budget page as well as a budget page and budget narrative for the subcontract institution(s).

## **3. Submission Dates and Times**

See [Section IV.3.A.](#) for details.

### **3.A. Submission, Review, and Anticipated Start Dates**

**Opening Date:** November 19, 2012 (Earliest date an application may be submitted to Grants.gov)

**Application Deadline:** December 19, 2012 (Awards are subject to the availability of funds)

**Earliest Anticipated Start Date:** January 14, 2012

#### **3.A.1 Full Proposal Content**

All submissions require full proposals. You may download full proposal submission packages from <http://www.grants.gov>.

#### **Required Elements for Full Proposals**

##### **A. Format**

##### **Font Size, Style, and Color**

- 11 point, Arial, black color (A Symbol font may be used to insert Greek letters or special characters.)

##### **Page Size and Margins**

- Use standard paper size (8 ½" x 11")
- Use one inch margins (top, bottom, left, and right)

##### **Footer**

- Each page should include a page number and Principal Investigator's last name in the bottom right-hand corner

### **Attachments**

- NRC requires all text attachments to the SF424 application forms to be submitted as PDF files. Adobe PDF format is preferred.

### **B. Executive Summary (half-page maximum):**

Include the following in the Executive Summary:

- Name, mailing address, email address, and telephone number of the Principal Investigator(s)
- Names, mailing addresses, email addresses, and affiliations of other collaborative personnel and sub-grantees who will contribute significantly to the project
- Technical focus area(s) addressed by proposal (from those listed in [Section I](#))
- Descriptive project title
- Length of proposed project (e.g., 2 years)
- Total funding request
- Concise statement of the project's objectives and benefits

Note: See Section IV for submission information and deadlines.

### **C. Project Description must include:**

The project or activity description is limited to ten (10) pages or less, **including** text, tables, and visual materials (e.g., charts, graphs, maps, photographs). The page limit does not include the:

- Executive Summary
- Budget and Budget Narrative
- Current and Pending Support
- Curriculum Vitae (Resume/Biosketch)
- Other required forms and [assurances](#)

### **D. Summary of Results from Past NRC Research funding (if applicable):**

Applicants must provide a concise summary of results and achievements from any prior NRC grant and/or cooperative agreement funding.

### **E. Summary of Relevant Current Funding Support:**

Applicants must provide information on all current and pending Federal support for ongoing projects and proposals, including potential subsequent funding in the renewal or continuing grants associated with NRC. Include the proposed project or activity and all other projects or activities using Federal assistance or that require a portion of time of the principal investigator or other senior personnel. Describe the relationship between the proposed project or activity and other projects and state the number of person-months per year to be devoted to the project or activity.

**F. Curriculum Vitae/Resumes:**

Include a **two-page maximum** resume for each PI and other senior personnel involved in carrying out the proposal, including any recent relevant publication references.

**G. Detailed Budget Narrative and Application Instructions:**

All applications must include a detailed budget narrative explaining the need for and justifying the costs of Federal and the non-Federal expenditures as they relate to the proposal objectives.

SF-424 Section A – Budget Summary: Fill in “**MSIP**” under the “Grant Program Function or Activity” (Column a). The Catalog of Federal Domestic Assistance (CFDA) number is 77.007. Columns (c) and (d) should be left blank. Columns (e) and (f) should include the total Federal and Non-Federal funding for the entire grant period.

List all expenditures in the budget narrative/justification using the same budget categories on SF-424A, Section B (Budget Category). Include the dollar amounts in the budget narrative/justification and how the dollar amounts were derived. Include detailed descriptions of all cost justifications. The budget narrative attachment/justification submitted with the application must match the dollar amounts on all required forms, i.e. SF-424 and SF-424A, Section F. Please explain each calculation and provide a narrative that supports each budget category as it relates to the project or activity objectives.

Describe each expense in the budget narrative/justification by object class (e.g., personnel, equipment, travel, other costs) in the order that they appear on the SF-424A Section B.

- List all PERSONNEL with their associated effort and salary requested. Briefly explain the individual’s role in the project. What will the lead Principal Investigator do that contributes to the project? What will co-PI.s, Associates, and other personnel do? How will they participate in the project? What particular project-related duties will be performed by listed research associates, graduate research assistants, student workers, and other professionals? FRINGE BENEFITS. Indicate what fringe benefits negotiated with the cognizant federal audit agency apply and list the categories of personnel to which the various rates apply. Refer to the current negotiated fringe benefit rate agreement.
- EQUIPMENT: MSIP grants do not normally fund large equipment purchases. Identify each item of permanent equipment to be purchased with grant funds, indicate how it will be used to accomplish the project, and list the estimated cost. For any single item costing more than \$5,000, indicate whether a lease vs. purchase analysis was considered and if not, why.
- TRAVEL: Identify each traveler and destination to the best of your ability. If the destination is unknown, explain how you arrived at the proposed charges. Indicate the general purpose of each trip, destinations, the number of travelers, trips, mileage, and other pertinent factors that affect the costs. Do not list any

travel expenses as “miscellaneous.” Identify any planned foreign travel, describe its purpose, and name the traveler.

- **OTHER:** Briefly identify each group of costs, e.g., “Photocopy, long-distance, FAX, supplies, contracted services, etc.” An explanation of purpose is not required for small cost groupings of a few hundred dollars or less. Subdivide large supply requests (e.g., more than \$1,500) into smaller categories, describe each category, and indicate how that class of supplies will be used to advance the project. Do not include general office supplies, postage, magazine subscriptions, or other categories of expense that are unallowable as direct costs to sponsored agreements. Do not identify any group of supplies or other categories of cost as miscellaneous or contingent. Requested stipends, tuition and fees must be supported by documents citing rates charged by the institution.
- **SUB AWARD/CONTRACT:** The budget requested for sub-awardee/contract organization(s). Note, separate budgets are required only for sub-awardee/contract organizations that perform a substantive portion of the project or activity. If creating Sub award Budget, use a separate SF-424A Budget summary (including the budget justification narrative section) and attach as a separate file on the Budget Attachment(s) form.
- **INDIRECT COSTS (Facilities and Administrative costs).** State the current negotiated rate and basis of indirect costs, e.g., 26% Modified Total Direct Costs. Include a copy of the current negotiated rate agreement with the budget justification.

**Compensation Restrictions for Federal Grants:** For federally funded projects, extra compensation during the academic year is restricted by the Office of Management and Budget (OMB A-21 incorporated in 2 CFR 220). This includes projects for which funds are received by the University through another entity, e.g., from a state agency or other university that has received federal funds for the project in question. Section J.10.D(1) of OMB Circular A-21 states the following regarding faculty salaries: "In no event will charges to sponsored agreements, irrespective of the basis for computation, exceed the proportionate share of the base salary for that period. The principle applies to all members of the faculty at an institution. Since intra-university consulting is assumed to be undertaken as a university obligation requiring no compensation in addition to full-time salary, the principle also applies to faculty members who function as consultants or otherwise contribute to a sponsored agreement conducted by another faculty member of the same institution. However, in unusual cases where the consultation is across departmental lines or involves a separate or remote operation, and the work performed by the consultant is in addition to his regular departmental load, any charges for such work representing extra compensation above the base salary are allowable provided that such consulting arrangements are specifically provided for in the agreement or approved in writing by the sponsoring agency."

### **3.B. Submitting an Application Electronically to the NRC**

To submit an application in response to this FOA, applicants should access this FOA via [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp) and follow Steps 1-4. The links for

obtaining the Adobe Acrobat and Word viewer may be found at (<http://www.grants.gov/agencies/asoftware.jsp#5>).

The grant applications now require electronic submission; however, during unanticipated peak periods or system problems, NRC will accept applications by email submissions under specific conditions. (See 3.B.1.)

**Note:** Applications must only be submitted electronically. Only the Authorized Organizational Representative (AOR) of the applicant institution is allowed to submit the application.

¶For issues relating to downloading or navigating Adobe forms or technical aspects of submitting to the Grants.gov system, contact the [Grants.gov Contact Center](http://grants.gov/contactus/contactus.jsp) <<http://grants.gov/contactus/contactus.jsp>>.

Contact the Grants.gov Contact Center to document and help resolve the submission issues. Phone: 1-800-518-4726. Hours of Operation: 24 hours a day, 7 days a week. They are closed on federal holidays.

Please have the following information available when contacting Grants.gov, to help expedite your inquiry:

- Funding Opportunity Announcement (FOA) Number (SBCR-FN-1112-MSIP03)
- Name of Agency You Are Applying To (NRC)
- Specific Area of Concern

Once your application has been submitted, you can check the status on the [Track My Application](#) page.

You can identify your application by:

- CFDA Number
- Funding Opportunity Number
- Competition ID
- Grants.gov Tracking Number

See "[What to Expect After Submitting](#)"  for detailed information.

When you submit a grant application package to Grants.gov, you will receive a confirmation screen as well as up to four emails from Grants.gov:

1. Submission Receipt (with "Track My Application" link)\*
2. Submission Validation (or Rejection with Errors)
3. Agency Retrieval
4. Agency Specific Tracking Number Assignment (*NRC does not assign tracking numbers at this time*).

**All email notifications will occur over a period of two business days.** Applicants are advised to begin the submission through Grants.gov well in advance of the



submission due date to assure that the application is successfully received by Grants.gov.

We encourage applicants to apply early to reduce the stress of last minute submissions. We will closely monitor the Grants.gov queue and make adjustments to the submission deadlines if necessary to protect applicants' ability to submit on-time. Grants.gov is working on performance enhancing system changes. Applicants can use the "Track My Application" feature in Grants.gov.

**\* Note:** It may take up to 30 minutes after you have submitted your application to show results on the "Track My Application" page.

### **3.B.1 Alternate submissions.**

Confirm submission requirements. The competing grant applications now require electronic submission; however, during unanticipated peak periods or system problems, NRC will accept email submissions.

Electronic submission is acceptable and highly encouraged through [Grants.gov](https://www.grants.gov). If you have followed the instructions in 3.B (above) and find you are still not going to meet the submission deadline due to technical issues with our systems, you have to perform the following procedures:

1. Contact the Grants.gov Contact Center to document and help resolve any Grants.gov related submission issues. If you are unable to obtain the tracking number and timestamp necessary to verify on-time submission, documenting your difficulties on or before the submission due date is crucial.
2. Document the issue with the NRC Division of Contracts at [DC\\_Grants.Resource@nrc.gov](mailto:DC_Grants.Resource@nrc.gov). You must include your Grants.gov support ticket number, and the name of the applicant institution in the subject line of the email.

When documenting system issues, be sure to include as much information as possible. Applicants with multiple Grants.gov tracking numbers should include all relevant numbers when contacting the NRC Division of Contracts.

If the NRC is able to verify a system issue that is beyond your control, you will be placed on a 'Systems Issues' list that is shared with NRC's program office and your application will not be considered late, as long as the submission process is completed within the one-day correction window. If you are unable to complete the submission within the error correction window, you will need to provide sufficient justification for additional time which will be carefully evaluated.

All electronic submissions must be sent by the institutions' Authorized Organization Official (AOR) or Signing Official (SO). Send alternate email submissions to [DC\\_Grants.Resource@nrc.gov](mailto:DC_Grants.Resource@nrc.gov).

The subject line for email submissions must include:

- FOA number (SBCR-FN-1112-MSIP03)

- Applicant Institution's name and
- Grants.Gov support ticket number

The NRC is not responsible for technical difficulties associated with alternate electronic submissions. If you experience technical difficulties, please contact the NRC Grants Officer.

If the submission deadline shifts beyond the expiration date of the FOA, applicants submitting electronically may receive a warning message from Grants.gov. This warning will **not** keep your application from processing through Grants.gov.

### 3.C. Application Processing

Applications may be submitted on or after the opening date and must be successfully received by Grants.gov or, successfully received by NRC via email (see 3.B.1 above) no later than **5:00 p.m. local time (organization/institution's time zone)** on the application due date(s), (See [Section IV.3.A.](#) for all dates). If an application is not submitted by the due date and time, the application will be returned without review.

Upon receipt, applications will be evaluated for completeness and responsiveness by the NRC. Incomplete and non-responsive applications may not be reviewed.

### 4. Intergovernmental Review

This initiative is not subject to [intergovernmental review](#).

### 5. Funding Restrictions

All NRC awards are subject to the terms and conditions, cost principles and administrative requirements in accordance with [2 CFR 215](#) and other considerations described in the "[NRC General Provisions for Grants and Cooperative Agreements Awarded to Non-Governmental Organizations](#)." (See [Section VIII](#)).

### 6. Information on Civil Rights Compliance Requirements Imposed as a Condition of Award of NRC Federal Financial Assistance

The NRC assures nondiscrimination in NRC conducted and Federal financially assisted programs and activities. The NRC's Office of Small Business and Civil Rights (SBCR) provides applicants/recipients with direction, guidance and technical assistance. SBCR also monitors program activities, conducts compliance reviews, investigates complaints, enforces violations and submits reports to Federal oversight agencies. See NRC POLICY ISSUE statement dated April 2007.

Applicants/recipients are required to:

#### 6.1 Submit a Standard Form (SF) 424B Statement of Assurances.

Statements must be signed by individuals with authority to assure that the recipients' programs comply with Federal civil rights laws, mandates, and NRC regulations.

## **6.2 Provide Public Notification.**

Display the NRC's nondiscrimination policy and procedures for filing complaints in prominent locations to inform staff, beneficiaries and potential beneficiaries; disseminate a nondiscrimination policy statement (e.g., recruitment materials, brochures and other materials, handbooks, applications and postings); and distribute notices regarding programs and activities to eligible populations and to Limited English Proficient (LEP) individuals (See LEP Guidance FR Doc 04-4672).

## **6.3 Participate in mandatory NRC Compliance Reviews.**

Participate in pre- and post-award compliance reviews.

**6.3.A A pre-award compliance review** (usually a desk-audit) must be conducted prior to award of NRC financial assistance. Applicants/recipients are required to complete NRC Form SF 781 Parts A and B and C. If a determination cannot be made from the submitted data, SBCR will take other steps to request additional information, which could include conducting an on-site audit.

Post-award compliance reviews will be based on desk audits and input from advocacy groups, community organizations, and results from ongoing research to identify recipients that should be selected to undergo an on-site audit. The following criteria will be used to target recipients for a post-award compliance on-site audit:

- 1) Areas of "questionable" compliance identified in a desk audit;
- 2) Issues raised in a complaint or identified during a complaint investigation (not covered in the scope of the investigation);
- 3) Noncompliance issues raised;
- 4) Amount of program funding (\$100K or greater), or size and complexity of the project;
- 5) Geographical areas the agency wishes to target because of known problems beneficiaries are experiencing;
- 6) Problems identified to the agency by other civil rights agencies;
- 7) Problems identified to the agency by community organizations or advocacy groups that are familiar with actual incidents to support their concerns;
- 8) Issues frequently identified as problems faced by program beneficiaries;
- 9) Issues targeted in the agency's strategic plan;
- 10) Problems identified to the agency by its block grant recipients; and
- 11) Proximity of the recipient to NRC offices.

**6.3.B Post-award compliance on-site audits** (a targeted sampling not to exceed 10%) encompass a broad review of recipients' programs and practices to determine actual compliance with regulations and include:

- 1) Civil rights implementation and enforcement policies and practices;
- 2) Statistical evidence by racial and ethnic minorities based on the recipient's (a) staffing patterns, (b) beneficiary program participation rates, and (c) rejection rates;

- 3) Applications or interview materials related to program participation or selection;
- 4) Demographic make-up of the affected community or potential participants;
- 5) Actions to educate the public and affected communities, particularly LEP individuals;
- 6) Any discrimination complaints lodged against the recipient;
- 7) Auxiliary aids, reasonable accommodations, facility accessibility; and
- 8) Any previous findings of compliance or none compliance related to the recipient.

### **6.3. C Post-award compliance on-site audits will include:**

Interviews of recipients officials, representatives, participants or beneficiaries; and  
Review recipients data collection and analysis used to assess compliance.

SBCR will issue written results of its compliance findings and issue a written report containing recommendations for achieving compliance.

### **6.4. Designate Equal Opportunity (EO) Coordinators**

Appoint Coordinators (e.g., Title VI and IX, Disability, Age) in order to:

- 1) Inform those eligible to participate in programs and activities about all available services and their rights under applicable Federal civil rights regulations;
- 2) Collect data on who is being served by the programs and activities offered;
- 3) Monitor compliance and alerting recipient officials of any complaints or noncompliance issues that require action;
- 4) Plan, develop, and implement periodic EO civil rights training;
- 5) Maintain records and report compliance to SBCR/OCCP; and,
- 6) Make sure that prompt corrective action has been taken for any deficiencies.

### **6.5 Submit Compliance Reports**

Submit compliance reports throughout the program year and an annual EO compliance report to SBCR no later than December 31 of each calendar year.

### **6.6 Provide Civil Rights Training**

Provide comprehensive civil rights training for existing and new staff, and periodically retrain old staff to establish and update their knowledge of EO civil rights statutes and emerging issues.

### **6.7 Establish Complaint Process**

Establish procedures for “processing and disposition” of discrimination complaints. Maintain complaint log, which includes: the complainant’s race, color, or national origin, the identity of the recipient, the nature of the complaint and date filed, the investigation completion date, the date and nature of the disposition, and other pertinent information.

**6.8 Technical Assistance** is provided by SBCR to assist stakeholders with understanding and complying with regulations. Links are provided to the U.S. Department of Justice website and the following NRC regulations: [10 CFR Part 4- Nondiscrimination in Federally Assisted Programs or ...Activities Receiving Federal Financial Assistance From the Commission;](#) 10 CFR Part 5--[Nondiscrimination on the](#)

[Basis of Sex in Education ... Programs or Activities Receiving Federal Financial Assistance.](#)

Outreach and Compliance Coordination Program (OCCP) staff is available to provide direction, guidance, and technical assistance to help ensure compliance. OCCP staff can be contacted via email at [OCCPrograms@nrc.gov](mailto:OCCPrograms@nrc.gov) or by phone at 301-415-7380.

## **7. Other Submission Requirements and Information**

### **Automated Standard Application for Payments**

NRC uses the Automated Standard Application for Payments (ASAP) for grantee reimbursement of project costs. ASAP is a recipient-initiated payment and information system, designed to provide a single point of contact for the request and delivery of Federal funds. ASAP was developed by the Financial Management Service (FMS) of the U.S. Treasury and the Federal Reserve Bank (FRB) of Richmond. For information about ASAP, see <http://www.fms.treas.gov/asap/>. Recipient organizations must be enrolled in ASAP.gov and their bank account must link to the NRC Agency Link Code (31000001) to receive funds.

A. Institutions that are currently enrolled in ASAP.gov but are not yet linked to the NRC Agency Link Code (31000001) must provide the following information at the end of the budget justification section:

- 1) Point of Contact name currently in ASAP
- 2) Point of Contact title
- 3) Point of Contact email address
- 4) Point of Contact phone number
- 5) Organization Name
- 6) Organization Type (private, non-profit, Institution of Higher Education, etc.)
- 7) Organization address
- 8) The recipient organization ASAP ID number. The ASAP ID is a seven digit number ID assigned to a Recipient Organization (RO) when they are enrolled in the ASAP. This number is required to access the Recipient Organization ASAP account.
- 9) DUNS number associated with the ASAP recipient ID number. (Some ASAP recipient organizations have a different DUNS number for their ASAP account. If the DUNS for the application is different from the recipient organization DUNS in the ASAP account, please assure that the correct ASAP associated DUNS is included in the ASAP account information.)
- 10) EIN number for the recipient organization – should match the EIN in Grants.gov

B. If the applicant institution is not currently enrolled in ASAP, include the following information at the end of the budget justification section:

- 1) Name of Financial official to serve as Point of Contact (POC) for ASAP (e.g., payment requests, financial reports, etc.)
- 2) Title of Point of Contact
- 3) Email address for Point of Contact

- 4) Phone number of Point of Contact
- 5) Name of Organization
- 6) Address of Organization
- 7) Organizational D-U-N-S
- 8) EIN number (should match EIN in Grants.gov)
- 9) Type of Organization (Private, Non-profit, Institution of Higher Education)

**In the event of an award, applications that do not include the ASAP information may incur delays in project funds availability.**

## **Organizational D-U-N-S**

The Data Universal Numbering System (DUNS) number on the application must match the DUNS number provided at SAM registration with Grants.gov. For additional information, see [http://www.grants.gov/applicants/request\\_duns\\_number.jsp](http://www.grants.gov/applicants/request_duns_number.jsp).

If the Payee DUNS for ASAP.gov is different from the DUNS number provided in the SAM registration, please include the Payee DUNS at the end of the budget narrative under the heading ASAP DUNS. Payments may be delayed if this information is missing or incorrect in the application.

## **Section V. Application Review Information**

---

### **1. Criteria**

Only the review criteria described below will be considered in the review process.

#### **1.A. General Review:**

NRC evaluates each proposal using a two-part process:

(1) Each application is screened to ensure that it meets the administrative requirements set forth in this FOA.

(2) Proposals meeting the administrative requirements are evaluated by a review panel. NRC selects reviewers based upon education and experience in relevant scientific, technical, or academic fields, taking into account the following factors:

(a) the level of the individual's relevant scientific, technical, or academic experience, as well as the extent to which the individual is engaged in relevant scientific, technical, and/or academic activities;

(b) the need to include as reviewers experts from various specialization areas within relevant scientific, technical, or academic fields;

(c) the need to include as reviewers other experts who can assess relevance of the applications to targeted audiences and to program needs; and

(d) the need to include as reviewers experts from a variety of organization types (e.g., colleges, universities, professional, industry, state and private profit and nonprofit organizations), and geographic locations.

## **1.B. Proposal Review Criteria:**

Proposals are evaluated individually by multiple peer reviewers using both Federal and non-Federal experts in the field. Criteria for selecting proposals include:

1. Soundness of the proposed project or activity and relationship to NRC's MSIP grant announcement ;
2. The approach including aims and objectives, methodology, plan of operation, and timetable;
3. Expected products and/or results, potential problem areas and alternative tactics to achieve results;
4. Evaluation and dissemination plans;
5. Applicant organization's ability to perform and support the project or activity;
6. Qualifications of the Principal Investigator(s) and other collaborators; and
7. Reasonableness of proposed budget to accomplish goals.

## **2. Review and Selection Process**

### **2.A. Review Process:**

After receiving full proposal packages, NRC conducts an initial administrative review to determine that the proposal is complete and complies with the announcement's requirements. All incomplete applications, ineligible, or otherwise non-compliant applications, and applications determined to be non-responsive to funding opportunity announcement requirements will not be reviewed. An applicant may withdraw an application from consideration at any time before an award is issued.

The NRC will protect the information contained in an application from unauthorized disclosure, consistent with the need for objective review of the application and the requirements of the Freedom of Information Act and the Privacy Act. However, if a grant is awarded as a result of or in connection with an application, the Federal government has the right to use or disclose the information to the extent authorized by law.

Proposals that are complete and compliant are reviewed using the evaluation criteria provided above. Both Federal and non-Federal experts in their fields may be used in this process. Reviewers' identities remain confidential throughout the entire review process and are not released. The applications, proposals and associated materials made available to reviewers, as well as the discussions that take place during review meetings are strictly confidential. Individual reviewers' evaluations results are presented to the selecting official.

### **2.B. Selection Criteria:**

Applications submitted in response to this FOA will compete for available funds with all other recommended applications submitted in response to this FOA.

Authorized program officials (“selecting officials”) make final award decisions from among those applications receiving a favorable objective review. The selecting official recommendation may also be based on one or more of the following factors:

- Balance and distribution of funds to:
  - Support geographic diversity
  - Assure diversity in disciplines
- Whether the project duplicates other projects NRC is funding or considering funding. NOTE: Continuation funding for current grant awards is provided in the next budget period
- Program priorities and policy factors.
- Needs that the Commission determines to be critical to the NRC’s regulatory mission

The decision not to award a grant, or to award a grant at a particular funding level, is discretionary and is not subject to appeal to any NRC official or board.

### 3. Anticipated Award Dates

NRC notifies all applicants of the final recommendation to award or decline funding of proposals via e-mail. Successful applicants receive written notification from the NRC’s Grants Officer that their proposals have been recommended for funding. Official funding notification, signed by NRC’s Grant Officer, is the authorizing document that allows NRC to begin funding the project. NRC issues emails directly to the proposing institutions’ authorizing officials. The earliest anticipated award date(s) for this FOA is January 14, 2013. Please note, this date is subject to change without notice.

The funding period for renewal awards will not begin until the end of the current award funding period.

## Section VI. Award Administration Information

---

### 1. Award Notices

A formal notification in the form of a Notice of Grant/Assistance Award (NOA) will be provided to the applicant organization. The NOA shall be signed by the Grants Officer and acknowledged by the grantee/recipient. The Grants Officer is the only person authorized to obligate funds and authorize changes to approved projects on behalf of the NRC.

Selection of an application for award is not an authorization to begin performance. Any costs incurred before receipt of the NOA are at the recipient’s risk. These costs may be reimbursed only to the extent considered allowable pre-award costs approved by the grants officer. See [Section IV.5](#), “Funding Restrictions.”



Although these reviews and determinations occur before the NRC makes an award, institutions must continue to comply with public policy requirements and maintain adequate management systems throughout the period of support.

## 2. Administrative and National Policy Requirements

The [“USNRC General Provisions for Grants and Cooperative Agreements Awarded to Non-Governmental Organizations”](#) contain the administrative and national policy requirements for all NRC awards are included in [Section VIII](#).

## 3. Limitation of Liability

The NRC is not responsible for any proposal costs if agency priorities cause it to cancel this program prior to awarding any grants. Publishing this announcement does not obligate NRC to award any specific project.

## 4. Reporting

Award recipients must submit the following; Performance Progress Reports, Federal Financial Reports, Final Report and Compliance Reports as required by applicable civil rights statutes and regulations. ([See Section IV.6.5](#)) These requirements will be specified in the terms of award.

### Performance Progress Reports

Performance Progress reports are due on a semi-annual basis for the periods ending March 31 and September 30 or any portion thereof. Performance reports are due no later than 30 days following the end of each reporting period. The reports are to be submitted electronically to: [Grants\\_PPR.Resource@nrc.gov](mailto:Grants_PPR.Resource@nrc.gov) (NOTE: there is an underscore between Grants and PPR) the Grant Officer and Program Manager indicated in the Notice of Grant Assistance Award.

### Federal Financial Reports

Federal Financial Reports (SF-425) are due on a semi-annual basis for the periods ending March 31 and September 30 or any portion thereof. Reports are due no later than 30 days following the end of each reporting period. The reports are to be submitted electronically to: [Grants\\_FFR.Resource@nrc.gov](mailto:Grants_FFR.Resource@nrc.gov) (NOTE: there is an underscore between Grants and FFR) the Grant Officer and Program Manager identified in the Notice of Grant Award. The SF-425 forms and instructions are available at the following url: <http://www.forms.gov>.

### Final Reports

A final performance and Federal Financial Report (SF425) is due no later than 90 days after the award expiration date. Performance reports must detail activities that have occurred during the reporting period that correspond with the goals and objectives identified in the proposal narrative. Grantees must provide specific, project-related information that meet the elements in the grantee's evaluation plan to measure the effectiveness of the program.

A final performance report and Federal Financial Report (SF425) are required when an award is relinquished or when an award is terminated.

## Section VII. Agency Contacts

---

We encourage your inquiries concerning this funding opportunity and welcome the opportunity to answer questions from potential applicants. Inquiries may fall into two areas: 1. technical or program and 2. financial or grants management issues:

### 1. MSIP Contact:

Ms. Tuwanda M. Smith, Esquire  
Program Manager  
U.S. Nuclear Regulatory Commission  
Outreach and Compliance Coordination Program  
Telephone: (301) 415-7394  
Email: [OCCPrograms@nrc.gov](mailto:OCCPrograms@nrc.gov)  
TDD: (301) 415-5244

### 2. Grants Management Contact(s):

Ms. Shashi Malhotra  
Grants Specialist, RRG  
U.S. Nuclear Regulatory Commission  
Division of Contracts  
Telephone: (301) 492-3604  
E-mail: [Shashi.Malhotra@nrc.gov](mailto:Shashi.Malhotra@nrc.gov)

## Section VIII. Other Information Section

---

### 1. Required Federal Citations

Program Authority: Section 31b and 141b of the Atomic Energy Act of 1954 as amended.

**2. Authority and Regulations:** This program is described in the Catalog of Federal Domestic Assistance at <http://www.cfda.gov/> and is not subject to the intergovernmental review requirements of Executive Order 12372. Financial assistance awards are made under the authorization [42 USC 2051](#). All awards are subject to the cost principles and other considerations described in the [2 CFR 215](#) Uniform Administrative Requirements For Grants And Agreements With Institutions Of Higher Education, Hospitals, And Other Non-Profit Organizations OMB Circular A-110 and [2 CFR 220](#) Cost Principles For Educational Institutions [OMB Circular A-21](#).

**URLs in NRC Grant Applications:** All applications for NRC funding must be self-contained within specified page limitations. For publications listed in the application, Internet addresses (URLs) must be used for publicly accessible on-line journal articles. Publicly accessible on-line journal articles/manuscripts accepted for publication that are

directly relevant to the project may be included only as URLs accompanying the full reference in the curriculum vitae section of the NCR grant application. There is no limit to the number of URLs that can be cited.

### **3. Assurances and Certifications**

Each application to the NRC requires that the following assurances and certifications be verified by checking the “I agree” box on line 18 of the SF424 Cover Component.

**NOTE:** Separate certification for Lobbying is required – see 3.G below.

#### **3. A. Principal Investigator and Signing Official Verification**

After the SO or AOR successfully submits an application, they will receive an email automatically generated by Grants.gov.

The assurances listed and explained below may or may not be applicable to your project, program, or type of applicant organization. There are a number of additional public policy requirements with which applicants and grantees must comply. Contact your institution's grant administrative office for additional information. When the application is submitted to the NRC, either through Grants.gov or an alternate, NRC-approved submission, the duly authorized representative of the applicant organization certifies that the applicant organization will comply with the required policies, assurances and/or certifications:

The applicant organization agrees to secure and retain a written assurance from the Principal Investigator (PI) prior to submitting an application to the NRC. Organizations must retain a unique signature and date for each submitted application. This assurance must be available to the NRC or other authorized Federal officials upon request. Such an assurance must include at least the following certifications: 1) that the information submitted within the application is true, complete and accurate to the best of the PI's knowledge; 2) that any false, fictitious, or fraudulent statements or claims may subject the PI to criminal, civil, or administrative penalties; and 3) that the PI agrees to accept responsibility for the conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application. If multiple PIs are proposed in an application, this assurance must be retained for all named PIs.

#### **3. B. Debarment and Suspension**

E.O.s 12549 and 12689, “Debarment and Suspension” require executive departments and agencies to put regulations in place that would require certain parties who are debarred, suspended or otherwise excluded may not be participants or principals in Federal assistance awards and subawards, and in certain contracts under those awards and subawards. NRC's practice is to not allow a party to participate in any grant, cooperative agreement, contract of assistance, loan or loan guarantee if any Executive Department or Agency has debarred, suspended or otherwise excluded that party from participation in procurement or nonprocurement programs.

#### **3. C. Drug-Free Workplace**

Federal regulations implementing the Drug-Free Workplace Act of 1988 (Public Law 100-690, Title V, Subtitle D) are now provided in 2 CFR 182 Subpart A, “Government-

wide Requirements for Drug-Free Workplace (Financial Assistance).” Changes in this Government-wide requirement (adopted in the June 15, 2009 Federal Register Notice) now implement this as a term and condition of an award.

### **3. D. Non-Delinquency on Federal Debt**

The Federal Debt Collection Procedure Act, 28 U.S.C. 3201 (e), provides that an organization or individual that is indebted to the United States, and has a judgment lien filed against it, is ineligible to receive a Federal grant. NRC cannot award a grant unless the authorized organizational official of the applicant organization certifies, by means of his/her signature on the application, that the organization is not delinquent in repaying any Federal debt. If the applicant discloses delinquency on a debt owed to the Federal Government, NRC may not award the grant until the debt is satisfied or satisfactory arrangements are made with the agency to which the debt is owed.

### **3. E. Office of Small Business and Civil Rights (SBCR) Compliance (Civil Rights, Handicapped Individuals, Sex Discrimination, Age Discrimination)**

Before a grant award can be made, a domestic applicant organization must complete the NRC SBCR pre-award compliance review. (See [Section IV.6.](#)) Organizations must certify compliance in accordance with Title VI of the Civil Rights Act of 1964 (P.L. 88-352, as amended), which prohibits discrimination on the basis of race, color, or national origin; Section 504 of the Rehabilitation Act of 1973 (P.L. 93-112, as amended), which prohibits discrimination on the basis of handicaps; Title IX of the Education Amendments of 1972 (P.L. 92-318, as amended), which prohibits discrimination on the basis of sex; and the Age Discrimination Act of 1975 (P.L. 94-135), which prohibits discrimination on the basis of age.

### **3. F. Organizational Conflicts of Interest (OCIO)**

It is the policy of NRC to avoid, eliminate, or neutralize contractor organizational conflicts of interest. The NRC achieves this objective by requiring all prospective assistance recipients to submit information describing relationships, if any, with organizations or persons (including those regulated by the NRC) which may give rise to actual or potential conflicts of interest in the event of a financial assistance award. (48 CFR Chapter 20, §2009.570-1 (a)) In accordance with 42 U.S.C. 2210a., NRC acquisitions and other arrangements are processed in accordance with 2009.570, which take precedence over FAR 9.5 with respect to organizational conflicts of interest. Where non-conflicting guidance appears in FAR 9.5, that guidance must be followed.

### **3.G. Lobbying – Required as a separate certification with the SF-424B**

Title 31, United States Code, Section 1352, entitled “Limitation on Use of Appropriated Funds to Influence Certain Federal Contracting and Financial Transactions,” generally prohibits recipients of Federal grants and cooperative agreements from using Federal (appropriated) funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a specific grant or cooperative agreement. Section 1352 also requires that each person who requests or receives a Federal grant or cooperative agreement must disclose lobbying undertaken with non-Federal (nonappropriated) funds. These requirements apply to grants and cooperative agreements exceeding \$100,000 in total costs. Standard Form LLL, “Disclosure of Lobbying Activities,” its

instructions, and continuation sheet are available from Grants.gov with the application package, or at [http://www.whitehouse.gov/omb/grants\\_forms/](http://www.whitehouse.gov/omb/grants_forms/)

**Prohibition on Awards to 501(c) 4 Organizations That Lobby**

Organizations described in section 501(c) 4 of the Internal Revenue Code of 1968 that engage in lobbying are not eligible to receive grant/cooperative agreement awards.

Standard Form LLL, Disclosure of Lobbying Activities, **must be included with the application** (see [Section IV.2](#)).

## **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 CRF 220](#), [2 CFR 225](#), and [2 CFR 230](#) this URL to the Office of Management and Budget Cost Circulars is included for reference: [http://www.whitehouse.gov/omb/circulars\\_index-ffm](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**

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.

Grantees must comply with monitoring procedures and audit requirements in accordance with OMB Circular A-133.

## **2. Award Package**

### **§ 215.41 Grantee responsibilities.**

The Grantee is obligated to conduct 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 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 and obtained from the NRC Grants Officer in advance of the change or obligation of funds. All requests for NRC prior approval, including requests for extensions to the period of performance, should be made, in writing (which includes submission by e-mail), to the designated Grants Specialist and Program Office 30 days before the proposed change. The request should be signed by 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 will 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.

The Grantee 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](http://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 will 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](http://www.gsa.gov/federaltravelregulation) and the per diem rates set forth at: [www.gsa.gov/perdiem](http://www.gsa.gov/perdiem), absent Grantee's travel regulations. 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 will 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](#).

#### **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.

**Patent Notification Procedures** - If the NRC or its 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, [EO 12889](#) requires NRC to notify the owner. 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 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, such as data, databases or software are determined by [2 CFR 215.36](#). 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](#).

**Conflict Of Interest Standards** for this award will 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 will follow provisions as established in [2 CFR 215.60-62](#).

**Monitoring and Reporting § 215.50-53**

Grantee Financial Management systems must comply with the 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, will 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](#)

Federal Financial Reports - The Grantee is required to 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.Resource@NRC.GOV](mailto:Grants_FFR.Resource@NRC.GOV). **(NOTE: There is an underscore between Grants and FFR).**

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

If 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.

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.

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.

### **Automated Standard Application For Payments (ASAP) Procedures**

Unless otherwise stated, grantee payments are made using the [Department of Treasury's Automated Standard Application for Payment \(ASAP\) system](http://www.fms.treas.gov/asap/index.html) <http://www.fms.treas.gov/asap/index.html>, through preauthorized electronic funds transfers. To receive payments, 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 is required to make ASAP withdrawals: (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).

### **II. Audit Requirements**

Organization-wide or program-specific audits are 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." 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 are 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**

The Grantee is required to submit performance progress (technical) reports on a semi-annual basis for the periods ending March 31, and September 30, or any portion thereof, unless specified in a special award condition. Reports are due no later than 30 days following the end of each reporting period. The report should be submitted electronically 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](mailto:Grants_PPR.Resource@NRC.GOV). **(NOTE: There is an underscore between Grants and PPR).**

**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.

The performance progress (technical) reports will contain brief information as prescribed in the applicable uniform administrative requirements [2 CFR §215.51](#). In addition to the customary performance progress report requested on the SF-PPR, SF-PPR-B, and SF-PPR-E forms, SBCR requires the following metrics to be reported on by the awardees as follows:

**Scholarship Metrics:**

1. How many 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 B.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 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.
4. How many students, supported by NRC funding, are continuing on to Graduate School in a field related to the nuclear industry?
  - a. Response is the number of students, for this reporting period and cumulative to the grant.

**Fellowship Metrics:**

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.

#### **Faculty Development Metrics:**

1. How many faculties have been sponsored by NRC funding?
  - a. Response is the number of faculty sponsored, for this reporting period and cumulative to the grant.
2. How many items have the sponsored faculty 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.

#### **Curriculum development Metrics:**

1. Overall number of new courses developed in NRC designated STEM areas (including names of 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, may result in designation of the Grantee as high risk and the assignment of special award conditions. Further action may be required as specified in the standard term and condition entitled "Termination."

Failure to comply with the award provisions may result in a negative impact on future NRC funding. In addition, the Grants Officer may withhold payments; change the method of payment from advance to reimbursement; impose special award conditions; suspend or terminate the grant.

#### **Other Federal Awards With Similar Programmatic Activities**

The Grantee will immediately notify the Project Officer and the Grants Officer in writing if after award, other financial assistance is received to support or fund any portion of the program description stated in the NRC award. NRC will not pay for costs that are funded by other sources.

#### **Prohibition Against Assignment By The Grantee**

The Grantee will not transfer, pledge, mortgage, or otherwise assign the award, or any interest to the award, or any claim arising under the award, to any party, banks, trust companies, or other financing or financial institutions without the written approval of the Grants Officer.



**Site Visits**

The NRC, through authorized representatives, has the right to make site visits to review project accomplishments and management control systems and to provide technical assistance as 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.

**IV. Miscellaneous Requirements****Criminal and Prohibited Activities**

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.)

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.

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.

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 encouraged to purchase American-made equipment and products with funding provided under this award.

**Increasing Seat Belt Use in the United States**

EO 13043 requires Grantees to 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**

EO 13513 requires Grantees to 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 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 [13532](#), [13555](#), [13592](#), and [13515](#) 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 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.sam.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.

### **NRC Scholarship and Fellowship Program Service Agreement**

1. This service agreement is required for all student recipients of scholarships or fellowships (hereinafter referred to as the "recipient") funded by the U.S. Nuclear Regulatory Commission (NRC) through the University of \_\_\_\_\_.
2. This agreement confirms the recipient's obligations to maintain satisfactory academic progress and serve 6 months in nuclear-related employment for each year of academic support. The employment may be with NRC, other Federal agencies, State agencies, Department of Energy laboratories, nuclear-related industry, or academia in the recipients' sponsored fields of study.
3. The scholarship recipient must: (check here ☐ if scholarship)
  - a. remain matriculated in the degree program for the field of study for which the scholarship was approved,
  - b. maintain satisfactory academic progress in the recipient's field of study, as demonstrated by maintaining a 3.0 Grade Point Average both overall and within the recipient's major, and
  - c. maintain a course load of at least 12 credit hours per semester as a full-time student in good standing.
4. The fellowship recipient must: (check here ☐ if fellowship)
  - a. maintain a 3.3 GPA overall and within a field of study
  - b. maintain a course load of at least 12 credit hours per semester **or** be classified as a full time student
  - c. remain matriculated in a graduate degree program in a nuclear related area, preferably in the fields of Nuclear Engineering, Health Physics, and Radiochemistry.
5. If a recipient fails to maintain satisfactory academic progress, the scholarship or fellowship will be terminated and the recipient could be obligated to repay the NRC the full amount of the scholarship/fellowship.
6. If a recipient receives any subsequent scholarship(s) or fellowship(s) through this program, the service obligation periods will be consecutive.
7. At the discretion of the NRC, the service obligation period may be delayed to allow the recipient to continue a subsequent degree program immediately following that sponsored under this program. For example, a recipient who receives a fellowship to earn a Master's degree, may request and be permitted to delay fulfilling their service obligation until after they complete a subsequent terminal degree program. Any such requests must be made to the NRC before a student enrolls in a subsequent degree program. If a student enrolls in a subsequent degree program before or without NRC approval, and the NRC does not subsequently approve the request, the NRC will not be held liable for any expenses incurred to dis-enroll, or for failure to otherwise meet the terms of this service obligation. Recipients only incur a service obligation for funded periods of study.

8. If the student receives no employment offers or does not accept any of the offers received, the student is not relieved of the service obligation, unless, pursuant to this service agreement, the student applies for and receives a waiver from the NRC. Implicit in the waiver request is data or explanation by the student that efforts to secure employment in a nuclear-related field were undertaken. This can be in the form of job searches, referrals, etc. Absent a waiver from the NRC, rejection of one or more job offers could trigger the service agreement obligation.
9. If a recipient voluntarily leaves the employment during a period of obligated post-academic service, the recipient may immediately become liable to the U.S. Government for repayment of the entire amount of the assistance provided under the scholarship or fellowship, for which the service obligation has not been fulfilled.
10. The recipient employed by NRC understands that his or her last pay check and any lump sum payment for annual leave and other payment due on separation will be applied toward any unfulfilled service obligation without further notice. If the recipient's last pay check and any lump sum payment do not satisfy the debt, the recipient may pay the balance of the debt in full or set up a repayment plan.
11. By accepting this scholarship/fellowship, I agree to provide the NRC with current contact information (address, telephone, email), and employment information, subject to the provisions of the Privacy Act, for as long as I remain under obligated service. This information will be used solely for the purposes of verifying appropriate nuclear related employment in compliance with the service obligation requirements of this service agreement. In accordance with the Privacy Act, providing this information is voluntary; however, failure to do so may result in removal from the scholarship/fellowship program and/or repayment of all scholarship/grant money received. Contact information should be reported to: [eduscholar@nrc.gov](mailto:eduscholar@nrc.gov).
12. By signing this agreement, the recipient certifies that he or she has read this agreement and agrees to all of the obligations it entails.

\_\_\_\_\_  
Scholarship or Fellowship Recipient

\_\_\_\_\_  
Date

\_\_\_\_\_  
University Program Coordinator

\_\_\_\_\_  
Date

\_\_\_\_\_  
NRC Office of Small Business & Civil Rights

\_\_\_\_\_  
Date