

<b>Grant and Cooperative Agreement</b>				CHOOSE ONE: <input type="checkbox"/> COOPERATIVE AGREEMENT <input checked="" type="checkbox"/> GRANT	
CHOOSE ONE: <input checked="" type="checkbox"/> EDUCATION <input type="checkbox"/> FACILITIES <input type="checkbox"/> RESEARCH <input type="checkbox"/> SDCR <input type="checkbox"/> TRAINING					
1. GRANT/COOPERATIVE AGREEMENT NUMBER NRC-HQ-84-15-G-0020		2. SUPPLEMENT NUMBER		3. EFFECTIVE DATE 09/30/2015	
5. ISSUED TO NAME/ADDRESS OF RECIPIENT (No., Street, City/County, State, Zip) UNIVERSITY OF ILLINOIS 506 S WRIGHT ST, 364 HENRY ADMIN BL URBANA IL 618013620		6. ISSUED BY U.S. NRC - HQ Mailing Address: Acquisition Management Division Mail Stop: 3WFN-05-C64MP Washington DC 20555-0001			
7. TAXPAYER IDENTIFICATION NO. (TIN)		9. PRINCIPAL INVESTIGATOR/ORGANIZATION'S PROJECT OR PROGRAM MGR. (Name & Phone) Professor James F. Stubbins Ph: 217-333-6474 Email: jstubbins@illinoise.edu			
8. COMMERCIAL & GOVERNMENT ENTITY (CAGE) NO.					
10. RESEARCH, PROJECT OR PROGRAM TITLE University of Illinois at Urbana-Champaign Nuclear Engineering Education Fellowship Program					
11. PURPOSE See Schedule					
12. PERIOD OF PERFORMANCE (Approximately) 09/30/2015 through 09/29/2019					
13A. AWARD HISTORY		13B. PREVIOUS		FUNDING HISTORY	
PREVIOUS \$0.00		PREVIOUS \$0.00		\$0.00	
THIS ACTION \$400,000.00		THIS ACTION		\$400,000.00	
CASH SHARE \$0.00		TOTAL		\$400,000.00	
NON-CASH SHARE \$0.00					
RECIPIENT SHARE \$0.00					
TOTAL \$400,000.00					
14. ACCOUNTING AND APPROPRIATION DATA See Schedule					
PURCHASE REQUEST NO.		JOB ORDER NO.		AMOUNT	
OCHCO-15-0167					
15. POINTS OF CONTACT					
NAME		MAIL STOP		TELEPHONE	
TECHNICAL OFFICER NANCY V. HEBRON-ISREAL		3WN/3AF12		301-287-0718	
NEGOTIATOR					
ADMINISTRATOR SHASHI MALHOTRA				301-415-7803	
PAYMENTS					
16. THIS AWARD IS MADE UNDER THE AUTHORITY OF: Pursuant to Section 31b and 141b of the Atomic Energy Act of 1954, as amended.					
17. APPLICABLE STATEMENT(S), IF CHECKED: <input type="checkbox"/> NO CHANGE IS MADE TO EXISTING PROVISIONS <input type="checkbox"/> FDP TERMS AND CONDITIONS AND THE AGENCY-SPECIFIC REQUIREMENTS APPLY TO THIS GRANT			18. APPLICABLE ENCLOSURE(S), IF CHECKED: <input type="checkbox"/> PROVISIONS <input type="checkbox"/> SPECIAL CONDITIONS <input type="checkbox"/> REQUIRED PUBLICATIONS AND REPORTS		
UNITED STATES OF AMERICA			COOPERATIVE AGREEMENT RECIPIENT		
CONTRACTING/GRANT OFFICER ERIKA EAM		DATE 9/10/2015		AUTHORIZED REPRESENTATIVE Walter K. Knorr	
				DATE 9/18/15	

Walter K. Knorr, Comptroller

TEMPLATE - ADM001

SUNSI REVIEW COMPLETE

SEP 22 2015

ADM002

## Grant and Cooperative Agreement

ITEM NO. (A)	ITEM OR SERVICE (Include Specifications and Special Instructions) (B)	QUANTITY (C)	UNIT (D)	ESTIMATED COST	
				UNIT PRICE (E)	AMOUNT (F)
	<p>CFDA Number: 77.008</p> <p>DUNS Number: 041544081</p> <p>Payment will be made through the Automated Standard Application for Payment (ASAP.gov) unless the recipient has failed to comply with the program objectives, award conditions, Federal reporting requirements or other conditions specified in 2 CFR 200 (OMB Circular A110).</p> <p>Payment:</p> <p style="padding-left: 40px;">ASAP GRANT FUNDS REIMBURSEMENT SYS.</p> <p style="padding-left: 40px;">US TREASURY</p> <p>Period of Performance: 09/30/2015 to 09/29/2019</p>				

## ATTACHMENT A - SCHEDULE

### A.1 PURPOSE OF GRANT

The purpose of this grant is to provide support to the "University of Illinois at Urbana-Champaign Nuclear Engineering Education Fellowship Program" as described in Attachment B entitled "Program Description."

### A.2 PERIOD OF GRANT

1. The effective date of this Grant is September 30, 2015. The estimated completion date of this Grant is September 29, 2019.

2. Funds obligated hereunder are available for program expenditures for the estimated period: 9/30/15 – 9/29/2019

#### A. GENERAL

- |                                |   |
|--------------------------------|---|
| 1. Total Estimated NRC Amount: | \$400,000.00  |
| 2. Total Obligated Amount:     | \$400,000.00  |
| 3. Cost-Sharing Amount:        | \$0.00  |
| 4. Activity Title:             | University of Illinois at Urbana-Champaign<br>Nuclear Engineering Education Fellowship<br>Program |
| 5. NRC Project Officer:        | Nancy Hebron-Israel   |
| 6. DUNS No.:                   | 041544081   |

### A.3 BUDGET

Revisions to the budget shall be made in accordance with Revision of Budget and Program Plans in accordance with 2 CFR 200.308.

	Year 1	Year 2	Year 3	Year 4
Personnel	\$73,000.00	\$73,000.00	\$73,000.00	\$73,000.00
Tuition	<u>\$27,000.00</u>	<u>\$27,000.00</u>	<u>\$27,000.00</u>	<u>\$27,000.00</u>
Yearly Total	\$100,000.00	\$100,000.00	\$100,000.00	\$100,000.00

All travel must be in accordance with the The Board of Trustees of the University of Illinois Travel Regulations or the US Government Travel Policy absent Recipient's travel regulation.

### A.4 AMOUNT OF AWARD AND PAYMENT PROCEDURES

1. The total estimated amount of this Award is \$400,000.00 for the four year period.
2. NRC hereby obligates the amount of \$400,000.00 for program expenditures during the period set forth above and in support of the Budget above. NRC is not obligated to reimburse the Recipient for the expenditure of amounts in excess of the total obligated amount.
3. Payment shall be made to the Grantee in accordance with procedures set forth in the Automated Standard Application For Payments (ASAP) Procedures set forth below.

## **Attachment B – Program Description**

### **B.I. Program Objectives**

The objectives of this program are to attract and educate top US graduate students in nuclear engineering. This will be accomplished with the financial resources from the NRC and the academic and administrative resources from the Department of Nuclear, Plasma and Radiological Engineering (NPRE) at the University of Illinois at Urbana-Champaign. This program will ensure that the best and brightest students are well prepared to join the nuclear workforce following a very strong, competitive graduate education in nuclear engineering. The NRC Fellowship resources will be used to attract and support at least three (3) graduate students each year for the four year duration of the award.

### **B.II. Program Impact**

This program will have a major positive impact on the nuclear engineering student population and graduate degree programs in NPRE at the University of Illinois. We aim to attract and retain the best students. The most important attraction for students is the high quality of the graduate educational program at the University of Illinois. The University of Illinois Nuclear Engineering Fellowship Program will enhance recruitment by providing the very best students with financial support so that they can focus more directly on their graduate studies. We have accomplished this with past NRC Fellows, and are eager to do the same in the future with this award. This is particularly important now that there is a major and increasing job market demand for nuclear engineering students at all degree levels. We have lost some of the best student prospects for graduate school to the highly competitive job market at the BS level. The fellowship program will also offer us the opportunity to attract and retain underrepresented students into the program, and eventually into the nuclear workforce. Job placements of recent recipients of the NRC fellowships from the University of Illinois clearly show the value of these fellowships.

### **B.III. NPRE at UIUC: Background**

NPRE at UIUC celebrated its 50<sup>th</sup> year of nuclear engineering education in 2008. NPRE offers a fully ABET accredited BS in Nuclear Engineering program.<sup>1</sup> UIUC is the only school in the State of Illinois to offer Nuclear Engineering programs leading to BS, MS and PhD degrees. Moreover, Illinois has more nuclear power plants than any other state in the U.S. There is a strong interaction between our undergraduate and graduate programs, to the benefit of both. Some of our strongest undergraduate students choose to continue with us for graduate study. We currently have 220 students in the department; 148 undergraduates and 72 graduate students. Both our undergraduate and graduate enrollment have increased significantly in the recent decade, however we purposefully limited our graduate admissions in keeping with current assistantship funding resources. Our domestic graduate application numbers have risen, reflective of the increased interest in nuclear and the area's strong job market. Should we have further funding resources, our graduate numbers could rise even higher. Attracting even more domestic students to nuclear engineering with prestigious fellowships is also desirable as we continue to see high demand from nuclear industry for domestic graduates with advanced degrees.

NPRE actively engages in preparing students to enter the nuclear workforce either directly after the BS or after advanced graduate study. A survey of our past seven years of BS graduate placement found that approximately 44% of BS graduates went for graduate study, the majority in Nuclear Engineering programs at: UIUC, University of Michigan, MIT, University of Wisconsin,

---

<sup>1</sup> The degree name in Fall 2008 was changed from Nuclear Engineering to Nuclear, Plasma and Radiological Engineering. This does not affect the curriculum content, only the degree name has changed to better represent the breadth of the program and to match with the Department name.



UC-Berkeley, and Texas A&M. The next highest category, roughly 23%, was directly employed in the utilities, among them: Exelon, Entergy, Duke Energy, and Energy Northwest. The third highest category was the nuclear support and private R&D industry with placement among: Sargent & Lundy, Enercon, Nexus, ERIN Engineering, Radiological Solutions, and Westinghouse. A survey of the past five years of our MS/PhD graduate placement shows employment in nuclear support and private R&D industry: Sargent & Lundy, Bechtel, Bettis, Enercon, Knolls Atomic Power Laboratory, Westinghouse; Department of Energy laboratories (ANL, ORNL Princeton Plasma Physics, Sandia, and Los Alamos); and the Nuclear Regulatory Commission.

#### B.IV. Overview of the Fellowship Program at Illinois

The graduate program at Illinois is divided into three stages: Stage I is completed with the completion of the MS degree or equivalent; Stage II is completed with the completion of PhD coursework; and Stage III is completed with the completion of the dissertation research work. The Fellowship program will support two (2) beginning graduate students for 4 years starting in their first year in graduate school. The timing will allow the student to finish the MS requirements and all coursework for his or her PhD. With accelerated progress, the student could also have a substantial amount of the PhD dissertation work completed. The third student selected will be at the MS level with approximately 3.5 to 4 years remaining to complete the PhD. The Fellowship amounts will cover typical stipend levels for 11-month appointments. The totals include stipend level increases as the recipient progresses through the degree stages.

**Fellowship Award Table**

Grad Stage/ Fellowship	Stages I + II	Stages II + III	Totals 4 years
Starting Grad	2		\$24,000/yr x 4yr x 2grads = \$192,000
Advanced Grad		1	\$25,000/yr x 4yr x 1grads = \$100,000
Tuition	2	1	\$9,000/yr x 4yr x 3grads = \$108,000
<b>Total</b>	<b>2</b>	<b>1</b>	<b>\$400,000</b>

#### B.V. Recruitment and Diversity-Enhancement Activities

The strong reputation of NPRE's undergraduate and graduate programs and the visibility of our students and faculty in the nuclear arena contribute heavily to our recruitment efforts. As a heavily nuclear powered state with close proximity to two DOE national labs, the draw to Illinois is quite competitive. We receive a large pool of applicants from across engineering and science disciplines as well as from other undergraduate nuclear programs. We also target the strongest of our undergraduate students early-on to encourage them to continue toward graduate degrees. To enhance diversity, NPRE, the College of Engineering and the Graduate College have established programs to recruit under-represented graduate students and promote diversity in the student body. At both undergraduate and graduate levels, College has established programs to bring prospective students from campuses with historically high minority enrollment to visit Illinois, with major incentives to apply to graduate school here. College's MERGE program (Multicultural Engineering Recruitment for Graduate Education) serves this purpose at the graduate level. In addition, the College has a program of supplemental support for PhD Students from Under-Represented Groups in Engineering (SURGE Fellowship). Also, the College and its Department representatives, including NPRE, actively participate in graduate recruitment fairs at national conferences for National Society for Black Engineers (NSBE), Society for Hispanic Professional Engineering (SHPE), and Society for Women in Engineering (SWE).



#### **B.VI. Selection Process**

NPRE has an administrative structure in place that assesses graduate student performance and interests. The NPRE Faculty regularly review graduate student academic performance and specific research activities and interests. These assessments are used to match the most deserving students with prospective fellowships. Student assessment is carried out for fellowship recipients who are selected by NPRE for internal fellowships which we administer, and those recipients who are referred to entities such as the National Academy for Nuclear Training for fellowships awarded by them. In the review process, we also identify the most accomplished students to especially encourage them to apply directly for external fellowships, such as DOE Nuclear Engineering University Program.

In regards to the specific selection of NRC fellowship recipients, our review process will ensure that prospective recipients meet the NRC criteria. Selection will require recipients to be U.S. citizens, maintain a minimum 3.3/4.0 GPA, be registered a minimum 12 hours per semester, and be making continued progress towards their nuclear engineering graduate degree. Students' thesis research will be required to be in nuclear, health physics, or radiochemistry-related areas. Prospective recipients will be made aware of the requirement to serve 6 months in nuclear-related employment for each full or partial year of support.

In sum, the Department closely monitors graduate student performance each semester. This allows us to both identify the most promising candidates for new Fellowships and monitor the progress of current Fellows.

#### **B.VII. Management and Administrative Structure**

Supervision of program administration will be overseen by the NPRE Department Head with support from the Associate Head and the Coordinator of Academic Programs. He has the chief oversight responsibility for all Department undergraduate and graduate academic programs. He is responsible for overseeing the graduate admissions process. He also oversees the annual faculty reviews of all graduate students' progress.

An additional level of oversight is provided by the Graduate College and the Fellowship Office. Their oversight provides a secondary check that the terms of the program are being met. These include, in addition to maintaining the GPA and registration requirements, confirming that the student is making adequate and timely degree progress. In the unlikely case that adequate progress is not made, the Graduate College will consult with NPRE to resolve any issues.

The Department Head is also responsible for the financial control of the award. The Fellowship stipend is paid directly to the graduate student through the normal university pay system. This is controlled and monitored by Engineering Business Services.

#### **B.VIII. Evaluation Plan**

The success and impact of the program will be measured in a number of ways. First, the quality of the Fellowship recipients will be evaluated based on GPA as well as scores on the Graduate Record Exam (GRE). The quality of the students is also directly compared to the best students in their NPRE cohort group.

Second, performance in class will be tracked to ensure that the selected students are in the top rung of students.

Third, a measure of success will be the placement of these students in sectors of the nuclear industry according to their specific interests and skills. As shown, we have an established record of graduate's placement across all sectors of the nuclear industry. Our industry contacts will be an important resource for job placement for our students. It can be noted that four of the Fellows from our previous NRC award NRC-38-08-967 have now graduated and gone to work



in the nuclear workforce: one at Argonne National Lab, one at Westinghouse in Nuclear Fuels, one at Enercon, and one at UIUC.

#### **B.IX. Schedule of Tuition Fees and Other Pertinent Costs**

Typical educational costs for students are shown below. Amounts are for students entering in the current 2015-2016 academic year. Per the stated award limits, tuition of \$9,000 will be covered each year for each student. Any remaining tuition costs exceeding the \$9,000 limit will be waived.

	Tuition	Fees	Room/Board	Books/Supplies	Other	Total
Resident	17,628	3,736	13,151	1,800	2,760	39,065
Non-Resident	31,626	3,736	13,151	1,800	2,760	53,063

Source: Office of the Registrar website <http://www.registrar.illinois.edu/tuition-info>

#### **B.X. Association of the Program with an Integrated State or Regional Strategic Plan**

The Fellowship program described in this proposal is not part of a regional strategic plan. Again, NPRE at Illinois offers the only Nuclear Engineering BS, MS, and PhD degree programs in the State of Illinois. As such, we have developed extremely strong ties with the major nuclear industry players in Illinois. These connections are apparent in our student placement. We do maintain strong relationships with the other Big 10 Nuclear Engineering programs (Michigan, Ohio State, Penn State, Purdue, Wisconsin) for sharing of various educational and research resources. We will continue these relationships.

#### **B.XI. Sources of Additional Support for Graduate Fellowships**

We continue to enjoy strong support from a number of nuclear industry companies. The strongest of these associations is with Exelon which continues to provide NPRE with support annually (formerly as part of the Industry/DOE Matching Grant Program). We also participate in the DOE NEUP and INPO NANT fellowship programs, which currently cover two fellows.

#### **B.XII. Recipient Acceptance of Fellowship Terms**

All Fellowship recipients will sign an NRC Scholarship Service agreement, which in turn will be signed by the University Program Coordinator and a representative from the NRC Office of Human Resources. In addition, the recipients will provide individual resumes to the University Program Coordinator and to the NRC. Upon placing their name on the degree list, recipients are reminded of their contract and placement information reporting requirement to the NRC. The Department also collects this information for our own tracking processes.

**Attachment C – Standard Terms and Conditions****The Nuclear Regulatory Commission's  
Standard Terms and Conditions for U.S. Nongovernmental Recipients****Preface**

This award is based on the application submitted to, and as approved by, the Nuclear Regulatory Commission (NRC) under the authorization 42 U.S.C. § 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 Grant and Cooperative Agreement.
- 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 Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

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 (E.O.), Office of Management and Budget (OMB) Circulars, the NRC's 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 200**

All provisions of 2 CFR Part 200 and all Standard Provisions attached to this grant/cooperative agreement are applicable to the Recipient and to sub-recipients which meet the definition of "Recipient" in 2 Part §200.86, unless a section specifically excludes a sub-recipient from coverage. The Recipient and any sub-recipients must, in addition to the assurances made as part of the application, comply and require each of its sub-awardees employed in the completion of the project to comply with Subpart D of 2 CFR Part 200 and include this term in lower-tier (sub-award) covered transactions.

Recipients must comply with monitoring procedures and audit requirements in accordance with 2 CFR Part 200, Subpart F—AUDIT REQUIREMENTS.

**2. Award Package**

The Recipient 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 Part 200. Within this framework, the Principal Investigator (PI) named on the award face page, 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, and is subject to a refund of unexpended grant funds to the NRC.

The non-Federal entity alone must be responsible, in accordance with good administrative practice and sound business judgment, for the settlement of all contractual and administrative issues arising out of procurements related to its grant award. These issues include, but are not limited to, source evaluation, protests, disputes, and claims. These standards do not relieve the non-Federal entity of any financial or fiduciary responsibilities or obligations arising under its grant, including sub-contracts and sub-awards, or any other contractual or financial obligation. The Federal awarding agency will not substitute its judgment for that of the non-Federal entity unless the matter is primarily a Federal concern. Violations of law will be referred to the local, State, or Federal authority having proper jurisdiction. See 2 CFR § 200.318(k), General Procurement Standards.

### **Subawards**

#### **Appendix II to Part 200 Contract Provisions for Non-Federal Entity Contracts Under Federal Awards**

Sub-recipients, sub-awardees, and contractors have no relationship with NRC under the terms of this grant/cooperative agreement. All required NRC approvals must be directed through the Recipient to NRC. See 2 CFR § 200.318.

### **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.

The Recipient agrees to comply with the non-discrimination requirements below:

- Title VI of the Civil Rights Act of 1964 (42 U.S.C. §§ 2000d et seq.), which prohibits discrimination on the grounds of race, color, or national origin in any program or activity receiving federal financial assistance.
- Title IX of the Education Amendments of 1972 (20 U.S.C. §§ 1681 et seq.), which prohibits discrimination on the basis of sex in any education program or activity receiving federal financial assistance.
- Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of disability in any program or activity receiving federal financial assistance.
- The Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101 et seq.), which prohibits discrimination on the basis of age in any program receiving federal financial assistance.
- The Americans with Disabilities Act of 1990 (42 U.S.C. §§ 12101 et seq.), which prohibits recipients from discriminating on the basis of disability in employment (Title I); State and local government services (Title II); and places of public accommodation and commercial facilities (Title III).
- Parts II and III of E.O. 11246, as amended by E.O. 11375, 11478, 12086, 12107, 13279, 13665, and 13672, which prohibits federal contractors and federally assisted construction contractors and subcontractors, who do over \$10,000 in Government business in one year, from discriminating in employment decisions on the basis of race, color, religion, sex, or national origin and requires that government contractors take affirmative action to ensure that equal opportunity is provided in all aspects of their employment.
- E.O. 13166, "Improving Access to Services for Persons with Limited English Proficiency," which clarifies that national origin discrimination under Title VI includes discrimination on the basis of limited English proficiency (LEP) and requires that the recipient take

reasonable steps to ensure that LEP persons have meaningful access to programs and activities.

- Any other applicable non-discrimination law(s).

Generally, Title VII of the Civil Rights Act of 1964, 42 U.S.C. § 2000e et seq, provides that it shall be an unlawful employment practice for an employer to discharge any individual or otherwise to discriminate against an individual with respect to compensation, terms, conditions, or privileges of employment because of such individual's race, color, religion, sex, or national origin. However, Title VII, 42 U.S.C. § 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 Recipient makes certain budget modifications or undertakes particular activities. If NRC approval is required for changes in the grant or cooperative agreement, it must be requested 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, must be made, in writing (which includes submission by e-mail), to the designated Grants Officer at least 30 days before the proposed change. The request must 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 Recipient will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limits the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

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

The Recipient receiving in excess of \$100,000.00 in Federal funding shall submit a completed Standard Form (SF-LLL), "Disclosure of Lobbying Activities." The form concerns the use of non-Federal funds for lobbying within 30 days following the end of the calendar quarter in which there occurs any event that requires disclosure or that materially affects the accuracy of the information contained in any disclosure form previously filed. The Recipient must submit the SF-LLL, including those received from sub-recipients, contractors, and subcontractors, to the Grants Officer.

#### **Debarment And Suspension – (See 2 CFR Part 180; 2 CFR § 200.205; 2 CFR § 200.113; and 2 CFR Part 200, Appendix II.)**

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

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

(2) Have been convicted within the preceding three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects your present responsibility;

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

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

(5) The Recipient agrees that, unless authorized by the Grants Officer, it will not knowingly enter into any subaward or contracts under this grant/cooperative agreement with a person or entity that is not included on the System for Award Management (SAM) (<https://www.sam.gov>).

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

'Debarment, Suspension, Ineligibility, and Voluntary Exclusion

The Recipient certifies that neither it nor its principals is presently excluded or disqualified from participation in this transaction by any Federal department or agency. The policies and procedures applicable to debarment, suspension, and ineligibility under NRC-financed transactions are set forth 2 CFR Part 180 and 2 CFR Part 200.

#### **Drug-Free Workplace**

The Recipient must be in compliance with The Federal Drug Free Workplace Act of 1988. The policies and procedures applicable to violations of these requirements are set forth in 41 U.S.C. §§ 8101-8106.

#### **Implementation of E.O.13224 – Executive Order on Terrorist Financing**

The Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all contracts/sub-awards issued under this grant/cooperative agreement.

The Recipient must comply with E.O. 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:

Implementation of Executive Order 13224 Blocking Property and Prohibiting Transactions With Persons Who Commit, Threaten To Commit, or Support Terrorism , amended by E.O. 13268, 13284, and 13372.

#### **Procurement Standards - 2 CFR §§ 200.318-200.326**

Sections 200.318 - 200.326 set forth standards for use by Recipients in establishing procedures for the procurement of supplies and other expendable property, equipment, real property and



other services with Federal funds. These standards are furnished to ensure that such materials and services are obtained in an effective manner and in compliance with the provisions of applicable Federal statutes and executive orders. No additional procurement standards or requirements will be imposed by the Federal awarding agencies upon Recipients, unless specifically required by Federal statute, executive order, or approved by OMB.

#### **Travel and Transportation**

Travel must be in accordance with the Recipient's Travel Regulations or the U.S. 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 Recipient's travel regulations. Travel and transportation costs for the grant must be consistent with provisions as established in 2 CFR § 200.473-474.

All other travel, domestic or international, must not increase the total estimated award amount for the grant.

#### **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 Recipient'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 for the grant.

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 Recipient's policies and practices. Travel by first-class travel is not authorized unless prior approval is obtained, in writing, 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 Recipient will comply with the provisions of the Fly America Act (49 U.S.C 40118), as implemented at 41 CFR §§ 301-10.131 through 301-10.143.

#### **Property Standards**

Property standards of this award shall follow provisions as established 2 CFR §§ 200.310-200.316.

#### **Intangible Property**

Intangible and intellectual property of this award shall generally follow provisions established in 2 CFR § 200.315.

**Inventions Report** - The Bayh-Dole Act (P.L. 96-517) affords Recipients 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 Recipient agrees to comply with applicable NRC policies, the Bayh-Dole Act, and its Government-wide implementing regulations found at Title 37, Code of Federal Regulations (CFR) Part 401. A significant part of the regulations require that the Recipient report all subject inventions to the awarding agency (NRC) as well as include an acknowledgement of federal support in any patents.

**Patent Notification Procedures** - If the NRC or its Recipients, without making a patent search, knows (or has demonstrable reasonable grounds to know) that technology

covered by a valid United States patent has been or will be used without a license from the owner, E.O. 12889 requires NRC to notify the owner. If the Recipient uses or has used patented technology under this award without license or permission from the owner, the Recipient must notify the Grants Officer. This notice does not imply 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 Subpart D of 2 CFR Part 200. The Recipient owns any work produced or purchased under a NRC federal financial assistance award subject to NRC's right to obtain, reproduce, publish or otherwise use the work or authorize others to receive, reproduce, publish or otherwise use the data for Government purposes.

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

#### **Record Retention and Access**

Recipient shall follow established provisions in 2 CFR §§ 200.333-337.

#### **Conflict Of Interest**

Conflict of Interest standards for this award will follow the Organizational Conflict of Interest (OCOI) requirements set forth in Section 170A of the Atomic Energy Act of 1954, as amended, and provisions set forth at 2 CFR § 200.112, Conflict of Interest.

#### **Dispute Review Procedures**

- a. Any request for review of a notice of termination or other adverse decision should be addressed to the Grants Officer. It must be postmarked or transmitted electronically no later than 30 days after the postmarked date of such termination or adverse decision from the Grants Officer.
- b. The request for review must contain a full statement of the Recipient's position and the pertinent facts and reasons in support of such position.
- c. The Grants Officer will promptly acknowledge receipt of the request for review and shall forward it to the Director, Office of Acquisition Management Division, unless otherwise delegated, who shall appoint an intra-agency Appeal Board to review a recipient 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 Recipient and

the NRC program office to discuss pertinent issues and to submit such additional information as it deems appropriate. The chairman of the review committee will insure that all review activities or proceedings are adequately documented.

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

#### **Remedies for Noncompliance**

Termination of this award will follow provisions as established and described above in "Dispute Review Process" in 2 CFR §§ 200.338-342.

#### **Performance and Financial Monitoring and Reporting - 2 CFR §§ 200.327-329**

Recipient Financial Management systems must comply with the provisions in 2 CFR § 200.302.

- Payment – 2 CFR § 200.305
- Cost Share or Matching – 2 CFR § 200.306
  - Recipients are to be careful with providing excessive cost share or match since at the end of the grant, if the identified match has not been provided, then a portion of the federal share may be required to be returned to the Government.
- Program Income – 2 CFR § 200.307
  - Earned program income, if any, will be added to funds committed to the project by the NRC and Recipient and used to further eligible project or program objectives or be deducted from the total project cost for the grant, as directed by the Grants Officer or indicated in the terms and conditions of the award.
- Revision of Budget and Program Plans – 2 CFR § 200.308
  - The Recipient is required to report deviations from the approved budget and program descriptions in accordance with – 2 CFR § 200.308(b) and request prior written approval from the Project Officer and the Grants Officer.
  - The Recipient is not authorized to re-budget between direct costs and indirect costs without written prior approval of the Grants Officer.
  - The Recipient is authorized to transfer funds among direct cost categories up to a cumulative 10 percent of the total approved budget. The Recipient 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 §§ 200.401-403
- See section 2 CFR §§ 200.330-332 for Subrecipient Monitoring and Management.

**Federal Financial Reports** - In accordance with 2 CFR § 200.327, the Recipient will 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 authorized by the Grants Officer. 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.  
(NOTE: There is an underscore between Grants and FFR).

**Performance Progress Reports** - In accordance with 2 CFR § 200.328, the Recipient will submit Performance Progress Reports (SF-PPR, SF-PPR-B, and the SF-PPR-E) on an annual basis for the period ending September 30, or any portion thereof, unless otherwise authorized by the Grants Officer. Reports are due no later than 30 days



following the end of the reporting period. Performance reports are sent to the Program Officer at the email address indicated in the Notice of Award, and to Grants Officer at: Grants\_PPR.Resource@NRC.GOV. **(NOTE: There is an underscore between Grants and PPR).**

**Final Reports** - The Recipient is required to submit final reports, both Financial (SF-425) and Performance (SF-PPR, SF-PPR-B, SF-PPR-E) within 90 days of the grant expiration. In addition to these reports, a final SF-428, Tangible property report, is also required, if applicable.

**Period of Performance – 2 CFR § 200.309**

The recipient may charge to the Federal award only allowable costs incurred during the period of performance and any costs incurred before the NRC or pass-through entity made the Federal award that was authorized by the NRC or pass through entity.

Unless otherwise authorized in 2 CFR Part 200 or by special award condition, any extension of the award period can only be authorized by the Grants Officer in writing. 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 Grant Officer may authorize a no cost extension of the period of performance. However, 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, Recipient payments are made using the Department of Treasury's Automated Standard Application for Payment (ASAP) system, ASAP.gov, through preauthorized electronic funds transfers. To receive payments, Recipients are required to enroll with the Department of Treasury, Financial Management Service, and Regional Financial Centers, which allows them to use the on-line method of withdrawing funds from their ASAP established accounts. The following information 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. Recipients enrolled in the ASAP system do not need to submit a "Request for Advance or Reimbursement" (SF-270).

**II. Audit Requirements**

**Audits**

Organization-wide or program-specific audits are performed in accordance with the Single Audit Act of 1996, as amended, and as implemented by 2 CFR Part 200, Subpart F—AUDIT REQUIREMENTS. Recipients are subject to the provisions of this subpart if they expend \$750,000 or more in a year in Federal awards. See 2 CFR 200.501.

The Form SF-SAC and the Single Audit Reporting packages for fiscal periods ending on or after January 1, 2008 are submitted online, as follows:

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; and

5. Click "Submit."

Organizations expending less than \$750,000 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**

#### **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 (technical) reports will contain brief information as prescribed in the applicable uniform administrative requirements 2 CFR §200.328. In addition to the customary performance progress report requested on the SF-PPR, SF-PPR-B, and SF-PPR-E forms, OCHCO requires the following metrics to be reported on by the awardees as follows:

#### **Fellowship 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.

#### **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 Recipient as high risk and the assignment of special award conditions. Further action may be required as specified in the standard term and condition entitled "Remedies for Noncompliance."

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 Recipient 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 Recipient**

The Recipient 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 Recipient or contractor under an award, the Recipient shall provide and shall require his/her contractors to provide reasonable access to all facilities and provide necessary assistance for the safety and convenience of the Government representative in the performance of his/her official duties.

### **IV. Miscellaneous Requirements**

#### **Criminal and Prohibited Activities**

The Program Fraud Civil Remedies Act (31 U.S.C. §§ 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 U.S.C. § 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 U.S.C. § 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 U.S.C. § 874), prohibits a person or organization engaged in a federally supported project from enticing an employee working on the project from giving up a part of his compensation under an employment contract.

#### **American-Made Equipment And Products**

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

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

E.O. 13043, amended by E.O. 13652, requires Recipients 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**

E.O. 13513 requires Recipients 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 Recipient to pay transportation, travel, or other expenses for any Federal employee unless specifically approved in the terms of the award. Use of award funds (Federal or non-Federal) or the Recipient's provision of in-kind goods or services, for the purposes of transportation, travel, or any other expenses for any Federal employee may raise appropriation augmentation issues. In addition, NRC policy prohibits the acceptance of gifts, including travel payments for Federal employees, from Recipients or applicants regardless of the source.

**Minority Serving Institutions (MSIs) Initiative**

Pursuant to E.O.s 13230 and 13270, amended by E.O. 13316 and 13385, 13532, 13592, 13555, 13515, and 13621, 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 Recipients to include meaningful participations of MSIs. Institutions eligible to be considered MSIs are listed on the Department of Education website: <http://www.ed.gov/about/offices/list/ocr/edlite-minorityinst.html>

**Research Misconduct**

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

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

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

award, except scientific articles or papers appearing in scientific, technical or professional journals, contains the following disclaimer:

"This [report/video] was prepared by [Recipient name] under award [number] from [name of operating unit], Nuclear Regulatory Commission. The statements, findings, conclusions, and recommendations are those of the author(s) and do not necessarily reflect the view of the [name of 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 recipient or any subrecipient, 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." (See 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 \$25,000.00 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 \$25,000.00 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 \$300,000.00, 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 \$10,000.00.