

Questionnaire for NASA Assistance Awards

The PI must complete and return this questionnaire to the Campus Contracts & Grants Office, on their own behalf and on behalf of all persons performing any part of the Scope of Work on a NASA grant or cooperative agreement (“Participants”), whether this performance is funded or unfunded, on---campus or remote. Should PI not know the answers for any Participant, the PI must obtain the necessary information from these Participants.

1. Is any Participant employed by the Chinese government or a Chinese owned company or university?	___ Yes ___ No
2. Does any non---student Participant receive salary support from the Chinese government or a Chinese owned company or university?	___ Yes ___ No
3. Does any non---student Participant receive any incidental financial compensation, such as housing or transportation, from the Chinese government or a Chinese owned company or university?	___ Yes ___ No
4. Does any Participant have a written agreement to become (or to return as) an employee of the Chinese government or a Chinese owned company or university?	___ Yes ___ No
STOP: IF YOU HAVE ANSWERED YES TO ANY OF THE ABOVE QUESTIONS, YOU (or a Participant) WILL LIKELY NOT BE ABLE TO PARTICIPATE ABSENT NASA APPROVAL. SPEAK TO YOUR CONTRACT & GRANT OFFICER. IF YOU HAVE ANSWERED “NO,” CONTINUE WITH THIS QUESTIONNAIRE.	
5. Is any Participant enrolled at a Chinese university or does any Participant have a written agreement to become (or to return as) as a student of a Chinese university?	___ Yes ___ No
6. If a Participant is a student, does such Participant receive any type of financial support (other than a scholarship) from the Chinese government or a Chinese owned company or university?	___ Yes ___ No
7. Does any Participant receive research materials or any other type of goods from China or a Chinese owned company or university? (Do not include the purchase of commercial supplies needed to perform the NASA award scope of work.)	___ Yes ___ No
8. Is any Participant co---authoring a paper with a person [*] from China or a Chinese owned company or university that is the result of activity funded by NASA after April 2011?	___ Yes ___ No
IF YOU ANSWERED “YES” TO ONE OR MORE OF QUESTIONS 5---8, YOU (or a Participant) ARE NOT NECESSARILY EXCLUDED FROM PARTICIPATION, BUT YOU MUST CONSULT WITH YOUR CONTRACT & GRANT OFFICER FOR FURTHER ANALYSIS AND GUIDANCE.	
Name _____ Signature: _____ Date: _____	

* The statute does not restrict individual involvement based on citizenship or nationality. Rather individuals are subject to the restriction if they are affiliated with institutions of the People’s Republic of China or Chinese-owned companies incorporated under the laws of China. Thus, a team member who is a Chinese citizen may work on a NASA project, but an individual affiliated with an institution of the Chinese state will be subject to the statutory restriction.

**Principal Investigator Certification for ASSISTANCE AWARDS containing the
NASA CHINA FUNDING RESTRICTION**

When submitting proposals and accepting NASA grants or cooperative agreements, the University is required to accept the clause show below. In order to assure compliance, the Principal Investigator is required to provide the certification in the box below.

**Assurance of Compliance – China Funding Restriction
(DEVIATION FEB 2012)¹**

(iv) An Assurance of Compliance with The Department of Defense and Full-Year Appropriation Act, Public Law 112-10 Section 1340(a); The Consolidated and Further Continuing Appropriation Act of 2012, Public Law 112-55, Section 539; and future-year appropriations herein after referred to as “the Acts”, whereas:

(1) NASA is restricted from using funds appropriated in the Acts to enter into or fund any grant or cooperative agreement of any kind to participate, collaborate, or coordinate bilaterally with China or any Chinese-owned company, at the prime recipient level and at all subrecipient levels, whether the bilateral involvement is funded or performed under a no-exchange of funds arrangement.

(2) Definition: “China or Chinese-owned Company” means the People’s Republic of China, any company owned by the People’s Republic of China, or any company incorporated under the laws of the People’s Republic of China.

(3) The restrictions in the Acts do not apply to commercial items of supply needed to perform a grant or cooperative agreement.

(4) By submission of its proposal, the proposer represents that the proposer is not China or a Chinese-owned company, and that the proposer will not participate, collaborate, or coordinate bilaterally with China or any Chinese-owned company, at the prime recipient level or at any subrecipient level, whether the bilateral involvement is funded or performed under a no-exchange of funds arrangement.

I have completed the NASA Questionnaire for Assistance Awards on behalf of myself and all individuals performing any part of the scope of work of project identified below, and have determined and hereby certify that in accordance with the above:

Bilateral participation, collaboration, or coordination with The People's Republic of China (PRC), any company owned by the People's Republic of China or with any company (**including a Chinese university**) incorporated under the laws of the People's Republic of China (including Hong Kong and Macau, but not Taiwan) will **not** take place as part of the NASA scope of work for this award, whether or not such participations, collaborations, or coordinations are funded by the NASA award.

Further, I certify that I will not enter or cause The Regents to enter into a bilateral subaward, memorandum of understanding, collaboration agreement, or any other type of written bilateral agreement with the PRC as defined above. (Vendor agreements for acquisition of commercial and non-developmental items are excluded from this certification.)

Proposal or Award ID _____

PI Signature _____

PI Name _____

Date _____

¹ As of 9/30/13