

ATTACHMENT – SPECIAL CONDITIONS AND POLICIES

NASA Kentucky EPSCoR Program

NASA Kentucky Points of Contact

ADMINISTRATIVE: nasa@uky.edu or 859-323-4542

INVOICES: Copy nasa.invoices@uky.edu on invoice submissions

Refer to the relevant NASA KY EPSCoR RFP document for award guidelines:

nasa.engr.uky.edu/requests-for-proposals

Award Restrictions

- 1) General equipment (>\$5,000) may not be purchased or used as cost share
- 2) Specialized equipment (>\$5,000) may be purchased if budgeted
- 3) Travel funds are restricted to domestic travel only, unless international travel is budgeted
- 4) Cost-share must be from non-Federal sources
- 5) Cost-share commitment must be fully met
- 6) Financial records related to the project must be retained for 3 years after the award ends

Budget Policy

Recipients must contact NASA KY to discuss budget revisions and allowable costs.

NASA KY must be notified about budget revisions. Costs may not be reimbursed if expenditures do not follow applicable policies. A PI has flexibility to adjust minor amounts in the award budget without approval from NASA KY as needs of the project develop, provided the total budget still meets guidelines described in the corresponding RFP. Guidelines may include specific restrictions on the award.

Financial Documentation

Documentation to substantiate expenses must be retained and provided upon request

All charges must be supported by detailed financial records. UK and NASA KY may request this information during the course of the award or after the award has ended. Records must be retained at least 3 years after the award ends. Costs that cannot be substantiated with documentation that meets accounting standards are unallowable. Unallowable expenses must be removed and credited or refunded if the final invoice has been paid.

Citizenship Requirement

Certification of U.S. Citizenship Applies: YES ___ NO X__

NASA Terms and Conditions

NASA award terms and conditions apply

Awards under the NASA EPSCoR program are subject to the following per the NASA Guidebook for Proposers, Title 2 CFR Parts 200 and 1800, and the NASA Grant and Cooperative Agreement Manual (GCAM), including export controls when applicable. Full text of requirements and terms and conditions are available in the NASA GCAM at: www.nasa.gov/offices/ocfo/gpc/regulations_and_guidance.

Special Conditions – NASA Kentucky EPSCoR Program

Location	Title
Appendix A to 2 CFR Part 25	Universal identifier and System of Award Management (SAM).
Appendix A to 2 CFR Part 170	Reporting Subawards and Executive Compensation
2 CFR 175	Trafficking in persons
2 CFR 182	Government-wide requirements for Drug-Free Workplace
GCAM Appendix D1	Compliance with Title 2 of the Code of Federal Regulations, Grants and Agreements
GCAM Appendix D2	System for Award Management and Unique Entity Identifier
GCAM Appendix D3	Technical Publications and Reports
GCAM Appendix D4	Reporting Subawards and Executive Compensation
GCAM Appendix D5	Extensions
GCAM Appendix D6	Termination and Enforcement
GCAM Appendix D7	Change in Principal Investigator or Scope
GCAM Appendix D8	Financial Management
GCAM Appendix D9	Equipment and other Property
GCAM Appendix D10	Patent Rights
GCAM Appendix D11	Rights in Data
GCAM Appendix D12	National Security
GCAM Appendix D13	Non-Discrimination
GCAM Appendix D14	Clean Air and Water
GCAM Appendix D15	Investigative Requirements
GCAM Appendix D16	Travel and Transportation
GCAM Appendix D17	Safety
GCAM Appendix D18	Made in America Encouragement
GCAM Appendix D19	Investigation and Research Misconduct
GCAM Appendix D20	Allocation of Risk/Liability
GCAM Appendix D21	Export Licenses
GCAM Appendix D22	Restrictions on sale or transfer of technology to foreign firms or institutions.

Foreign national participants may receive support if employed by a US institution

Subject to export control restrictions (including ITAR), a foreign national may receive remuneration through a NASA award for the conduct of research while employed either full- or part-time by a U.S. institution. For additional guidance on foreign participation, see Section 3.2 of the NASA Guidebook for Proposers and the NASA FAR Supplement (NFS) 1835.016-70, Foreign participation under Broad Agency Announcements (BAAs).

Funds shall not be used to fund research carried out by non-U.S. institutions. However, U.S. research award recipients may directly purchase supplies and/or services that do not constitute research from non-U.S. sources.

Restrictions on Funding Activities with China

(a) NASA is restricted from using funds 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 or at any subrecipient level, whether the bilateral involvement is funded or performed under a no-exchange of funds arrangement.

(b) 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.

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

Special Conditions – NASA Kentucky EPSCoR Program

Reporting Requirements

Attribution for Publications, Reports, Press Releases

All information disseminated (publications, reports, press releases, etc.) as a result of the grant shall contain a statement that acknowledges NASA support via the NASA Kentucky EPSCoR Program. Contact NASA KY to determine the applicable prime award number:

“The material is based upon work supported by NASA and the NASA Kentucky EPSCoR Program under NASA award number [award #].”

Results must be accessible to the public

NASA requires researchers submitting articles in peer-reviewed journals or papers for conferences to make their work freely accessible to the public. NASA encourages the widest practical dissemination of research and project results at any time during the course of the investigation or project activity.

Final Report due within 30 days after the award end date

PIs are required to report research productivity and students supported via: 1) Progress reports during the award period, 2) Final Report within 30 days after the end of the award, and 3) Post-award annual update 1 year after project completion. NASA KY will provide PIs with a reporting template for each award. Project reports must be submitted to nasa@uky.edu. Reporting must be current in order for NASA KY to meet NASA and state annual report cycles. The recipient PI or representative may be required to attend and present a research poster supported by this award at a Kentucky statewide academic conference annually or as scheduled. Reporting information shall include:

- (1) Award Information, including title, dates, budget, abstract and summarized achievements.
- (2) Participants, including PI, Co-Is, students, staff and all collaborators.
- (3) Follow-on Funding including submissions, sources, status and awards.
- (4) Publications (please notify NASA KY when articles have been submitted)
- (5) Presentations
- (6) Intellectual Property
- (7) Workforce, including jobs supported with the funding
- (8) Project travel, outreach activities, and outcomes
- (9) Final report narrative (5 page limit) that relates the proposed objectives to accomplishments, describes findings/results, lists participants including teachers and students not itemized in #2 above, lists any encountered problems (if none, state no encountered problems), and presents plans for future research or activities.

Longitudinal Tracking of Students (all awards):

The recruitment and training of US Citizens, especially women, underrepresented minorities and persons with disabilities, for careers in aerospace science and technology is a national priority. All students receiving direct support (stipend, travel, etc.) must be reported to NASA KY. Under these programs, data on all supported students is of particular importance to NASA. Any student receiving \$3,000 or more in NASA funding, or working 160 hours or more, or an equivalent combination of support and work hours, on NASA-supported projects may be longitudinally tracked for 3 years using information provided on the NASA KY Student Information Form (SIF).

Requests for No-Cost Extension

Extension requests must be submitted at least 45 days before the project’s current end date.

Requests must include detail of the programmatic justification for an extension and a Summary of Achievements status report on all tasks listed in the proposal, if a progress report has not recently been submitted. Additional information is available in the NASA KY FAQ (nasa.engr.uky.edu/requests-for-proposals/faq). NCE requests must be submitted to nasa@uky.edu.

Special Conditions – NASA Kentucky EPSCoR Program

Subaward Recipient Invoicing and Cost Share

Invoices must be submitted by email to: APPOinvoices@uky.edu and nasa.invoices@uky.edu

The email subject line must include the PO number. The email, with attached invoice, must copy the NASA KY invoice email address, nasa.invoices@uky.edu, as a courtesy copy.

Invoices must include cost categories as outlined in the award budget. Backup documentation may be requested at any time. Subawardee invoices must include information detailed below. Invoices not having this minimal information will not be authorized for payment.

It is the subawardee's obligation to meet, document and report their cost sharing commitment. All subaward invoices must show appropriate documentation of cost share in relation to expenses. Failure to do so may result in payment being withheld until cost share obligation is met. Cost Share is defined by a subaward's attachment, Scope of Work and Budget. Non-US citizen faculty contributed effort *may* be counted as matching. The recipient Principal Investigator (PI) is responsible to ensure cost share is accurately recorded, substantiated, and reported by their institution/organization.

Final invoices must be submitted within 45 days of the award end date

Final invoices must be identified as final. Approval for payment of final invoices will be held pending submission of a final project report from the PI. Final reports are due within 30 days of the award end date. Cost-share on awards must be fully met.

Subaward Invoice Detail

Subaward invoices must include the following information:

1. UK Purchase Order (PO) Number
2. Subaward Number
3. UKRF Technical Representative
4. Invoice Number
5. Invoice Billing Period and Date
6. Project Budget Period
7. Categorical Breakdown of Awarded Budget
8. Categorical Breakdown of Previous, Current, and Cumulative Expenses (with dates)
9. Cost Share Expenditures (if applicable; with dates)
10. Certification Statement
 - a. Specific statement is required for awards under federal Uniform Guidance. Per UG section 200.415: To assure that expenditures are proper and in accordance with the terms and conditions of the Federal award and approved project budgets, the annual and final fiscal reports or vouchers requesting payment under the agreements must include a certification, signed by an official who is authorized to legally bind the non-Federal entity, which reads as follows:

“By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).”
11. Signature of Invoice Preparer
12. Signature of Signing Official
13. Remit-To information