ATTACHMENT – SPECIAL CONDITIONS AND POLICIES

NASA Kentucky Space Grant Consortium 2020-2024

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 Space Grant RFP document for award guidelines: nasa.engr.uky.edu/requests-for-proposals

Award Restrictions
1) Equipment (> $5,000) may not be purchased or used as cost share
2) Travel funds are restricted to domestic travel only
3) Cost-share must be from non-Federal sources
4) Cost-share commitment must be met
5) 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. For example, GF and REU awards are dedicated for the specific student and may not be re-budgeted to reduce support for the student or to support a different student. Expenditures on these awards must be related to the student’s participation in the project.

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 X NO (GF and REU Programs)
Per prime award from NASA, subawardee will certify the following: Students selected as Space Grant Fellows or Scholars must be citizens of the United States (GF and REU programs only).

NASA Terms and Conditions
NASA award terms and conditions apply
Awards under the Space Grant 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.
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.

### Table: Special Conditions

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

“The material is based upon work supported by the NASA National Space Grant College and Fellowship Program and the Kentucky Space Grant Consortium under NASA award number 80NSSC20M0047.”

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.
**Subaward Recipient Invoicing and Cost Share**

Invoices must be submitted by email to: [APPOinvoices@uky.edu](mailto:APPOinvoices@uky.edu) and [nasa.invoices@uky.edu](mailto: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](mailto: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