

## Attachment 1

### SUMMARY OF RESTRICTIONS AND CERTIFICATION

#### NASA RESTRICTIONS ON FUNDING ACTIVITY WITH THE PEOPLE'S REPUBLIC OF CHINA ("CHINA")

**Summary of Restrictions:** Federal laws (Public Laws 112-10 and 112-55) prohibit the National Aeronautics and Space Administration ("NASA") from using funding received under those laws to:

Enter into or fund any type of grant or cooperative agreement to participate, collaborate or coordinate bilaterally with China or any "Chinese-owned company" at prime and/or subrecipient levels, whether or not the involvement with China or the Chinese-owned company is funded or done through a "no exchange of funds" arrangement.

A "**Chinese-owned company**" is any company owned by the Chinese government or incorporated under the laws of China. Chinese colleges, universities and other similar institutions are considered by NASA to be incorporated under the laws of China and, therefore, the funding restrictions apply to grants and cooperative agreements that include bilateral participation, collaboration, or coordination with Chinese colleges, universities and other similar institutions.

Note: The restrictions do not keep recipients of NASA grants or cooperative agreements from procuring commercial supply items from China that are needed to perform a grant or cooperative agreement.

NASA has taken the position that any person or entity "**affiliated**" with the Chinese government or a Chinese-owned company (and "Affiliated Person") cannot participate on a NASA grant without prior NASA approval.

#### Requirements:

1. When submitting a proposal to NASA that requires a China Restriction Certification, the person/entity making the proposal must certify:
  - a. The persons participating in the project are not "affiliated" with the Chinese government or a Chinese-owned company (including any Chinese college or university). An "Affiliated Person" has not been formally defined by NASA. For certification purposes, please treat an Affiliated Person as including any personnel working on a project that:
    - Has, or is expected to have, a relationship (paid or unpaid) which will involve the performance of work by the individual on behalf of the Chinese government or a Chinese-owned company (including any Chinese college or university).
    - Has or is expected to have, an offer of employment (full or part-time) with any of the foregoing.
    - Has, or is expected to have, an honorary appointment or position with any of the foregoing.
    - Is on leave from a position with any of the foregoing.
    - Has bought out teaching responsibilities or otherwise taken leave from Mason to spend an extended term with any of the foregoing.
    - Is collaborating as an investigator or staff on any pending or planned research project funded by any of the foregoing.
    - Has any arrangement with any of the foregoing to provide advice, resources, or non-public information.

b. The project does not involve bilateral participation, collaboration, or coordination with the Chinese government or a Chinese-owned company (including any Chinese college or university) at the prime contracting or subcontracting level, no matter whether the activity in which the Chinese government or Chinese-owned company (including any Chinese college or university) is involved is funded or unfunded. “Bilateral” activities are those that take place between persons/entities in the United States and in China. Activities that are conducted under the auspices of a multilateral organization (i.e., an organization that involves the United States, China and other countries) are generally permitted.

Note that non-Chinese nationals can be “Affiliated Persons” if they have a significant relationship with the Chinese government or a Chinese-owned company (including any Chinese college or university).

2. “Affiliated Persons” are not permitted to use equipment, software, etc., that was purchased using NASA funds.

3. “Affiliated Persons” cannot be given access to data generated under a NASA-funded project prior to that data being publicly disseminated.

In order to document compliance with the NASA restrictions on funding, please complete the certification on the following page to OSP Pre-Award staff as soon as possible. You will also be asked to provide a similar certification for each proposed Team Member prior to the proposal due date. If you have any questions about the certifications, please contact the OSP Pre-Award staff member assisting you with your proposal.

**NASA Certification Regarding Chinese Affiliations  
Principal Investigator Form**

This form must be completed by all George Mason University Principal Investigator(s) associated with the NASA proposal, funded project or program identified below.

**Reason:** Federal law restricts NASA from providing funding to participate, collaborate or coordinate bilaterally in any way with China or any Chinese-owned company at the prime recipient or at any sub-recipient level. The University must certify compliance with this restriction for each proposal or award and that no one working on the project or program is affiliated with China or a Chinese-owned company (an "Affiliated Person").

NASA has defined "China or Chinese-owned company" to mean the People's Republic of China ("PRC"), any company owned by the PRC, or any entity incorporated or organized under the laws of the PRC; this includes Chinese colleges, universities, research institutes, and any government unit. The law is interpreted by NASA to prohibit participation in a NASA research project of any individual (paid or unpaid), regardless of nationality, who is affiliated with the Chinese Government or a Chinese-owned company. NASA does not consider this prohibition to bar the participation of Chinese nationals who are not affiliated with China, a Chinese-owned company, a Chinese University, research institute, or government unit.

"Affiliated Person" has not been formally defined by NASA. For certification purposes, please treat "Affiliated Person" as including any personnel working on a project that:

- Has, or is expected to have, a relationship (paid or unpaid) which will involve the performance of work by the individual on behalf of the Chinese government or a Chinese-owned company (including any Chinese college or university).
- Has or is expected to have, an offer of employment (full or part-time) with any of the foregoing.
- Has, or is expected to have, an honorary appointment or position with any of the foregoing.
- Is on leave from a position with any of the foregoing.
- Has bought out teaching responsibilities or otherwise taken leave from Mason to spend an extended term with any of the foregoing.
- Is collaborating as an investigator or staff on any pending or planned research project funded by any of the foregoing.
- Has any arrangement with any of the foregoing to provide advice, resources, or non-public information.

**Proposal/Award Information**

Principal Investigator:

Proposal Status:

Award/Proposal Title:

**Project Information**

NASA Proposal Number and RAMP FP Number:

Project Title:

1. Does this **project** involve bilateral collaboration with, or participation of the Chinese government or any Chinese-owned company (including any Chinese college or university), whether or not the activity in which the government or company is involved is funded or unfunded?

To the best of my personal knowledge and belief:

**No**

**Yes**

If "yes," please provide the name of the entity and its role in the project:

2. Does this **project** involve any person, regardless of nationality (students, fellows, researchers, faculty, or PI and/or co-PIs) or entity that is affiliated with and/or receiving support from the Chinese government (including any Chinese college or university) or any Chinese company? (For example, a graduate student receiving a scholarship or other support from the Chinese government or a person affiliated with a Chinese university, or a visiting scholar from China traveling on a J-1 Visa, or a non-Chinese national who is receiving similar support.)

To the best of my personal knowledge and belief:                      **No**                      **Yes**

If "yes," please provide the name of the individual(s), his/her/their role in the project, and his/her/their affiliations, including any affiliations with the Chinese government (including any Chinese college or university) or any Chinese company and any receipt of scholarship funds or other support from the Chinese government (including any Chinese college or university) or any Chinese company:

3. Does this **project** involve any travel supported/paid by an external entity to perform research activities with an associated time commitment? If yes, to where and what is the name of the external party? ([See NASA Pre- and Post Award Disclosure Matrix #11](#))

To the best of my personal knowledge and belief:                      **No**                      **Yes**

Description

### Individual Information

PI Name

Title

Answer "yes" or "no" to each of the following questions. If "yes", provide a written explanation or description in the space provided. The text fields will expand as needed.

1. Do you currently receive any funding (salary, grant, contract, etc.) or other support from China, a Chinese-owned company, or any Chinese research institute, university, or government unit? Note: This may include such funding that you are personally aware of to a research center, institute, or group that you belong to as a member.

**No**                      **Yes**

Description:

2. Do you have any active collaborations or other work-related relationships (paid or unpaid) with individuals, including planned co-authors, who are employed by or acting on behalf of China, a Chinese-owned company, or any Chinese research institute, university, or government unit?

**No**

**Yes**

Description:

3. Do you have an affiliation, appointment or position (including honorary faculty appointment(s)) with China, a Chinese-owned company, or any Chinese research institute, university, or government unit, or are otherwise considered an "Affiliated Person"?

**No**

**Yes**

Description:

4. Do you have any planned travel supported/paid by an external entity to perform research activities with an associated time commitment? If yes, where to? ([See NASA Pre- and Post Award Disclosure Matrix #11](#))

**No**

**Yes**

Description:

## Individual Certification

By signing below, I attest that I have read this summary sheet and certification and understand that NASA is prohibited from funding any type of grant or cooperative agreement that involves bilateral participation, collaboration or coordination with the Chinese government (including any Chinese college or university) or any Chinese-owned company at prime and/or subrecipient levels. I also certify that the information provided herein is accurate and complete to the best of my knowledge and belief. I understand that it is my responsibility to notify the Office of Sponsored Programs ("OSP") if there is a change in the affiliation status of any project member (including myself and students) during the proposal process and during the term any subsequent award. I also understand that I am responsible for obtaining a completed version of this form prior to adding new individuals to the project team and submitting those forms to OSP.

**Proposal Stage:** Individual Signature:

Date:

**Proposal Stage Step 2 application (if applicable):**

No changes

Changes required

Individual Signature:

Date:

**At time of Award:**

No changes

Changes required

Individual Signature:

Date:

## Office of Sponsored Program

**Certification approved by Director, Pre-Award Administration at proposal stage:**

Name:

Signature:

Date:

**Certification approved by Director, Pre-Award Administration at proposal stage Step 2 (if applicable):**

Name:

Signature:

Date:

**Certification approved by OSP Contracts at award stage:**

Name:

Signature:

Date: