

**NSF's Implementation of PAPPG Chapter VII.D.3
"Foreign Gifts and Contracts Disclosure"**

Disclosures Required Under PAPPG Chapter VII.D.3

1. Unique Entity Identifier (UEI)
 - a. Is the institution, or any part thereof, owned or substantially controlled by a foreign source? (Y/N)
 - i. If yes, then identify:
 - (a) The foreign source
 - (b) The associated foreign country of concern
 - (c) The date on which the foreign source assumed ownership or control (optional)
 - (d) Which part(s) of the institution of higher education that are owned or substantially controlled by a foreign source based in a country of concern
2. Gift from a foreign source.
 - a. Name of the foreign source. If the Legal Name is not available, the DBA/Trade Name may be entered.
 - i. Legal Name, if known
 - ii. DBA / Trade Name, if known
 - b. Type of foreign source.
 - i. Is the gift from a foreign government, including but not limited to any agency of a foreign government? (Y/N)
 - ii. Is the gift from a legal entity, governmental or otherwise, created solely under the laws of a foreign state or states? (Y/N)
 - iii. Is the gift from an individual who is not a citizen or a national of the United States or a trust territory or protectorate thereof? (Y/N)
 - iv. Is the gift from an individual or entity, including a subsidiary or affiliate of a foreign legal entity, who acts as an agent of a foreign government, a legal entity created solely under the laws of a foreign state or states, or an individual who is not a citizen or national of the United States or a trust territory or protectorate thereof? (Y/N)
 - (a) If yes, provide the name of the principal (*i.e.*, the foreign government, legal entity, individual, or person on whose behalf the agent is acting).
 - v. Is the gift specified to go to certain researchers by name? (Y/N)
 - (a) If yes, provide the name(s) of the individuals
 - c. Country of attribution.
 - i. For gifts received from a foreign government or agent acting on behalf of a foreign government, to which country is the support attributable?
 - ii. For gifts received from an individual or entity which is not a foreign government and not an agent of a foreign government, to which country is the support attributable? For natural persons this will be the country of their principal residence. For incorporated entities it will be the country of incorporation, or, if unknown, the entity's principal place of business.
 - d. Foreign source address.
 - i. Country
 - ii. City
 - e. Gifts from a foreign source
 - i. Amount.
 - ii. Date received.
 - f. Specific restricted or conditional gift provisions.
 - i. Types of restrictions or conditions.
 - (a) Is there agreement and/or general or specific guidance on purpose of gift? (Y/N)
 - (i) If so, provide the purpose or terms of the gift.
 - (b) Are there reporting requirements reflecting how the gift was used? (Y/N)

- (c) Do the restrictions or conditions concern or relate to the employment, assignment, or termination of faculty? (Y/N)
 - (d) Do the restrictions or conditions concern or relate to the establishment of departments, centers, research or lecture programs, or new faculty positions? (Y/N)
 - (e) Do the restrictions or conditions concern or relate to the selection or admission of students? (Y/N)
 - (f) Do the restrictions or conditions concern or relate to the award of grants, loans, scholarships, fellowships, or other forms of financial aid restricted to students of a specified country, religion, sex, ethnic origin, or political opinion? (Y/N)
 - ii. If yes to any of the items listed in (a) through (f) above, provide a detailed description of such restrictions or conditions.
 - iii. If the restrictions or conditions do not fall into any of the categories listed in (a) through (f) above, please provide a detailed description of such restriction or conditions.
 - g. Recipient of gift.
 - i. Is the gift directly to the reporting institution (including a foundation of the institution, and related entities such as any educational, cultural, or language entity)? (Y/N)
 - (a) If any foundation or related entity, provide the name of the foundation and/or related entities
 - ii. Is the gift indirectly to the reporting institution, including through an intermediary? (Y/N)
 - (a) If yes, provide the name of any and all intermediaries.
3. Contract with a foreign source.
 - a. Name of the foreign source. If the Legal Name is not available, only the DBA/Trade Name need be entered.
 - i. Legal Name, if known
 - ii. DBA / Trade Name, if known
 - b. Type of foreign source
 - i. Is the contract with a foreign government, including but not limited to any agency of a foreign government? (Y/N)
 - ii. Is the contract with a legal entity, governmental or otherwise, created solely under the laws of a foreign state or states? (Y/N)
 - iii. Is the contract with an individual who is not a citizen or a national of the United States or a trust territory or protectorate thereof? (Y/N)
 - iv. Is the contract with an individual or an entity, including a subsidiary or affiliate of a foreign legal entity, who acts as an agent of a foreign government, a legal entity created solely under the laws of a foreign state or states, or an individual who is not a citizen or national of the United States or a trust territory or protectorate thereof? (Y/N)
 - (a) If yes, provide the name of the principal (*i.e.*, the foreign government, legal entity, individual, or person on whose behalf the agent is acting).
 - v. Is the contract specified to go to certain researchers by name? (Y/N)
 - (a) If yes, provide the name(s) of the individuals
 - c. Country of attribution.
 - i. For contracts with a foreign government or agent acting on behalf of a foreign government, to which country is the support attributable?
 - ii. For contracts received from an individual or entity which is not a foreign government and not an agent of a foreign government, to which country is the support attributable? For natural persons this will be the country of their principal residence. For incorporated entities it will be the country of incorporation, or, if unknown, the entity's principal place of business.
 - d. Foreign source address.
 - i. Country
 - ii. City
 - e. Contract terms.
 - i. Amount.
 - ii. Contract start date.

- iii. Contract end date.
 - f. Specific restricted or conditional contract provisions.
 - i. Type of restrictions or conditions.
 - (a) Do the restrictions or conditions concern or relate to the employment, assignment, or termination of faculty? (Y/N)
 - (b) Do the restrictions or conditions concern or relate to the establishment of departments, centers, research or lecture programs, or new faculty positions? (Y/N)
 - (c) Do the restrictions or conditions concern or relate to the selection or admission of students? (Y/N)
 - (d) Do the restrictions or conditions concern or relate to the award of grants, loans, scholarships, fellowships, or other forms of financial aid restricted to students of a specified country, religion, sex, ethnic origin, or political opinion? (Y/N)
 - ii. If yes to any of the items listed in (a) through (d) above, provide a detailed description of such restrictions or conditions.
 - iii. If the restrictions or conditions do not fall into any of the categories listed in (a) through (d), please provide a detailed description of such restriction or conditions.
 - g. Domestic party to contract.
 - i. Is the contract entered into directly with the reporting institution (including a foundation of the institution, and related entities such as any educational, cultural, or language entity)? (Y/N)
 - (a) If any foundation or related entity, provide the name of the foundation and/or related entities
 - ii. Is the contract entered into by a third party, such as an intermediary? (Y/N)
 - (a) If yes, provide the name of any and all intermediaries.

Certification

I certify that, in accordance with Section 10339B, Foreign Financial Disclosure Report, of the CHIPS and Science Act of 2022, (42 U.S.C. § 19040), the organization is herewith reporting all “current financial support, the value of which is \$50,000 or more, including gifts and contracts, received directly or indirectly from a foreign source associated with a foreign country of concern”, as defined in the PAPPG Introduction, Section D. Misrepresentations and/or omissions may be subject to prosecution and liability pursuant to, but not limited to, 18 U.S.C. § 287, 1001, 1031 and 31 U.S.C. §§ 3729-3733 and 3802.