

REPRESENTATIONS AND CERTIFICATIONS

Awardee Institution:	
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As condition of the offer of award, CRDF Global¹ requires all awardees to complete certain representations and certifications. This information must be provided in full and signed by an individual that has the authority to commit the above named institution. CRDF Global will not proceed with an award to the institute without this information.

A	TIN/EIN:				
B	DUNS #:				
C	Type of Organization:				
	Corporate Entity (not tax-exempt)	<input type="checkbox"/>		International Organization	<input type="checkbox"/>
	Corporate Entity (tax-exempt)	<input type="checkbox"/>		Partnership	<input type="checkbox"/>
	Foreign Government	<input type="checkbox"/>		Sole Proprietorship	<input type="checkbox"/>
	Government Entity (federal, state, local)	<input type="checkbox"/>		Other	<input type="checkbox"/>
D	Small Business Concerns:				
	The institutions represents that it <input type="checkbox"/> is, <input type="checkbox"/> is not a Small Business Concern				
	<i>Complete Section D below only if offeror represented itself as a small business concern</i>				
	Small, disadvantaged business concern	<input type="checkbox"/>		HUB-zone small business concern	<input type="checkbox"/>
	Woman-owned small business concern	<input type="checkbox"/>		Veteran-owned small business concern	<input type="checkbox"/>
				Service-disabled veteran-owned small business concern	<input type="checkbox"/>
E	<u>Assurance of Compliance With Title VI of the Civil Rights Act</u>				
F	<u>Clean Air and Water</u>				
G	<u>Certification Regarding Lobbying (22 CFR Cp. 1, Pt. 138.App.C)</u>				
H	Audit Requirements				
	<p>Entities that expend US \$750,000.00 or more in a fiscal year in U.S. Government Federal awards must have a single or program-specific audit conducted for that year.</p> <p>(1) The applicant represents that in the previous fiscal year it expended US \$750,000.00 or more in U.S. Government Federal Awards:</p> <p style="margin-left: 40px;"><input type="checkbox"/> Yes. The applicant confirms that it is subject to the audit requirements of 2 CFR 200, that it will undertake a single or program-specific audit in accordance with the terms of that provision, and that it will provide a copy to CRDF Global once it is available.</p> <p style="margin-left: 40px;"><input type="checkbox"/> No, the applicant is exempt from the audit requirements of 2 CFR 200.</p>				
I	Federal Funding Accountability and Transparency Act				
	<p>Public Law 109-282, Federal Funding Accountability and Transparency Act (FFATA), as amended by Section 6202 of the Government Funding Transparency Act of 2008 (Public Law 110-252), was enacted to reduce wasteful and unnecessary spending by the Federal Government. The objective of FFATA is to empower American tax payers with information that may be used to demand greater fiscal discipline from both Executive and Legislative branches of Government. Pursuant to FFATA, CRDF Global is required to report certain Federal subawards that are \$25,000 or more. The law requires all reported information be made public; therefore, this is to notify prospective awardees that certain CRDF Global Federal subawards of \$25,000 or more may be made public.</p> <p>Pursuant to FFATA, CRDF Global may be required to report its first tier subcontractors' names and total compensation of each of the five most highly compensated executives (means officers, managing partners, or any other employees in management positions). Total compensation means the cash and noncash dollar value earned by the executive during the preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)): salary & bonus; awards of stock, stock options & stock appreciation rights; earnings for services under non-equity incentive plans; change in pension value;</p>				

¹ CRDF Global is the registered tradename of the U.S. Civilian Research & Development Foundation.

<p>above market earnings on deferred compensation which is not tax qualified; and other compensation. Reporting of executive compensation is required only if during the preceding fiscal year, the offeror received: (1) 80 percent or more of its annual gross revenues in U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements; AND, (2) \$25,000,000 or more in annual gross revenues from U.S. federal contracts, subcontracts, loan, grants, subgrants, and/or cooperative agreements; AND, (3) the public does not have access to information about the compensation of the executives in offeror's business through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m (a) or section 6104 of the Internal Revenue Code of 1986). Please visit www.sec.gov/edgar.shtml for more info.</p>	
<p>(1) The applicant represents that it is an individual and not a legal or business entity.</p> <p><input type="checkbox"/> Yes, applicant is exempt from FFATA subaward reporting requirements as is exempt from responding to questions (2) through (5).</p> <p><input type="checkbox"/> No, please answer question (2).</p>	
<p>(2) The Awardee represents that, in the previous tax year, its gross income from all sources exceeded \$300,000.</p> <p><input type="checkbox"/> No, applicant is exempt from FFATA subaward reporting requirements and is exempt from responding to questions (3) through (5).</p> <p><input type="checkbox"/> Yes, please answer question (3).</p>	
<p>(3) In Awardee's preceding fiscal year, did it receive 80 percent or more of its annual gross revenues in U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements?</p> <p><input type="checkbox"/> No, applicant is exempt from FFATA Name and Executive Compensation Reporting and is exempt from responding to questions (4) through (5).</p> <p><input type="checkbox"/> Yes, please answer questions (4).</p>	
<p>(4) In Awardee's preceding fiscal year, did it receive \$25,000,000 or more in annual gross revenues from U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements?</p> <p><input type="checkbox"/> No, applicant is exempt from FFATA Name and Executive Compensation Reporting and is exempt from responding to question (5).</p> <p><input type="checkbox"/> Yes, please answer question (5).</p>	
<p>(5) Does the public have access to information about the compensation of executives in the Awardee's organization through periodic reports filed under section 13(a) or 15(d) of the Security Exchange Act or section 6104 of the Internal Revenue Code?</p> <p><input type="checkbox"/> Yes, applicant is exempt from FFATA Name and Executive Compensation Reporting.</p> <p><input type="checkbox"/> No, applicant must provide the following information on the five most highly compensated executives in the applicant's organization: Executive Name, Total Compensation in USD.</p>	

By signing this Representation and Certifications Form, the Awardee and its authorized representative certify that the statements made herein are true and complete to the best of its/his/her knowledge.

Authorized Institutional Signature

Date

Print Name & Title

CERTIFICATIONS IN FULL TEXT

I. Data Universal Numbering System

“D-U-N-S Number (D-U-N-S)”, as used in this provision, means the Data Universal Numbering System or D-U-N-S® Number which is a unique nine-digit identification number that identifies business entities on a location-specific basis. The D-U-N-S is widely used by both commercial and Federal entities and was adopted as the standard business identifier for Federal electronic commerce in October 1994. D-U-N-S Number assignment is free for all businesses required to register with the US Federal government for contracts or grants. Refer to <http://fedgov.dnb.com/webform> to create a D-U-N-S Number if one does not exist for your business location.

II. Assurance of Compliance With Title VI of the Civil Rights Act

The Awardee hereby agrees that it will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and all requirements imposed by or pursuant to the Regulation of the National Science Foundation (45 CFR Part 611) issued pursuant to that title, to the end that, in accordance with Title VI of that Act and the Regulation, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance from the Foundation; and hereby gives assurance that it will immediately take any measures necessary to effectuate this agreement.

If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the Awardee by the Foundation, this Assurance shall obligate the Awardee, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for the purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any personal property is provided, this Assurance shall obligate the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this Assurance shall obligate the Awardee for the period during which the Federal financial assistance is extended to it by the Foundation.

This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, cooperative agreements, loans, contracts, property, discounts or other Federal financial assistance extended after the date hereof to the Awardee by the Foundation, including installment payments after such date on account of applications for Federal financial assistance which were approved before such a date. The Awardee recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the Awardee, its successors, transferees, and assignees.

III. Clean Air and Water

(This Article applies only to Awards over \$100,000, or a facility to be used has been the subject of a conviction under the Clean Air Act [42 U.S.C. 7413(c)(1)] or the Clean Water Act [42 U.S.C. 1319(c)] and is listed by the EPA, or the award is not otherwise exempt.)

The Awardee agrees as follows:

To comply with all the requirements of Section 114 of the Clean Air Act [42 U.S.C. 7414] and Section 308 of the Clean Water Act [33 U.S.C. 1318], respectively, relating to inspection, monitoring, entry, reports and information, as well as other requirements specified in Section 114 and Section 308 of the Clean Air Act and the Clean Water Act, respectively, and all regulations and guidelines issued thereunder before the award of the grant.

That no portion of the work required under any resulting award will be performed in a facility listed on the Environmental Protection Agency List of Violating Facilities unless and until the EPA eliminates the name of such facility or facilities from such listing.

To use its best efforts to comply with clean air standards and clean water standards at the facility at which work under any resulting award will be performed.

IV. Certification Regarding Lobbying (22 CFR Cp. 1, Pt. 138.App.C)

The Awardee certifies, to the best of its knowledge and belief, that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence and officer or employee of any agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit the Standard Form "Disclosure Form to Report Lobbying" in accordance with its instructions.
- (c) The applicant shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into.