



USAID
FROM THE AMERICAN PEOPLE

**CERTIFICATIONS, ASSURANCES, AND
OTHER STATEMENTS OF APPLICANT
AND/OR RECIPIENT¹**

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS (SEP 2001)

(a) The applicant/recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the award for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color, or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the applicant/recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the applicant/recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the applicant/recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The applicant/recipient 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 applicant/recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the applicant/recipient.

2. CERTIFICATION REGARDING LOBBYING (FEB 1990)

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) 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 any agency, a Member of Congress, an 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.

¹ Rev. 03/24/06

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an 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 Standard Form-LLL, "Disclosure of Lobbying Activities,"² in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients 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. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

3. CERTIFICATION REGARDING TERRORIST FINANCING (SEP 2004)

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website: <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification-

a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

b. "Terrorist act" means-

(i) An act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or

² Available on the internet at: <http://www.whitehouse.gov/omb/grants/sfllin.pdf>.

(ii) An act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) Any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

4. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER (OCT 2003)

(a) Applicant/recipient identification is essential for complying with reporting requirements. Therefore, the applicant/recipient is requested to enter, in the space provided below, the Data Universal Numbering System (DUNS) number or "DUNS+4" that identifies the applicant's/recipient's name and address exactly as stated in the application (proposal). The DUNS number is a nine-digit number assigned by Dun and Bradstreet, Inc. The DUNS+4 is the DUNS number plus a 4-character suffix that may be assigned at the discretion of the applicant/recipient to establish additional Central Contractor Registration (CCR) records for identifying alternative Electronic Funds Transfer (EFT) accounts for the same parent concern.

(b) If the applicant/recipient does not have a DUNS number, it should contact Dun and Bradstreet directly to obtain one.

(1) An applicant may obtain a DUNS number—

- (i) If located within the United States, by calling Dun and Bradstreet at 1-866-705-5711 or via the Internet at <http://www.dnb.com>; or
- (ii) If located outside the United States, by contacting the local Dun and Bradstreet office. The location and contact information of the local Dun and Bradstreet office may be found on the Internet at <http://www.dnb.com>.

(2) The applicant/recipient should be prepared to provide the following information:

- (i) Organization legal business name.
- (ii) Tradestyle, doing business, or other name by which the applicant's/recipient's entity is commonly recognized.
- (iii) Organization physical street address, city, state, and Zip Code.
- (iv) Organization mailing address, city, state, and Zip Code (if separate from physical).
- (v) Organization telephone number.
- (vi) Date the organization was started.
- (vii) Number of employees at location in (iii) above.
- (viii) Chief executive officer/key manager.
- (ix) Line of business (industry).
- (x) Organization Headquarters name and address (reporting relationship within the applicant's/recipient's entity).

(c) DUNS Number: _____

5. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the applicant/recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the applicant's/recipient's TIN:

TIN: _____

6. LETTER OF CREDIT (LOC) NUMBER

If the applicant/recipient has an existing Letter of Credit (LOC) for payment purposes, please indicate the LOC number:

LOC: _____

7. BANKING INFORMATION

If the applicant/recipient has not had a USAID award before, please attach banking information to which payments will be made. Such information should include, at a minimum, bank name, bank address, ABA number, and account number. Unless payment is by Letter of Credit, USAID will make payments via electronic funds transfer. However, USAID's system provides for electronic funds transfers to U.S. banks only. Therefore, if the applicant/recipient is a non-U.S. organization, the applicant/recipient must provide the name and banking information for a U.S. bank that will receive funds on its behalf.

8. POINT(S) OF CONTACT

Please enter the information below for the applicant's/recipient's authorized point(s) of contact:

<u>Name</u>	<u>Title</u>	<u>Telephone No.</u>	<u>Fax No.</u>	<u>E-Mail Address</u>
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

9. SIGNATURE

By signature hereon, or on an application/proposal incorporating these Certifications, Assurances, and Other Statements of Applicant/Recipient, the applicant/recipient represents that: (a) they are accurate, current and complete; (b) the person signing below is authorized to sign on behalf of the applicant/recipient; and (c) the applicant/recipient is aware of the penalty prescribed in 18 U.S.C. 1001 for making false statements in applications/proposals.

Solicitation No. (If Applicable) _____

Application/Proposal Title _____

Application/Proposal No. (If Applicable) _____

Date of Application/Proposal _____

Name of Applicant/Recipient _____

Typed or Printed Name and Title _____

Signature _____ Date _____