

Before You Receive Your Award

This section provides information on the paperwork required to activate your award or apply for an opportunity.

Institutional Data Form

Note: Please contact a financial manager or administrator at your institution if you need information related to financial controls, audits, executive/management reporting and past performance.

To comply with various regulations, institutions are required to complete the Institutional Data Form. CRDF Global cannot activate your award or provide funding without this form. This form will collect your institution's DUNS number, information on financial controls and audits, past performance, and information related to executive or management reporting requirements. After completing and signing the form, please return it along with a copy of any recent organizational audit.

Obtaining a DUNS Number

The Institutional Data Form will ask you to enter your institution's DUNS number. The Data Universal Number System (DUNS) is a database of organizations that do business with the U.S. Government or receive U.S. Government funding. **You are required to provide a DUNS number in order to receive an award of U.S. Federal Funding from CRDF Global.** If your organization does not know its DUNS number or needs to register for one, visit the Dun & Bradstreet website to register for free or search for a DUNS number: <http://fedgov.dnb.com/webform/displayHomePage.do>.

Instructions for applying for a DUNS number for non-US entities:

1. Click on the link: <http://fedgov.dnb.com/webform/displayHomePage.do>, and choose "Begin DUNS Search/Request Process".
2. Choose the country where your institution is located.
3. Enter the name of your institution.
4. If you find that your institution has a DUNS number, click on "Request your existing DUNS Number".
5. If you do not find your institution listed, please click "Request a NEW DUNS number" in the bottom of the screen and fill out the financial information requested. You may have to ask your financial department or accountant for information.
6. You should receive a DUNS number for your institution shortly. If you do not, please email ccrhelp@dnb.com.

Financial Controls, Audits, & Bioethics

A financial manager or administrator will be able to provide this information. If you have a recent audit on file, please send a copy with your completed and signed form. Material or significant findings would be listed in the audit report. They can be defined as issues indicating significant errors or risks in the organizations's financial information or internal controls.

Executive and Management Reporting

If you do not meet an exemption, you are required to provide the names and total compensation of the five most highly compensated executives or managers at your organization. If any of the following statements are true, please CHECK the box marked EXEMPT.

1. In the previous tax year, institutional gross income from all sources was LESS than \$300,000.
2. The institution received LESS than 80 percent of its annual gross revenues in U.S. federal funding (Contracts, Grants, Subgrants, Subcontracts or Loans).
3. The institution received LESS than \$25,000,000 in annual gross revenues from U.S. federal funding sources (Contracts, Grants, Subgrants, Subcontracts or Loans).
4. Executive compensation is publicly reported under section 13(a) or 15(d) of the Security Exchange Act or section 6104 of the Internal Revenue Code.

Past Performance

Please list recent examples of grants or contracts you received from other organizations. List the name of the organization, total funding, and type of project. Finally, check if you successfully completed the grant or contract. Successful completion is defined as zero suspensions or terminations for cause, material audit findings or other discrepancies.

Executive and Management Reporting Requirements (FFATA Reporting)

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.

CRDF Global may also 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; 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.

Award Agreement

If you have been selected to receive funding, when the pre-award process is complete you will receive an award agreement for signature. Please do not begin working on your project or incurring costs for the project until the agreement is active.

Unless you have received an individual award (e.g. a travel grant or fellowship), the award agreement should be signed by an authorized official at your institution. Once you or your institution has signed the agreement, CRDF Global will countersign it and return it to you, thus activating the award.

Your agreement is the most important document you will receive from CRDF Global. It details the terms, conditions and requirements of your award. Please read the agreement fully before signing.

The award agreement is divided into the following sections:

Section	Description
Cover Sheet	Basic award data, contact information, funding source information
Basic Grant Agreement	Terms and conditions for all CRDF Global awards
Payment Terms & Conditions	Rules governing financial transfers and reimbursement of expenses
Standard Provisions	Terms and conditions required by specific funders of CRDF Global
Special Conditions & Exceptions	Terms and conditions specific to your award

Key Terms and Conditions

In this section we will provide a summary the most important standard terms and conditions of your agreement:

1. **Agreement Period:** The agreement period is shown on the Cover Sheet. During this period your award is active and you can incur expenses. Unless the award has been extended or it has been approved by CRDF Global in writing, please do not incur any expenses before or after this period.
2. **Reporting Requirements:** This term requires you to submit progress reports to CRDF Global according to your reporting schedule. You are also required to submit a final technical and financial report within 30 days of the expiration of the award. Please check your Statement of Objectives, Statement of Work or the Special Conditions & Exceptions section of your award agreement for your reporting schedule.
3. **Records, Audit and Access:** Financial and other records related to the award must be kept for a period of not less than three (3) years from the expiration date of the award. At any time during or after the award period or closeout, CRDF Global reserves the right (for itself and/or its representatives) to conduct limited-scope audits of the award and award expenditures.

Organizations that meet the single audit threshold found in 2 CFR 200 are required to provide documentation of compliance with this requirement.

4. **Conflict of Interest:** This term requires you to immediately disclose any family or other personal relationships, a business or financial interest, or any other relationship, interest or activity that may create a conflict of interest.

The key to managing conflict of interest is disclosure. Disclose promptly to CRDF Global any close family relationship or interest that may constitute or create a conflict of interest or the appearance of a conflict of interest.

Examples of potential conflicts of interest:

- You would like to purchase equipment from a company that is owned by a project participant's brother.
- You would like to employ your son or other family member on a project.

CRDF Global will work with you to properly manage a conflict of interest or the appearance of a conflict of interest.

5. Notification of Certain Events: You are required to notify CRDF Global of any technical or financial issues during the course of the project, or if any of the following specific events occur:

- Any significant change in scope or methodology
- Any significant or major findings, breakthroughs, or events of unusual interest
- Any problems, delays or adverse conditions that will materially affect the project
- Any changes in project personnel or their level of effort
- Any absence of a Principal Investigator for a period longer than thirty (30) days
- Any change in you or your institution's contact information or location
- Any budget reallocation that exceeds \$500

All changes in personnel, budget and/or project objectives or scope are subject to approval by CRDF Global or its funders.

6. Publications: The publication clause specifies the language to use in any publication of materials or research results generated under your award. It may also require that you receive prior approval for any publication or using any logo, seal or name on any published materials. Please check the Standard Provisions or Special Conditions & Exceptions for your award to see if there is a specific publications clause.

7. Eligible Costs: Please refer to the section of our website entitled Information for Applications/Budgeting and Allowable Expenses for information on the allowability of certain costs in your budget.