**Grant Application Form**

**Note: All grant applications must be submitted in English. Also, the organization(s) awarded small grants must submit all deliverables, invoices, etc. in English.**

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| ***SECTION A*** | | | | ***Applicant Information*** | | | | | | | | | | | | | |
| **1. Name of Applicant**  **Organization** | | | | | University of Michigan – School of Natural Resources and Environment (SNRE) | | | | | **2. Date of Application** | | | | | | | May 6, 2013 |
| **3. Address of Applicant Organization** | | | | | 4032 Dana Building  440 Church Street  Ann Arbor, MI 48109  [www.umich.edu/~ifri](http://www.umich.edu/~ifri) | | | | | | | | | | | | |
| **4. Contact Person:** *This should be someone who has full authority and responsibility to act on behalf of the organization and who will be directly involved with the grant activity.* | | | | | | | | | | | | | | | | | |
| a. Name: | | | | | Dr. Arun Agrawal | | | | b. Email Address: | | | | | arunagra@umich.edu | | | |
| c. Title | | | | | Professor, SNRE | | | | d. Phone Number: | | | | | Phone: (734) 647-5948 | | | |
| **5. Alternate Contact Person:** *This should be someone who has full authority and responsibility to act on behalf of the organization and who will be directly involved with the grant activity.* | | | | | | | | | | | | | | | | | |
| a. Name: | | | | | Dr. Heather McGee | | | | b. Email Address: | | | | | hlarue@umich.edu | | | |
| c. Title | | | | | Research Fellow, SNRE | | | | d. Phone Number: | | | | | (734) 945-1269 | | | |
| **6. Data Universal Numbering Systems (DUNS) Number** if *US-based organization*: | | | | | | | |  | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | |
| **SECTION B** | | | | ***Grant Proposal*** | | | | | | | | | | | | | |
| 1. **Program Description.** *Please describe in detail the program of activities proposed by the applicant. The program description must be results-oriented. What will be achieved at the end of the grant period? Description should also include objectives, tasks to be undertaken, proposed geographic setting, and relevance of the project to this grant program’s objectives. The program description should explicitly address the evaluation criteria described in the solicitation and in the cover letter to the applicant. The Program Description should be no longer than six (6) pages, single-spaced.*   **PROGRAM DESCRIPTION**  *Water Demand Management for Improved Adaptation by Small Farmers in Semi-Arid India*  **Objectives:**  Persistent and widespread vulnerability characterizes the lives and livelihoods of millions of households in arid and semi-arid lands in sub-Saharan Africa and South Asia. Improved knowledge on how adaptation can secure resilient and sustainable development is needed urgently because of continuing inaction on emissions reduction and the rising likelihood that climate change is already affecting social and ecological systems. In particular, better knowledge about how to ensure improvements in the livelihoods of vulnerable households and communities in marginal contexts without adversely affecting ecosystems is one of the most important challenges confronting development researchers and decision makers. The proposed Climate Change Resilient Development research project represents a rigorous and innovative evaluation study to address this challenge. The study will focus on water demand management in the semi-arid region of Rajasthan in India to improve adaptation to climate change and variability. Its results are replicable and applicable across semi-arid and arid lands where USAID works, including South Asia and sub-Saharan Africa.  The project is the joint effort of research investigators at the “School of Natural Resources and Environment (SNRE)” at the University of Michigan and our field partner in India, the “Foundation for Ecological Security (FES).” FES is implementing a large scale Watershed Development Project in more than 100,000 Ha., supported by India’s National Bank for Agriculture and Rural Development (NABARD). As part of the implementation of this project, SNRE researchers and FES will work together to determine the impact of the water demand management component of the larger watershed development project. The goal is to improve climate-resilient livelihood outcomes for poor households and communities in rain-fed regions of India and to use the findings from the project to assess the impact of water demand management in watershed development projects.  The watershed development project supports local user groups to use seasonal climate forecasts, crop water budgeting, affordable water-saving technologies and techniques for monitoring water levels to influence crop choices and adaptive planning processes regarding water demand management. We will utilize a randomized control trial (RCT) design to assess the impact of the project’s water demand management component, viewing it as a climate change adaptation strategy. As part of our joint work with FES, we will work in a subset of villages involved in the Watershed Development Project to examine the extent to which the project affects the following outcomes of interest among poor households and communities:   * Improvement of livelihoods * Increased food security * Enhanced adaptive capacity * Reductions in water use * Higher local capacity for water management   **Approach and geographic setting:**  The Foundation for Ecological Security (FES) is an Indian NGO working to strengthen rural institutions and natural resource governance for improved livelihood outcomes. From 2013 - 16, FES will collaborate with India’s National Bank for Agriculture and Rural Development (NABARD) on the second phase of a Watershed Development Project in semi-arid, rainfed regions of India.  As part of the Watershed Development Project, FES will implement a water demand management intervention that aims to build on the larger premise of water as a common pool resource and to strengthen collective action for governance and judicious usage of water. Water is a contested resource with access being largely determined by land location and access to technology. The intervention seeks to craft and strengthen institutional arrangements around different surface water bodies and groundwater by improving understanding of how individual and group decisions affect the resource usage and users’ ability to adapt to climate and resource variability.  The water demand management intervention involves the development of models of historical trends and future water availability projections with communities to understand the factors and threats impacting water availability (especially groundwater). Models of system dynamics and experimental games will be used to build dialogue and discussions around water use and how information and collective action can help improve water use. Based on assessments regarding water availability and crop choices, crop water budgeting exercises will be undertaken with community members to arrive at optimal water usage plans. To promote water use efficiency and productivity, interventions - such as drip, sprinkler, and diversion based irrigation systems - will be promoted with a focus on using technology to improve water usage for agriculture. Simultaneously, the project will encourage crop planning based on awareness and demonstration of crop varieties which require less water and provide better yields.  The evaluation of the water demand management intervention will be undertaken in the semi-arid regions of Rajasthan, including the districts of Bhilwara and Pratapgarh. The central district of Bhilwara is characterized by undulating terrain and mixed farming systems. The southern hilly district of Pratapgarh is defined by a tribal population and subsistence farming. Intersected by the Aravalli and Vindyan mountain ranges, both of these districts face regular droughts with high variation in annual and intra annual rainfalls.  To ensure the development of a rigorous evaluation, the research study will be developed and managed by research investigators at the University of Michigan. The three University of Michigan researchers involved in the study – a faculty member (Arun Agrawal), a postdoctoral fellow (Heather McGee), and a graduate student (James Erbaugh) – have extensive research experience related to rural development, water management, or both. Arun Agrawal will serve as the project leader and will be responsible for the overall coordination of the research study. In coordination with FES, Heather McGee and James Erbaugh will be in charge of the field implementation of research efforts and data analysis.  **Research methodology:**  The research project will utilize a randomized control trial (RCT) research design. The research team will rigorously assess the impact of the water demand management component by conducting a randomized roll-out of the water management intervention in two phases. A subset of 100 settlements involved in the Watershed Development Project in Rajasthan will be divided into a treatment and a control group. During the first year of the program, the 50 villages in the treatment group will receive the water management intervention while the 50 control villages will serve as a valid counterfactual for estimating the effect of the intervention.  Data will be collected on outcomes of interest in the 100 treatment and control villages before the treatment (baseline), one year after the start of the treatment (mid-point), and three years after the administration of the treatment (end-line). Thus, the CCRD grant would be used to support the baseline and mid-point data collection. Moreover, through funding from the Hindustan Unilever Foundation, FES will undertake part of the data collection effort. Indeed, the evaluation findings are of substantial interest to FES so as to improve the implementation of their subsequent watershed development projects.    Within the 100 treatment and control areas, we will collect data from up to 60 households per settlement depending on settlement size. Regarding the data collection instruments, the research team will adapt, pre-test and administer existing household and community climate adaptation and watershed survey documents. These surveys will be designed to ensure data collection on the five primary outcomes of interest: (1) changes in livelihoods, (2) food security, (3) adaptive capacity, (4) water use, and (5) local capacity for water management. Vulnerability assessments will be derived from the household and community survey instruments. Depending on budget and time considerations, we aim to utilize both conventional survey approaches and innovative approaches based on mobile and tablet devices to collect data.  The integrated database resulting from our research efforts will house data on climate risks, social vulnerability, household and community endowments, institutional arrangements, adaptation strategies, and livelihood and resilience outcomes. The analysis of these data in consultation with decision makers and with community feedback will help us determine critical areas of causal relationships between risks and adaptation choices. In identifying adaptation choices, we will attend in particular to risk-coping mechanisms such as diversification, storage, communal pooling, and mobility and a combination of risk-coping methods as also on how their adoption is stratified by gender, caste, and class. Given the well-known spatial and temporal unpredictability of climate (temperature and precipitation) in the region, we will have a strong ability to detect how livelihood practices and adaptation strategies of selected households and communities change from baseline through the third year. Although we anticipate preliminary effects at the end of the first year, we do not expect to see evidence of the full treatment impact until the year three end-line data collection.  **Relevance to CCRD’s approach:**  The overarching **development goal** that the evaluation findings seek to help achieve is improving farm-based livelihoods in rain-fed regions. Rain-fed agriculture and mixed farming systems are the dominant form of crop production in semi-arid and dry regions the world over. **Stresses** related to climate variability increase the vulnerability of small farmers in dry areas because of unpredictability of rainfall in time and space, and by exacerbating natural resource degradation. Other stresses include reduced soil fertility, depleted water tables, and low moisture regimes. The key **intervention** of interest for our project – effective water management – can help maintain and even increase, crop yields and incomes, and thereby enhance farm-based livelihoods.  Similar to many developing countries, the livelihoods of millions of India’s rural population are heavily dependent on successful adaption to climate variability. The FES intervention seeks to increase awareness of village communities of their water resources and to assist them in crafting appropriate management systems and adaption strategies for water management. As such, the water demand management intervention provides an opportunity to (1) improve agricultural output by reducing water stress and improving the flows of nutrients and sediments and (2) to build capacity for successful and sustainable adaption to climate variability. By reducing the vulnerability of crop and livestock production to droughts and improving surface water availability, the intervention is expected to help maintain crop productivity and improve fodder production for animals.  In terms of CCRD’s mainstreaming approach, this research study pertains to the evaluation and adjustment phase of addressing climate vulnerabilities. The evaluation will monitor and assess the adaptation strategy under consideration to help provide evidence about adjusting and/or scaling up the intervention. The information generated during the course of the evaluation will be fed back to the FES and local stakeholders in order to improve the future design and implementation of water management projects. The analysis and knowledge products delivered through this project will be of general relevance to watershed management interventions in other dry and semi-arid regions as well.  **Gender considerations:**  Women and marginalized households with lower incomes have fewer opportunities than other social groups in terms of their access to resources and institutions and have shown limited adaptive capacities to environmental shocks. In arid and semi-arid lands, changes in climate pose increased difficulties in access to resources, especially fodder, fuel wood and water, with consequent increase in workload of women and children.  The research will collect gender disaggregated information to uncover the relative vulnerability, risk and social context of women and marginalized households in the study areas. All data collection and analysis, and activities related to the projects will be carried out with an explicit emphasis on incorporating vulnerability profiles of women, women headed households, and women belonging to socially disadvantaged groups. Collected data will be disaggregated by gender and social group to better examine issues of inequality in relation to households risk and coping strategies employed.  **Project Achievements:**  During the grant period, the proposed research project will produce two academic articles and evidence-based vulnerability summaries for publication in high impact journals as well as knowledge products such as policy reports and conference presentations to highlight key findings of our research. The audience includes researchers and policy practitioners working on climate change adaption and development, and those in a position to invest in adaptation strategies (donors, national governments, and development banks). Evidence of the effectiveness of the adaptation intervention will feed into India’s climate change programming and discussions through the U. of Michigan’s field partner - FES. At the regional and international level, findings will be published in scholarly journals and presented at relevant conferences and regional workshops. When liaising with the Indian government, donors and development banks, FES will include research findings in recommendations.  In particular, following baseline data collection and analysis, the research team will will generate a baseline report that includes short vulnerability assessment summaries for each study settlement based on natural resources and household assets. The team will also develop a vulnerability assessment for the study area that is differentiated by caste, gender and class. Furthermore, the research team will draft two academic research papers based on the baseline data analysis. The first paper will investigate how gender, caste and class influence the vulnerability of households. The second paper will examine the climate adaptation choices by farming household and how these choices differ by asset holdings and access to institutions.  Following the second round of data collection and analysis, the research team will generate a policy report demonstrating the preliminary effects of the water demand management project on the outcomes of interest. In particular, the policy report will examine the extent to which the project has an impact on the outcomes of interest among households and communities, differentiated by gender, caste and class.  **Monitoring and Evaluation (M&E)**  To ensure that the research activities and outputs proceed according to our work plan, we will deploy a structured M&E process for continuous learning and improved results. The U. Michigan research team and FES will hold bi-weekly planning and coordination meetings using Skype and telephone calls for updates and problem resolution. To promote efficient management, transparency, and accountability, the research team will create simple questionnaires to track quarterly outputs related to project implementation, field research, data management, data analysis, publications, advocacy, dissemination, and stakeholder engagement. Responses will help assess performance against stated outputs, outcomes and impacts. In particular, we will measure performance against the expected **project achievements** (see above) and the following **performance indicators** described below and in more detail in **Annex 1**.  *Outputs & Outcomes:* (1) Number of people trained in climate change adaptation strategies; (2) Number of days of technical assistance provided; (3) Development of vulnerability summaries, synthesis products and other knowledge products; (4) Two high quality articles in peer-reviewed journals; (5) Development of fully documented datasets; (6) Development of household and community level data collection instruments; (7) Presentations at national and global conferences attended by relevant stakeholders.  **Expected impacts of the project:**  The overarching objective of the water demand management intervention is to improve the capacity of communities and village institutions to adapt to climate change. Furthermore, the evaluation findings are expected to have a direct and immediate impact on programming during the Watershed Development Project because the results comparing treatment to control villages will be used improve the intervention for implementation by FES in the 50 villages that serve as control group during year one. Moreover, the policy and programming recommendations from the study will be shared with India’s National Bank for Agriculture and Rural Development (NABARD). As a result, the intervention and research study have the potential to be scaled up across a much larger number of communities involved in the Watershed Development Project.  Beyond India’s rainfed semi-arid regions, the application of our findings can also help address the dearth of comparative empirical studies of adaptation to support policy interventions. Indeed, the major strength of the evaluation design is the use of a field experiment to provide systematic evidence on the social and economic impact of development assistance on livelihood outcomes. RCTs are viewed as a powerful tool for providing robust evidence regarding program effects and testing causal arguments in order to inform program decisions and justify resource allocations. A large body of literature describes the methodological benefits of using RCTs for impact evaluations (Angrist and Pischke 2010; Banerjee and Duflo 2008; Duflo, Glennerster, and Kremer 2006). As a result, the strong causal identification allowed by our collaborative project will provide credible evidence to policy-makers and development partners about effective water management strategies that promote climate-resilient livelihoods. Thus, other relevant impacts and results of the research include examples of research uptake by decision-makers and stakeholders based on our research findings**,** citations to papers and other scholarship products, and downloads of project documents and papers.    **Conclusion:**  The lack of systematic knowledge, low levels of research-policy interactions, and absence of rigorous evaluations hobble advances in climate adaptation from the household to the national level. Research and evaluations are necessary components of effective development practice, policy, and outcomes. Our implementation of a cutting-edgeimpact evaluation strategy in the context of climate risks and social responses is one of the first such efforts globally. It is guided by an experimental research design, will deliver compelling scientific evidence on the efficacy of a specific adaptation strategy, and the findings have the potential to be generalized to other semi-arid, rain-fed agricultural contexts. The direct involvement of and collaboration with one of the largest non-government organizations in India, Foundation for Ecological Security,” ensures that our research findings will have a substantial likelihood of adoption in FES programs, and more broadly as well since the specific program being targeted in this proposal is one supported by India’s National Bank for Agriculture and Rural Development. By providing practitioners, development actors, households, and donors with new knowledge and clear evidence on “what works, what doesn’t, and under what circumstances” our research will provide a deeper understanding of interventions to inform the design of adaptation programs for better livelihoods and resilience.  The focus of the project is in direct alignment with CCRD and USAID objectives because the study focuses on water management in one of the most water scarce region in the world, one in which climate change is likely to reduce water availability. In addition, the high population density of the study sites means that promising avenues for implementing water demand management in this region may also be useful for other regions with lower population density and therefore lower demand for a given area. Finally, we should note that the involvement of FES and its staff in designing the proposed research, their support in data collection, and their strong interest in our research findings make our project an ideal collaboration between researchers and decision makers. | | | | | | | | | | | | | | | | | |
|  | | **2. CVs/Resumes of key personnel are attached to this Application Form. Attachment C – CVs**  Please find attached the CVs/Resumes of the key personnel for the grant activity. Their relevant experiences and training have been highlighted. | | | | | | | | | | | | | | | |
| 1. **Timeline of Activities** *Please provide an outline of when you expect the various activities envisioned in your Program Description to take place. It should align with the “Schedule of Proposed Deliverables” below.*     **JULY - AUGUST 2013: RESEARCH PREPARATION**  The University of Michigan research team - (Arun Agrawal (Project Leader), Heather McGee (Co-PI), James Erbaugh(Research Assistant) – will work closely with their partner in India – The Foundation for Ecological Security(FES) to develop the randomization methodology, data collection instruments and survey sampling plan. FES will generate a list of 100 settlements for the study area.  **AUGUST - SEPTEMBER 2013: ROUND 1(BASELINE) DATA COLLECTION**  The research team will randomize the settlements into 50 treatment communities and 50 control communities. The Foundation for Ecological Security will collect baseline data from the 100 settlements involved in the study area.  **SEPTEMBER – OCTOBER 2013: ROUND 1(BASELINE) DATA** **ANALYSIS**  The research team will clean, code and analyze the data.  **OCTOBER – NOVEMBER 2013: BASELINE REPORT AND VULNERABILITY ASSESSMENT**  The research team will generate a baseline report and vulnerability assessment based on the results of the ROUND 1 data analysis. In addition to data analysis, the baseline report will include short vulnerability assessment summaries for each study settlement based on natural resources and household assets. The team will also develop a vulnerability assessment for the study area that is differentiated by caste, gender and class.  **SEPTEMBER-FEBRUARY 2014: WATER DEMAND MANAGEMENT IMPLEMENTATION**  The water demand management intervention under evaluation will be implemented by the Foundation for Ecological Security.  **OCTOBER- APRIL 2014: TWO ACADEMIC RESEARCH PAPERS**  The research team will draft two academic research papers based on the data analysis from Round 1. The first paper will investigate how gender, caste and class influence the vulnerability of households. The second paper will examine the climate adaptation choices by farming household and how these choices differ by asset holdings and access to institutions.  **MARCH – APRIL 2014: ROUND 2 DATA COLLECTION**  The Foundation for Ecological Security will collect round two data from the control and treatment settlements involved in the study area.  **APRIL – MAY 2014: ROUND 2 DATA ANALYSIS**  The research team will clean, code and analyze the data.  **MAY – JUNE 2014: POLICY REPORT**  Based on a comparative analysis of Round 1 and Round 2 data, the research team will generate a policy report demonstrating the preliminary effects of the water demand management project on the outcomes of interest. In particular, the policy report will examine the extent to which the project affects the outcomes of interest among poor households and communities, differentiated by gender, caste and class. Theseoutcomes include improvement of livelihoods, Increased food security, enhanced adaptive capacity, reductions in water use, and higher local capacity for water management. | | | | | | | | | | | | | | | | | |
| **4. Schedule of Proposed Deliverables.** *For example: reports, published papers, workshops, case studies etc.* | | | | | | | | | | | | | | | | | |
| **Deliverable** | | | | | | **Description of Content** | | | | | | | | | **Delivered No Later Than** | | |
| Impact Evaluation Plan | | | | | | Detailed research methodology and work plan, randomization plan, and sampling plan | | | | | | | | | **September 1, 2013** | | |
| Data collection instruments | | | | | | Household survey, climate adaptation tool, vulnerability profile assessment | | | | | | | | | **September 1, 2013** | | |
| Development of fully documented datasets | | | | | | Cleaned and coded database with corresponding codebook from Round 1 (BASELINE) data collection | | | | | | | | | **December 1, 2013** | | |
| Baseline report | | | | | | Baseline report generated from Round 1(BASELINE) data analysis, includes short vulnerability assessment summaries for each study settlement based on natural resources and household assets | | | | | | | | | **January 31, 2014** | | |
| Vulnerability assessment report | | | | | | Vulnerability assessment report based on Round 1 (BASELINE) data analysis, summarizing all settlements involved in the study and differentiated by caste, class and gender | | | | | | | | | **January 31, 2014** | | |
| Development of fully documented datasets | | | | | | Cleaned and coded database with corresponding codebook from Round 2 data collection | | | | | | | | | **May 1, 2014** | | |
| Academic paper #1 | | | | | | Investigation of how gender, caste and class influence the vulnerability of households | | | | | | | | | **May 1, 2014** | | |
| Academic paper #2 | | | | | | Examination of the climate adaptation choices by farming household and how these choices differ by asset holdings and access to institutions | | | | | | | | | **May 1, 2014** | | |
| Policy report | | | | | | Comparative analysis of Round 1 and Round 2 data, the research team will generate a policy report demonstrating the preliminary effects of the water demand management project on the outcomes of interest. | | | | | | | | | **July 1, 2014** | | |
| \*\*Additional academic papers\*\*\* | | | | | | Several academic research papers will also be drafted based on a comparative analysis of Round 1 versus Round 2 data. However, given the time period for the grant deliverables, these additional papers will not be completed during the scheduled project. | | | | | | | | |  | | |
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| ***SECTION C*** | | | ***Budget*** | | | | | | | | | | | | | | |
| *Please submit a budget in EXCEL with all costs listed under the following categories. No costs should be labeled as “miscellaneous” – costs listed should be as detailed as possible – and all costs must be directly related to the grant activity. Please refer to the Solicitation for a list of costs that will not be funded.*   |  |  |  | | --- | --- | --- | | **I.** Labor (ex: staff salaries, consultant fees) | | | | *Name/Description of cost* | *Unit (each/ per day/ per month etc.)* | *Amount* | | *Name/Description of cost* | *Unit (each/ per day/ per month etc.)* | *Amount* | | *Name/Description of cost* | *Unit (each/ per day/ per month etc.)* | *Amount* | | **II.** Travel (ex: plane tickets, ground transportation, visas, hotel) | | | | *Name/Description of cost* | *Unit (each/ per day/ per month etc.)* | *Amount* | | *Name/Description of cost* | *Unit (each/ per day/ per month etc.)* | *Amount* | | *Name/Description of cost* | *Unit (each/ per day/ per month etc.)* | *Amount* | | **III.** Communications/Administrative (ex: photocopies, film, Fedex fees) | | | | *Name/Description of cost* | *Unit (each/ per day/ per month etc.)* | *Amount* | | *Name/Description of cost* | *Unit (each/ per day/ per month etc.)* | *Amount* | | *Name/Description of cost* | *Unit (each/ per day/ per month etc.)* | *Amount* | | **IV.** Equipment (non-office supply materials) | | | | *Name/Description of cost* | *Unit (each/ per day/ per month etc.)* | *Amount* | | *Name/Description of cost* | *Unit (each/ per day/ per month etc.)* | *Amount* | | *Name/Description of cost* | *Unit (each/ per day/ per month etc.)* | *Amount* | | **V.** Conference/Workshop Fees | | | | *Name/Description of cost* | *Unit (each/ per day/ per month etc.)* | *Amount* | | *Name/Description of cost* | *Unit (each/ per day/ per month etc.)* | *Amount* | | *Name/Description of cost* | *Unit (each/ per day/ per month etc.)* | *Amount* |   *Non-US Applicants: Budget must be in local currency. The total of the budget should also be shown in US Dollars with the exchange rate documented*  *US Applicants: Budget must be in US Dollars. If there is any currency conversion, this should be noted and the exchange rate documented.* | | | | | | | | | | | | | | | | | |
|  | ***Budget has been attached to this application form. (Label as “Attachment D – Program Budget”)*** | | | | | | | | | | | | | | | | |
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| ***SECTION D*** | | | ***Certifications*** | | | | | | | | | | | | | | |
| **1.** | **Certification Regarding Terrorist Financing Implementing Executive Order 13224** | | | | | | | | | | | | | | | | |
| By signing and submitting this application, the prospective recipient provides the certification set out below:  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.  The following steps may enable the Recipient to comply with its obligations under paragraph 1:  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.   1. 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, Osama 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>. 2. 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. 3. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activities 4. For purposes of this Certification 5. “Material support and resources” means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safe-houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.” 6. “Terrorist act” means- 7. 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 8. An act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or 9. 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. 10. “Entity” means a partnership, association, corporation, or other organization, group or subgroup. 11. 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. 12. 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. | | | | | | | | | | | | | | | | | |
| **Signature of Authorized Representative:** | | | | | | |  | | | | **Title:** |  | | | | | |
| **Printed Name:** | | | | | | |  | | | | **Date Signed** | | | | |  | |
| **2.** | **RECIPIENT CERTIFICATION OF COMPLIANCE** | | | | | | | | | | | | | | | | |
| I,\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, as a legally authorized  Name Title  representative of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Organization Name  do hereby certify that, to the best of my knowledge and belief, this organization's management and other employees responsible for their implementation are aware of the requirements placed on the organization by OMB Circulars, and Federal and USAID regulations with respect to the management of, among other things, personnel policies (including salaries), travel, indirect costs, and procurement under this agreement and I further certify that the organization is in compliance with those requirements.  I, we, understand that a false, or intentionally misleading, certification could be the cause for possible actions ranging from being found not responsible for this award, termination of award, or suspension or debarment of this organization in accordance with Mandatory Standard Provision for Non-U.S., Nongovernmental Recipients, No. 8 entitled, “Debarment, Suspension, and Other Responsibility Matters.”    I, we, further agree to instruct the accounting firm that this organization retains to perform its annual audits, as required by ADS 591, to include in their review of our internal controls sufficient testing of the implementation of our personnel, travel and procurement policies to confirm compliance with Federal and USAID requirements. The conclusions of that compliance review will be included in the A-133 audit reports or the incurred cost audit reports submitted to the government. *(delete this sentence if non-US organization)* I declare under penalty of perjury that the foregoing is true and correct. | | | | | | | | | | | | | | | | | |
| **Signature of Authorized Representative:** | | | | | | |  | | | | **Title:** | |  | | | | |
| **Printed Name:** | | | | | | |  | | | | **Date Signed** | | | | |  | |
| **3** | **Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally aSsisted Programs** *Only applicable to US organizations and Non-US organizations which have any grant activities that will take place in the United States* | | | | | | | | | | | | | | | | |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(hereinafter called the "Applicant")  (Name of Applicant)  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 AID, and that with respect to the grant 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) AID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.  If the Applicant 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 establishes to the satisfaction of the AID 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 program.  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 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 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, 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. | | | | | | | | | | | | | | | | | |
| **Signature of Authorized Representative:** | | | | | | |  | | | | **Title:** |  | | | | | |
| **Printed Name:** | | | | | | |  | | | | **Date Signed** | | | | |  | |