

**Purpose of This Form:** The purpose of this form is to acknowledge and certify that the supplier is aware of required regulations that pertain to US federal government funds the supplier may receive as part of a proposed award or written contract.

**THE FOLLOWING CERTIFICATIONS ARE REQUIRED IF THE PROPOSED ORDER OR WRITTEN CONTRACT IS (A) \$30,000 OR GREATER AND THE FUNDING SOURCE IS US FEDERAL CONTRACT FA 8702-15-D-0002, OR (B) \$30,000 OR GREATER AND THE FUNDING SOURCE IS THE US FEDERAL GOVERNMENT:**

**1. Conflict of Interest (FAR 9.506 - Procedures for Conflict of Interest).**

The Supplier certifies, to the best of his/her/its knowledge and belief, that except as specified below (i) no employee or officer of the University (or close relative thereof) has a direct or indirect financial interest in the Supplier or in the proposed transaction, (ii) Supplier neither employs, nor is negotiating to employ, any University employee or officer (or close relative thereof), and (iii) Supplier did not participate, directly or indirectly, in the preparation of specifications upon which the quote or offer is made. Further, listed below are the name(s) of any University employee or officer (or close relative thereof) who, to the best of Supplier's knowledge and belief, now or within the preceding 12 months (1) is or has been employed by the Supplier; (2) has an ownership interest in the Supplier (other than as an owner of less than 1% of the equity interests of Supplier, if Supplier is a publicly traded corporation); (3) is a partner, officer, director, trustee or consultant to the Supplier; (4) has received grant, travel, honoraria or other similar support from Supplier; or (5) has a right to receive royalties from the Supplier.

**Information responsive to this certification:**

**2. Debarment, Suspension or Ineligibility for Award (Executive Order 12549).**

The Supplier certifies, to the best of his/her/its knowledge and belief, that:

(1) The Supplier and/or his/her/its principals (as defined by the FAR) are not presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any federal agency; and

(2) The Supplier and his/her/its principals have not, within a three-year period preceding the date of the Purchase Order/Contract, been convicted of or had a civil judgment rendered against it or any of them for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a federal, state or local government contract or subcontract; violation of federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, or receiving stolen property; and are not presently indicted for, or otherwise criminally or civilly charged by a government entity with commission of any of these offenses.

**THE FOLLOWING CERTIFICATION IS ALSO REQUIRED IF THE PROPOSED ORDER OR WRITTEN CONTRACT IS \$150,000 OR GREATER AND THE FUNDING SOURCE IS THE US FEDERAL GOVERNMENT:**

**1. Certification Regarding Payments to Influence Federal Transactions (FAR 52.203-12).**

The Supplier certifies, to the best of his/her/its knowledge and belief, that no 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 on his, her or its behalf in connection with the award of any the proposed order or written contract.

**CERTIFICATION**

The undersigned hereby certifies that he/she/it has read the above CONFLICT OF INTEREST and DEBARMENT/ SUSPENSION OR INELIGIBILITY FOR AWARD provisions and, if applicable, the above CERTIFICATION REGARDING PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS provisions, and that he/she/it understands them and will comply with them as they may be applicable. If the Supplier is an entity, the undersigned further certifies that he or she has the authority to make these certifications on behalf of the Supplier.

Supplier Name: \_\_\_\_\_

*Signature of Supplier Authorized Representative* \_\_\_\_\_ *Name (Printed or Typed)* \_\_\_\_\_ *Date* \_\_\_\_\_

\_\_\_\_\_ *Title* \_\_\_\_\_ *Email Address* \_\_\_\_\_ *Phone Number* \_\_\_\_\_

Supplier Address Line 1: \_\_\_\_\_

Supplier Address Line 2: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

The Supplier will include the language of the above certifications in all subcontract awards at any tier and require that all recipients of subcontract awards in excess of \$30,000 certify and disclose accordingly.

Submission of these certifications and disclosures is a prerequisite for the making or entering into of the Order/Written Contract.

The certifications specified above are a material representation of facts upon which reliance is placed when making an award of the Order/Written Contract. If it is later determined that the Supplier knowingly rendered an erroneous certification, in addition to other remedies available to the US Federal Government and/or and the University, the University may terminate the Order/Written Contract for default.

These certifications concern matters within the jurisdiction of an Agency of the United States and making a false, fictitious, or fraudulent certification may render the Supplier subject to prosecution under Section 1001, Title 18, of the United States Code.

The Supplier shall provide immediate written notice to the University's Buyer for the Order/Written Contract if, at any time during the term of the Order/Written Contract, the Supplier learns that its certification(s) was erroneous when submitted or has become erroneous by reason of changed circumstances. The written notification shall reference the specific Order/ Written Contract that precipitated the notification.

Procurement Services use ONLY  
Date Received: \_\_\_\_\_  
Processor Name: \_\_\_\_\_

Submit completed form to:  
**Procurement Services**  
[procurement-inbox@andrew.cmu.edu](mailto:procurement-inbox@andrew.cmu.edu)