

**Carnegie Mellon University**  
**SUPPLIER CONFLICT OF INTEREST AND**  
**COMPLIANCE CERTIFICATION FORM**

**THE FOLLOWING CERTIFICATIONS ARE REQUIRED IF THIS  
PURCHASE ORDER IS \$25,000 OR GREATER**

**1. Conflict of Interest**

No employee or Officer of Carnegie Mellon University (or close relative), with the exception of the person(s) identified below, has a direct or indirect financial interest in the Supplier or in the proposed transaction. Supplier neither employs, nor is negotiating to employ, any Carnegie Mellon University employee, Officer or close relative, with the exception of the person(s) identified below. Supplier did not participate, directly or indirectly, in the preparation of specifications upon which the quote or offer is made. List below the name(s) of any Carnegie Mellon University employee, Officer or relative who 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 Supplier's stock, 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.

Name: \_\_\_\_\_ Identify Relationship per above (1-5): \_\_\_\_\_

Name: \_\_\_\_\_ Identify Relationship per above (1-5): \_\_\_\_\_

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

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

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

(2) The Supplier has not, within a three-year period preceding this Agreement, been convicted of or had a civil judgment rendered against 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 CERTIFICATIONS ARE REQUIRED IF THIS  
PURCHASE ORDER IS \$100,000 OR GREATER:**

**1. Certification Regarding Payments to Influence Federal Transactions (31 U.S.C. 1352 and FAR Clause 52.203-12).**

The Supplier certifies to the best of 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 or her behalf in connection with the award of any resultant contract.

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**2. Certification Regarding Clean Air Act and Federal Water Pollution Control Acts** (Certification not applicable if Prime contract award was based on solicitation after 25 Feb., 2000)

Section 306 of the Clean Air Act (42 U.S.C. 7606) and Section 508 of the Clean Water Act (33 U.S.C. 1368) prohibit award of a federal contract to any person who has been convicted of various violations under the Acts if the convicted person owns, leases, or supervises the facility at which the violations occurred; and any part of the contract will be performed at the violating facility. The Supplier certifies to the university, to the best of its knowledge and belief, it does not propose to use a facility for the performance of any order under this Agreement that is ineligible for award because the facility is on the Environmental Protection Agency's (EPA) "List of Violating Facilities."

**CERTIFICATION**

The undersigned hereby certifies that he/she has read the above CONFLICT OF INTEREST and DEBARMENT/SUSPENSION status requirements, and the above CERTIFICATION AND DISCLOSURE REGARDING PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTION (APR 1991) and CLEAN AIR ACT and FEDERAL WATER POLLUTION CONTROL ACT requirements and that he/she understands and is, and will, comply with these requirements as they may be applicable. The undersigned further certifies that they have the authority to certify compliance for the Supplier named below.

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

Signature: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

Name Typed: \_\_\_\_\_

Address: \_\_\_\_\_ City/State/Zip: \_\_\_\_\_

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 \$25,000 shall certify and disclose accordingly.

Submission of these certifications and disclosures is a prerequisite for making or entering into this Agreement/Order.

The certifications in this Agreement/Order are a material representation of facts upon which reliance is placed when making an award. If it is later determined that the Supplier knowingly rendered an erroneous certification, in addition to other remedies available to the Government and the University, the Commodity Manager/Buyer may terminate this Agreement/Order 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 Commodity Manager/Buyer if, at any time during the term of this Agreement/Order, 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 or agreement that precipitated the notification.