

ANNUAL REPRESENTATIONS AND CERTIFICATIONS

Offeror (Legal Business Name):							
Unique	Entity	y ID (UEI) [generated at SAM.gov]:					
	North American Industry Classification System (NAICS) Code for this acquisition is (as indicated in the solicitation/request for proposal, if applicable):						
		When performing work or supplying goods to Oak Ridge National Laboratory, operated and managed by UT- Battelle, LLC, you will be rernment funds. You are required to register in <u>SAM</u> (System for Award Management) and to maintain your registration annually.					
small b or 15 o shall (1	usines f the S L) be ¡	er 15 U.S.C. 645(d), any person who misrepresents a firm's status as a small, small disadvantaged, HUBZone small, or women owned as concern in order to obtain a contract to be awarded under the preference programs established pursuant to Sections 8(a), 8(d), 9, small Business Act or any other provision of Federal law that specifically references Section 8(d) for a definition of program eligibility, punished by imposition of a fine, imprisonment, or both; (2) be subject to administrative remedies including suspension and and (3) be ineligible for participation in programs conducted under the authority of the Act.					
The Off	eror re	epresents and certifies as part of its offer that:					
1.	TYP	E OF ORGANIZATION. It operates as the following: (check one)					
		Individual Sole Proprietorship Partnership Educational Institute/Nonprofit Organization Corporation Professional Corporation (licensed professionals such as doctors, lawyers, accountants, etc.) Limited Liability Company State or Local Government Federal Government					
	Org	ganized in the State of					
2.	SM a. b.	ALL BUSINESS. The offeror represents as part of its offer that — It \square is, \square is NOT a small business concern in accordance with 13 CFR 121; or It \square is, \square is NOT a small business joint venture that complies with the requirements of 13 CFR 121.103(h) and 13 CFR 125.8(a) and (b). [The offeror shall enter the name and unique entity identifier of each party to the joint venture:]					
3.	VET a. b.	TERAN-OWNED SMALL BUSINESS. The offeror represents as part of its offer that — It \square is, \square is NOT a veteran-owned small business concern in accordance with 13 CFR 128 and as defined at 38 U.S.C. 101(2). It \square is, \square is NOT a veteran-owned small business joint venture that complies with the requirements of 13 CFR 128.402 (a) through (c). [The offeror shall enter the name and unique entity identifier of each party to the joint venture:					
4.	SER a.	IVICE-DISABLED VETERAN-OWNED SMALL BUSINESS CONCERN. The offeror represents as part of its offer that — It is, is NOT a Small Business Administration (SBA) certified Service-disabled veteran-owned small business concern in accordance with 13 CFR 128 and 38 U.S.C. 101(2), with a disability that is service-connected, as defined in 38 U.S.C. 101(16).					
	b.	It \square is, \square is NOT a SBA Service-disabled veteran-owned small business joint venture that complies with the requirements of 13 CFR 128.402(a) through (c). [The offeror shall enter the name and unique entity identifier of each party to the joint venture:					

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5.		8(a) BUSINESS DEVELOPMENT/SMALL, DISADVANTAGED BUSINESS. The offeror represents as part of its offer that –						
	a. b.		hat complies with the requirements of 13 CFR 124.513(a)					
6.	woı	WOMEN-OWNED SMALL BUSINESS. The offeror represents as part of its	offer that –					
	a.	a. It \square is, \square is NOT a women-owned small business concern in accordan	ce with 13 CFR 127; or					
	b.	 b. It □ is, □ is NOT a women-owned small business joint venture that co (c). [The offeror shall enter the name and unique entity identifier of each of the control of the co	nall business joint venture that complies with the requirements of 13 CFR 127.506(a) through and unique entity identifier of each party to the joint venture:]					
7.	HUB	HUBZONE SMALL BUSINESS. The offeror represents as part of its offer that —						
	a.		It \square is, \square is NOT a HUBZone small business concern in accordance with 13 CFR part 126; or					
	b.	b. It ☐ is, ☐ is NOT a HUBZone small business joint venture that complie [The offeror shall enter the name and unique entity identifier of each						
9.	ANTI-KICKBACK. By submission of this offer, the Offeror certifies that it has not provided, attempted to provide, offered to provide, solicited, accepted, or attempted to accept any kickback; and has not included, directly or indirectly, the amount of any kickback in the offer. "Kickback" means any money, fee, commission, credit, gift, gratuity, thing of value, or compensation of any kind that is provided, directly or indirectly, to any Government prime contractor (e.g., the Company), prime contractor employee, subcontractor at any tier, or employee of a subcontractor at any tier, for the purpose of improperly obtaining or rewarding favorable treatment in connection with a Government prime contract or in connection with a subcontract at any tier relating to a Government prime contract. BUY AMERICAN. (Applicable if offer for supplies exceeds \$10,000. Not applicable to construction subcontracts.) a. Each end product, except those listed in paragraph (b) of this provision, is a domestic end product and that for other than COTS items the Offeror has considered components of unknown origin to have been mined, produced, or manufactured outside the United States. The Offeror shall list as foreign end products those end products manufactured in the United States that do not qualify as domestic end products, i.e., an end product that is not a COTS item and does not meet the component test in paragraph (2) of the definition of "domestic end product." The terms "commercially available off- the-shelf (COTS) item," "component," "domestic end							
	b.	product," "end product," foreign end product," and "United States," are Supplies.b. Foreign End Products: (list all)	e defined in FAR 52.225-1 entitled "Buy American Act –					
	-	Line Item No./Item Description: Country of Original Country Country Country Of Original Country Original	n·					
	C.	By not listing any foreign end products in Section 9(b), Offeror representant any resulting agreement. c. The Company will evaluate offers in accordance with the policies and						

10. CERTIFICATION REGARDING KNOWLEDGE OF CHILD LABOR FOR LISTED END PRODUCTS. (Applicable if offer for supplies exceed \$10,000; except as provided in paragraph (b) of FAR 22.1503.)

- a. Definition. Forced or indentured child labor means all work or service that is
 - i. Extracted from any person under the age of 18 under the menace of any penalty for its nonperformance and for which the worker does not offer himself voluntarily; or

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	ii. Performed by any person under or penalties.	r the age of 18 pursuant to a contract the enforcement of which can be accomplished by process						
b.	Listed End Products. The following end product(s) being acquired under this solicitation is (are) included in the List of Products Requiring Contractor Certification as to Forced or Indentured Child Labor, identified by their country of origin. There is a reasonable basis to believe that listed end products from the listed countries of origin may have been mined, produced, or manufactured by forced or indentured child labor.							
	Listed End Product:	Country of Origin:						
c.	Certification. The Company will not make an award to an offeror unless the offeror, by checking the appropriate block, certifies to either paragraph (c)(i) or paragraph (c)(ii) of this provision.							
		any end product listed in paragraph (b) of this provision that was mined, produced, or ng country as listed for that end product.						
	ii. The offeror MAY supply an end product listed in paragraph (b) of this provision that was mined, produced, or manufactured in the corresponding country as listed for that product. The offeror certifies that it has made a good faith effort to determine whether forced or indentured child labor was used to mine, produce, or manufacture such end product. On the basis of those efforts, the offeror certifies that it is not aware of any such use of child labor.							
EXP	ORT CONTROL.							
a.	The Offeror represents that the items below.	being furnished under any resulting agreement \square are, \square are NOT $\underline{\text{Trigger List Items}}$ as defined						
	DCIOW.							
	Trigger List items are a listing of equip controlled. These items are on the saf	oment, components, or materials especially designed for nuclear applications and are export feguards list of the International Atomic Energy Agency identified above. The regulatory y Commission (10 CFR 110). If the items are Trigger List items, provide the following information:						
	Trigger List items are a listing of equip controlled. These items are on the saf	reguards list of the International Atomic Energy Agency identified above. The regulatory						
	Trigger List items are a listing of equip controlled. These items are on the saf authority is the US Nuclear Regulatory	reguards list of the International Atomic Energy Agency identified above. The regulatory						
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b.	Trigger List items are a listing of equip controlled. These items are on the saf authority is the US Nuclear Regulatory Manufacturer's Name Description of Item Commodity Category	reguards list of the International Atomic Energy Agency identified above. The regulatory						
b.	Trigger List items are a listing of equip controlled. These items are on the saf authority is the US Nuclear Regulatory Manufacturer's Name Description of Item Commodity Category The Offeror represents that the items defined below. Military/Space Items are specially designed.	reguards list of the International Atomic Energy Agency identified above. The regulatory of Commission (10 CFR 110). If the items are Trigger List items, provide the following information: being furnished under any resulting agreement are, are NOT Military/Space Items as signed, fabricated and configured for military and space applications as listed on the United Department of State. If the items are Military/Space						
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11.

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12.	services or construction, and (c) exceeds \$3 E-Verify is not applicable based on paragory It is currently enrolled in E-Verify and w	E-VERIFY). (Applicable if (a) any of the work will be performed in the U.S., (b) the offer includes 4,000. – Check one.) graph (e) of <u>FAR 52.222-54</u> Employment Eligibility Verification. ill include <u>FAR 52.222-54</u> in applicable lower-tier subcontracts. ar days of subcontract award and will include <u>FAR 52.222-54</u> in applicable lower-tier			
L3.	COMPLIANCE WITH EMPLOYMENT LAWS The Offeror (i) agrees that its compliance with applicable Federal anti-discrimination laws is material to payment decisions and (ii) certifies that it does not operate any programs that violate any applicable Federal anti-discrimination laws.				
14.	contracts by any Federal ag (B)	s knowledge and believe, that: ncipals: ly debarred, suspended, proposed for debarment, or declared ineligible for the award of			
	finally determined the liability, the lia ii. The taxpayer is de	If if there is a pending administrative or judicial challenge. In the case of a judicial challenge to ability is not finally determined until all judicial appeal rights have been exhausted. Ilinquent in making payment. A taxpayer is delinquent of the taxpayer has failed to pay the tax payment was due and required. A taxpayer is not delinquent in a case where enforced uded.			
	The Offeror \square has, \square has NOT, with any Federal agency.	in a three-year period preceding this offer, had one or more contracts terminated for default by			
	or supervisory responsibilities withir segment; and similar positions). THIS CERTIFICATION CONCERNS A M	ertification, means officer; director; owner; partner; or a person having primary management a business entity (e.g., general manager; plant manager; head of a division or business ATTER WITHIN THE JURISDICTION OF AN AGENCY OF THE UNITED STATES AND THE MAKING OF THE UNITED STATES AND THE MAKER SUBJECT TO PROSECUTION UNDER SECTION 1001.			

- TITLE 18, UNITED STATES CODE.

 b. The Offeror shall provide immediate written notice to the Company if, at any time prior to subcontract award, the Offeror learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- c. A certification that any of the items in paragraph (a) of this provision exists will not necessarily result in withholding of an award under this solicitation. However, the certification will be considered in connection with a determination of the Offeror's responsibility. Failure of the Offeror to furnish a certification or provide such additional information as requested by the Company may render the Offeror non-responsible.
- d. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required by paragraph (a) of this provision. The knowledge and information of an Offeror is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- e. The certification in paragraph (a) of this provision is a material representation of fact upon which reliance was placed when making award. If it is later determined that the Offeror knowingly rendered an erroneous certification, in addition to other remedies available to the Company, the Company may terminate the subcontract resulting from this solicitation for default.

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f. Subcontractors must flow down <u>FAR 52.209-6</u> Protecting the Government's Interest When Subcontracting with Contractors Debarred, Suspended, or Proposed for Debarment (Aug 2013) to sub-tiers if the value of any subcontract exceeds \$30,000 and is not for commercially available off the shelf items.

15. CERTIFICATION AND DISCLOSURE REGARDING PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS. (Applicable if offer exceeds \$150,000.)

- a. *Definitions*. As used in this provision "Lobbying contact" has the meaning provided at 2 U.S.C. 1602(8). The terms "agency," "influencing or attempting to influence," "officer or employee of an agency," "person," "reasonable compensation," and "regularly employed" are defined in the FAR clause of this solicitation entitled "Limitation of Payments to Influence Certain Federal Transactions" (52.203-12).
- b. *Prohibition.* The prohibition and exceptions contained in the FAR clause of this solicitation entitled "Limitation on Payments to Influence Certain Federal Transactions" (52.203-12) are hereby incorporated by reference in this provision.
- c. Certification. The Offeror, by signing its offer, hereby 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 any employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on its behalf in connection with the awarding of this subcontract.
- d. *Disclosure*. If any registrants under the Lobbying Disclosure Act of 1995 have made a lobbying contact on behalf of the Offeror with respect to this subcontract, the Offeror shall complete and submit, with its offer, OMB Standard Form LLL, Disclosure of Lobbying Activities, to provide the name of the registrants. The Offeror need not report regularly employed officers or employees of the Offeror to whom payments of reasonable compensation were made.
- e. *Penalty*. Submission of this certification and disclosure is a prerequisite for making or entering into this subcontract imposed by <u>31 U.S.C. 1352</u>. Any person who makes an expenditure prohibited under this provision or who fails to file or amend the disclosure required to be filed or amended by this provision, shall be subject to civil penalties as provided for by <u>31 U.S.C. 1352</u>. An imposition of a civil penalty does not prevent the Company from seeking any other remedy that may be applicable.
- 16. COMPLIANCE WITH VETERANS EMPLOYMENT REPORTING REQUIREMENTS. (Applicable if offer exceeds \$150,000.)

 By submission of its offer, the offeror represents that, if it is subject to the reporting requirements of 28 U.S.C. 4212(d) (i.e., if it has any contract containing Federal Acquisition Regulation clause 52.222-37, Employment Reports on Veterans), it has submitted the most recent VETS-100A Report required by that clause.
- 17. COMPLIANCE WITH COMBATING TRAFFICKING IN PERSONS REQUIREMENTS. (Applicable only if any portion of the offer exceeds \$550,000 and is for supplies, other than COTS, acquired outside the U.S., or for services to be performed outside the U.S.)
 Per FAR clause 52.222-50, Combating Trafficking in Persons, by submission of its offer, the offeror certifies that it shall submit, prior to award and annually thereafter, a certification, as specified in section (c) of FAR clause 52.222-56, Certification Regarding Trafficking in Persons Compliance Plan.

18. PROHIBITION ON CONTRACTING FOR CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT (FAR 52.204-25)

The offeror represents that items being furnished or being used under any subsequent agreement \square are NOT prohibited covered telecommunication equipment or services and/or video surveillance services or equipment as defined below.

a. Definitions. As used in this clause—

Backhaul means intermediate links between the core network, or backbone network, and the small subnetworks at the edge of the network (e.g., connecting cell phones/towers to the core telephone network). Backhaul can be wireless (e.g., microwave) or wired (e.g., fiber optic, coaxial cable, Ethernet).

Covered foreign country means The People's Republic of China.

Covered telecommunications equipment or services means-

- (1) Telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities);
- (2) For the purpose of public safety, security of Government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities);
- (3) Telecommunications or video surveillance services provided by such entities or using such equipment; or

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(4) Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country.

Critical technology means-

- (1) Defense articles or defense services included on the United States Munitions List set forth in the International Traffic in Arms Regulations under <u>subchapter M of chapter I of title 22</u>, Code of Federal Regulations;
- (2) Items included on the Commerce Control List set forth in <u>Supplement No. 1 to part 774</u> of the Export Administration Regulations under subchapter C of chapter VII of title 15, Code of Federal Regulations, and controlled
 - i. Pursuant to multilateral regimes, including for reasons relating to national security, chemical and biological weapons proliferation, nuclear nonproliferation, or missile technology; or
 - ii. For reasons relating to regional stability or surreptitious listening;
- (3) Specially designed and prepared nuclear equipment, parts and components, materials, software, and technology covered by part 810 of title 10, Code of Federal Regulations (relating to assistance to foreign atomic energy activities);
- (4) Nuclear facilities, equipment, and material covered by <u>part 110 of title 10</u>, Code of Federal Regulations (relating to export and import of nuclear equipment and material);
- (5) Select agents and toxins covered by <u>part 331 of title 7</u>, Code of Federal Regulations, <u>part 121 of title 9</u> of such Code, or <u>part 73 of title 42</u> of such Code; or
- (6) Emerging and foundational technologies controlled pursuant to section 1758 of the Export Control Reform Act of 2018 (50 U.S.C. 4817).

Interconnection arrangements means arrangements governing the physical connection of two or more networks to allow the use of another's network to hand off traffic where it is ultimately delivered (e.g., connection of a customer of telephone provider A to a customer of telephone company B) or sharing data and other information resources.

Reasonable inquiry means an inquiry designed to uncover any information in the entity's possession about the identity of the producer or provider of covered telecommunications equipment or services used by the entity that excludes the need to include an internal or third-party audit.

Roaming means cellular communications services (e.g., voice, video, data) received from a visited network when unable to connect to the facilities of the home network either because signal coverage is too weak or because traffic is too high.

Substantial or essential component means any component necessary for the proper function or performance of a piece of equipment, system, or service.

b. Prohibition.

- (1) Section 889(a)(1)(A) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Pub. L. 115-232) prohibits the head of an executive agency on or after August 13, 2019, from procuring or obtaining, or extending or renewing a contract to procure or obtain, any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. The Contractor is prohibited from providing to the Government any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system, unless an exception at paragraph (c) of this clause applies or the covered telecommunication equipment or services are covered by a waiver described in FAR 4.2104.
- (2) Section 889(a)(1)(B) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Pub. L. 115-232) prohibits the head of an executive agency on or after August 13, 2020, from entering into a contract, or extending or renewing a contract, with an entity that uses any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system, unless an exception at paragraph (c) of this clause applies or the covered telecommunication equipment or services are covered by a waiver described in FAR 4.2104. This prohibition applies to the use of covered telecommunications equipment or services, regardless of whether that use is in performance of work under a Federal contract.

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19. CONFLICT OF INTEREST CERTIFICATION (Applicable if offer is for services and exceeds \$10,000.)

(a)

- (1) The subcontractor, or consultant, by signing the form in this clause, certifies that, to the best of its knowledge and belief, there are no relevant facts or circumstances that could give rise to an organizational or personal conflict of interest, for the organization or any of its staff, and that the subcontractor, or consultant, has disclosed all such relevant information if such a conflict of interest exists or appears to exist to a reasonable person with knowledge of the relevant facts. Conflicts may arise in the following situations:
 - (i) Unequal access to information. A potential subcontractor, or consultant has access to non-public information through its performance on a government contract.
 - (ii) Biased ground rules. A potential subcontractor, or consultant has worked, in one government contract, or program, on the basic structure or ground rules of another government contract.
 - (iii) Impaired objectivity. A potential subcontractor, or consultant, or member of their immediate family (spouse, parent, or child) has financial or other interests that would impair, or give the appearance of impairing, impartial judgment in the evaluation of UT-Battelle programs, in offering advice or recommendations to UT-Battelle, or in providing technical assistance or other services to recipients of Federal funds as part of its contractual responsibility.
- (2) Offerors must provide the disclosure described above on any actual or potential conflict of interest (or apparent conflict of interest) regardless of their opinion that such a conflict or potential conflict (or apparent conflict of interest) would not impair their objectivity.
- (3) In a case in which an actual or potential conflict (or apparent conflict of interest) is disclosed, the subcontractor or consultant shall also include a description of actions that it proposes to take to avoid, mitigate, or neutralize the actual or potential conflict (or apparent conflict of interest). UT-Battelle will make the final determination in writing whether the proposed or alternative mitigation measures will sufficiently mitigate the conflict.
- (b) The subcontractor or consultant agrees that if an actual or potential conflict of interest (or apparent conflict of interest) is discovered after the award is made, it will make a full disclosure in writing to the procurement officer. This disclosure shall include a description of actions that the subcontractor or consultant has taken or proposes to take to avoid, mitigate, or neutralize the actual or potential conflict (or apparent conflict of interest). UT-Battelle will make the final determination in writing whether the proposed or alternative mitigation measures will sufficiently mitigate the conflict.
- (c) Remedies. UT-Battelle may terminate this contract for convenience, in whole or in part, if it deems such termination necessary to avoid the appearance of a conflict of interest. If the subcontractor or consultant was aware of an actual or potential conflict of interest prior to award or discovered an actual or potential conflict after award and did not disclose or misrepresented relevant information to the procurement officer, UT-Battelle may terminate the contract for default, or pursue such other remedies as may be permitted by law or this contract.
- (d) The subcontractor further agrees to insert in any subcontract or consultant agreement hereunder, provisions that conform substantially to the language of this clause.

Supplier has read each of the provisions presented in this document. By submitting this certification, Supplier attests to the accuracy of the representations and certifications contained herein. Supplier understands that it may be subject to criminal prosecution under Section 1001, Title 18 of the United States Code or civil liability under the False Claims Act if Supplier misrepresents itself in any of these representations or certifications to the Government.

Ву:	Title:
Signature:	Date: