

## Clearance Data Form

### Investigator/Project Director Federal Assurances

#### Certification of Procurement Integrity

(Applicable only if proposal is part of a Federal Procurement and amount proposed or awarded is equal to or in excess of \$100,000)

- 1) I certify, to the best of my knowledge and belief, that I am the employee responsible for the preparation of the proposal submitted herewith and that I have no information concerning a violation or possible violation of subsection 27(a), (b), (d) or (f) of the Office of Federal Procurement Policy Act, as amended (41 U.S.C. 423, hereinafter referred to as "the Act") as implemented in the FAR, occurring during the conduct of this procurement.
- 2) As required by subsection 27(e)(1)(B) of the Act, I further certify that, to the best of my knowledge and belief, each employee and consultant who has participated personally and substantially in the preparation or submission of this offer has certified that he or she is familiar with, and will comply with, the requirements of subsection 27(a) of the Act, as implemented in the FAR, and will report immediately to me any information concerning a violation or possible violation of the Act, as implemented in the FAR, pertaining to this procurement.

This certification concerns a matter within the jurisdiction of an agency of the United States and the making of a false, fictitious, or fraudulent certification may render the maker subject to prosecution under Title 18, United States Code, Section 1001.

#### Certification Regarding Lobbying

(Applicable to any proposal submitted to and/or funded by the Federal Government)

I certify, to the best of my knowledge and belief, that:

- 1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Investigator, to any person for influencing or attempting to influence an officer or employee or any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- 2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or intending 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 in connection with this Federal contract, grant, loan or cooperative agreement, the Investigator shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying," to the University.
- 3) The University shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

## Debarment, Suspension, and Other Responsibility Matters

(Applicable to any proposal submitted to and/or funded by the Federal Government)

I certify, to the best of my knowledge and belief, that:

- 1) I am not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or agency;
- 2) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against me for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- 3) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

### Additional Investigator(s) Project Director(s) Disclosures and Assurances

By signing below and on the Proposal Transmittal Form, I certify that I have read the following statements and those in the Federal Assurances (Page1), and I further certify that the statements contained therein are accurate and truthful to the best of my knowledge and belief:

- 1) The proposed project or relationship with this Sponsor (*check one*)  does or  does not require the disclosure of significant financial interests that present an actual, potential, or potentially perceived conflict of interest for investigators involved in this project; if answered in the affirmative, then all investigators so involved have provided a complete disclosure of this matter, as instructed by current University policy and/or Federal regulation (see Significant Financial Interest Disclosure Form).
- 2) All investigators have read and understood University of Alaska's conflict of interest policy and regulation and reviewed the University's Significant Financial Interest Disclosure Form, made all financial disclosures required by them, and, prior to the expenditure of any award funds, shall have reached an agreement with the University which provides for conditions or restrictions necessary to manage, reduce, or eliminate disclosed conflicts of interest. Such agreement shall take the form of a Memorandum of Understanding.
- 3) If the proposal submitted herewith is funded and accepted by the University, I will conduct the project in accordance with the terms and conditions of the sponsoring agency and the policies of the University, and I will be fully responsible for meeting the requirements of the award, including providing the proper stewardship of sponsored funds, and submitting all required technical reports and deliverables on a timely basis. I will disclose promptly in writing all inventions to the Intellectual Property & Technology Transfer Office, assign the inventions to the University, and execute all papers necessary to file patent applications on the disclosed inventions and to establish the government's rights, if any, in those inventions, in accordance with University policy and regulation, Federal policy, and contractual terms.

PROPOSAL NUMBER AND/OR PROJECT NAME

TYPED NAME OF PRINCIPAL INVESTIGATOR

SIGNATURE - PRINCIPAL INVESTIGATOR (Original signatures only - a "per" signature is not acceptable.)

DATE

SIGNATURE - ADDITIONAL INVESTIGATOR (S), IF ANY

DATE

SIGNATURE - ADDITIONAL INVESTIGATOR (S), IF ANY

DATE