



United States  
Department of  
Agriculture

December 3, 2002

DDOD-143

Farm and Foreign  
Agricultural  
Services

Farm Service  
Agency

Kansas City  
Commodity Office  
P.O. Box 419205  
Kansas City,  
Missouri  
64141-6205

**NOTICE TO THE TRADE  
FOR DOMESTIC SUPPLIERS**

**CERTIFICATIONS, REPRESENTATIONS,  
AND WARRANTIES  
FOR DOMESTIC COMMODITY PROCUREMENTS**

Enclosed is the Appendix 1, "Certifications, Representations, and Warranties for Domestic Commodity Procurements," which will be effective for contracts made on or after January 1, 2003. This document will supersede any Appendix on file in this office.

All domestic suppliers must complete a new Appendix 1 and submit it to the following address before December 31, 2002:

USDA/Farm Service Agency  
Kansas City Commodity Office  
Dairy & Domestic Operations Division – Stop 8718  
P.O. Box 419205  
Kansas City, MO 64141-6205

Eligible offerors must mark the appropriate announcement(s) in the table provided in paragraph 1 of the Appendix. If there are any questions, please call 816-926-6241 and ask for the appropriate specialist that handles your product.

/s/ George W. Aldaya

George W. Aldaya  
Director

Enclosure

UNITED STATES  
DEPARTMENT OF  
AGRICULTURE

EFFECTIVE: January 1, 2003

KANSAS CITY  
COMMODITY OFFICE  
P.O. BOX 419205  
KANSAS CITY, MO 64141-6205

# APPENDIX 1

## Certifications, Representations, and Warranties for DOMESTIC COMMODITY PROCUREMENTS



# APPENDIX 1

## Certifications, Representations, and Warranties

**These certifications concern matters 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 the United States Code, including Title 18, U.S.C., Section 1001 and Title 15, U.S.C., Section 714m.**

1. The certifications, representations, and warranties listed in this appendix are required for submission of offers. The Kansas City Commodity Office (KCCO) will retain this appendix on file as the offeror's certifications, representations, and warranties for subsequent invitations for offers under the announcement(s) checked in the table below. By submitting an offer under the announcement(s) checked as applicable by the offeror in the table below, the offeror certifies and warrants that the appendix on file with KCCO contains the current status of the offeror. Offerors are responsible for updating this appendix as may be necessary prior to, or with any applicable offer submission by the offeror.

<b>Domestic Announcements</b> (Check <b>U</b> Applicable Announcements)					
<input type="checkbox"/>	<b>BF</b>	Bakery Flour Products	<input type="checkbox"/>	<b>PC</b>	Processed Cereal
<input type="checkbox"/>	<b>CR</b>	Crackers	<input type="checkbox"/>	<b>PP</b>	Peanut Products
<input type="checkbox"/>	<b>CP</b>	Corn Products	<input type="checkbox"/>	<b>RC</b>	Instant Rice Cereal
<input type="checkbox"/>	<b>FC</b>	Fortified Cereal Products	<input type="checkbox"/>	<b>RP</b>	Rice Products
<input type="checkbox"/>	<b>MC</b>	Macaroni and Cheese	<input type="checkbox"/>	<b>VP</b>	Vegetable Oil Products
<input type="checkbox"/>	<b>PA</b>	Pasta Products	<input type="checkbox"/>	<b>WF</b>	Wheat Flour Products

**2. Notice of Requirements for Certification of Nonsegregated Facilities**

By submitting an offer under the announcement(s) indicated in paragraph 1 of this appendix, the offeror shall be deemed to have agreed to the provisions of the "Certification of Nonsegregated Facilities" in Article 31 of USDA-1.

**3. Manufacturer (*Check One*)**

Offeror represents and certifies that it is  is not  a manufacturer.

Manufacturer means a person that owns, operates, or maintains a factory or establishment that produces on the premises the materials, supplies, articles, or equipment required under the contract and of the general character described by the specifications.

**4. Nonmanufacturer (*Check One*)**

Offeror represents and certifies it is  is not  a nonmanufacturer.

Nonmanufacturer means a person that is primarily engaged in the wholesale or retail trade and normally sells the items being supplied to the general public, and will supply the end item of a small business manufacturer or processor made in the United States, or obtain a waiver of such requirement pursuant to 13 C.F.R. 121.406.

**5. Notice of Total Small Business Set-Aside (Applicable if procurement is a Total Small Business Set Aside)**

**A. Definition**

"Small business concern," as used in this clause, means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding on Government contracts, and qualified as a small business under the criteria and size standards in Title 13 CFR 121.

**B. General**

SET-ASIDE ITEM NUMBERS ARE THOSE IN THE 9000-9999 SERIES. Offers received from other than a small business for small business set-aside item numbers will not be considered unless USDA is unsuccessful in contracting for those item numbers under set-aside provisions. In that event, USDA may award the set-aside item numbers to other than small businesses.

**C. Agreement**

A manufacturer or nonmanufacturer submitting an offer in its own name warrants that it will furnish in performing the contract, only small business set-aside end items manufactured or produced by small business concerns inside the United States, its territories and possessions, the Commonwealth of Puerto Rico, or the Trust Territory of the Pacific Islands.

**6. Small Business Concern Representation (*Check One*)**

- A. Offeror represents and certifies as part of its offer that it is  is not  a small business concern as defined in paragraph 5.A. of this appendix.
  
- B. If offeror is a small business concern, manufacturer or nonmanufacturer, it also represents that all  not all  end items to be furnished must be manufactured or produced by a small business concern in the United States, its territories or possessions, the Commonwealth of Puerto Rico, or the Trust Territory of the Pacific Islands.

**7. Small Disadvantaged Business Concern Representation (*Check One*)**

Offeror is  is not  a small disadvantaged business concern as defined in Article 45 of USDA-1.

**8. Women-Owned Small Business Representation (*Check One*)**

Offeror is  is not  a women-owned small business concern as defined in Article 42 of USDA-1.

**9. HUBZone Representation (*Check One*)**

Offeror is  is not  a HUBZone small business concern listed, on the date of this representation, on the List of Qualified HUBZone Small Business Concerns maintained by the Small Business Administration, and no material change in ownership and control, principal place of ownership, or HUBZone employee percentage has occurred since it was certified by the Small Business Administration in accordance with 13 CFR part 126; and

Offeror is  is not  a joint venture that complies with the requirements of 13 CFR part 126, and the representation in the above paragraph of this provision is accurate for the HUBZone small business concern or concerns that are participating in the joint venture. (*The offeror shall enter the name or names of the HUBZone small business concern or concerns that are participating in the joint venture: \_\_\_\_\_.*) The offeror is responsible for each HUBZone small business concern participating in the joint venture submitting a separate copy of the

HUBZone representation.

**10. Veteran-owned Small Business Concern Representation (Check One)**

Offeror is  is not  a veteran-owned small business concern as defined below.

Veteran-owned small business concern means a small business concern:

- (1) Not less than 51 percent of which is owned by one or more veterans (as defined at 38 U.S.C. 101 (2)) or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more veterans; and
- (2) The management and daily business operations of which are controlled by one or more veterans.

**11. Service-disabled Veteran-owned Small Business Concern Representation (Check One)**

Offeror is  is not  a service-disabled veteran-owned small business concern as defined below.

Service-disabled veteran-owned small business concern means a small business concern:

- (1) Not less than 51 percent of which is owned by one or more service-disabled veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans; and
- (2) The management and daily business operations of which are controlled by one or more service-disabled veterans or, in the case of a veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran.
- (3) Service-disabled veteran means a veteran, as defined in 38 U.S.C. 101(2), with a disability that is service connected, as defined in 38 U.S.C. 101 (16)

**12. Contingent Fee Representation (Check One)**

The offeror represents that, except for full-time bona fide employees working solely for the offeror, the offeror:

- A. Has  Has not  employed or retained any person or firm to solicit or obtain this contract;
- B. Has  Has not  paid or agreed to pay to any person or firm employed or retained to solicit or obtain this contract any commission, percentage, brokerage, or other fee contingent upon or resulting from the award of this contract.

**13. Clean Air and Water Certification (Check One)**

Offeror certifies as follows:

- A. Any facility to be used in the performance of this proposed contract is  is not  listed on the Environmental Protection Agency (EPA) List of Violating Facilities;
- B. Offeror must immediately notify the contracting officer, before award, of the receipt of any communication from the Administrator, or a designee of the EPA, indicating that any facility that the offeror proposes to use for the performance of the contract is under consideration to be listed on the EPA List of Violating Facilities;
- C. Offeror must include a certification substantially the same as this certification, including this paragraph, in every nonexempt subcontract. (Article 47 of USDA-1 contains the Clean Air and Water Clause.)

**14. Affirmative Action Compliance (Check One)**

Offeror represents that it:

- A. Has  Has not  developed and has  does not have  on file, at each establishment, affirmative action programs required by the rules and regulations of the Secretary of Labor (Title 41 CFR 60-1 and 60-2);
- B. Has  Has not  previously had contracts subject to the written affirmative action program requirement of the rules and regulations of the Secretary of Labor.

**15. Previous Contracts and Compliance Reports (Check One)**

Offeror represents that it:

- A. Has  Has not  participated in a previous contract or subcontract subject either to the "Equal Opportunity" clause in Article 41 of USDA-1, the clause originally contained in Section 310 of Executive Order No. 10925, or the clause contained in Section 201 of Executive Order No. 11114;
- B. Has  Has not  filed all required compliance reports;
- C. Must obtain representations indicating submission of required compliance reports signed by proposed subcontractors prior to subcontract awards.



**16. Certificate of Independent Price Determination (Check A or B)**

- A.  Offeror certifies that the person submitting this bid, as identified in Section 20, is the person in offeror's organization responsible for determining the prices being offered in this bid and that the signatory has not participated and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) of the "Certificate of Independent Price Determination" in Article 30 of USDA-1;
  
- B.  Offeror certifies that the person submitting this bid, as identified in Section 20, is an authorized agent for ( \_\_\_\_\_ ) and does certify that the principal named above has not participated and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3); and, as agent, has not personally participated and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) of the "Certificate of Independent Price Determination."

**17. Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions**

- A. The definitions and prohibitions contained in the clause "Limitation on Payments to Influence Certain Federal Transactions" in FAR 52.203-12, are hereby incorporated, by reference, in this certification.
  
- B. The offeror, by submitting its offer, hereby certifies to the best of his or her knowledge and belief that:
  - (1) 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 awarding of a contract resulting from this solicitation;
  
  - (2) If any funds, other than federal appropriated funds (including profit or fee received under a covered federal transaction), 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 this solicitation, the offeror must complete and submit, with its offer, "Disclosure of Lobbying Activities" (OMB Standard Form LLL), to the contracting officer;
  
  - (3) The language of this certification must be included in all subcontract awards at any tier and require that all recipients of subcontract awards in excess of \$100,000 shall certify and disclose accordingly.

- C. Submission of this certification and disclosure is a prerequisite for making or entering into this contract imposed by Title 31, U.S.C., Section 1352. Any person who makes an expenditure prohibited under this provision or who fails to file or amend the disclosure form to be filed or amended by this provision, shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000, for each such failure.

**18. Certification Regarding Debarment, Suspension, Proposed Debarment, and Other Responsibility Matters (Check All That Apply)**

- A. The offeror certifies, to the best of his or her knowledge and belief, that:

- (1) The offeror and/or any of its principals:

- (a) Are  Are not  presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any federal agency;
- (b) Have  Have not  within a three-year period preceding this offer, 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 public (federal, state, or local) 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, or receiving stolen property; (c) Are  Are not  presently indicted for, or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses enumerated in Subdivision A(1)(b) of this provision.

- (2) The offeror has  has not  within a three-year period preceding this offer, had one or more contracts terminated for default by any federal agency.

- B. "Principals," for the purpose of this certification means officers, directors, owners, partners, and/or persons having primary management or supervisory responsibilities within a business entity (e.g., general manager, plant manager, head of a subsidiary, division, or business segment, and similar positions).
- C. The offeror must provide immediate written notice to the contracting officer if, at any time prior to contract award, the offeror learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- D. A certification where any items in paragraph A of this provision exists shall not necessarily result in withholding of an award under this solicitation. However, certification shall 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 contracting officer may render the offeror nonresponsive.

- E. 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.
- F. The certification in paragraph A of this provision is a material representation of fact upon which reliance was placed when making the award. If it is later determined that the offeror knowingly rendered an erroneous certification, in addition to other remedies available to the Government, the contracting officer may terminate the contract resulting from this solicitation for default.

## **19. Taxpayer Identification**

### **A. Definitions**

- (1) "Common parent," as used in this solicitation provision, means that corporate entity that owns or controls an affiliated group of corporations that files its Federal income tax returns on a consolidated basis, and of which the offeror is a member.
- (2) "Corporate status," as used in this solicitation provision, means a designation as to whether the offeror is a corporate entity or an unincorporated entity (e.g., sole proprietorship or partnership).
- (3) "Taxpayer Identification Number (TIN)," as used in this solicitation provision, means the number required by the Internal Revenue Service (IRS) to be used by the offeror in reporting income tax and other returns.

- B. All offerors are required to submit the information required in paragraphs C through E of this section in order to comply with reporting requirements of 26 U.S.C. 6041, 6041A, and 6050M and implementing regulations issued by the IRS. If the resulting contract is subject to the reporting requirements described in FAR 4.903, the failure or refusal by the offeror to furnish the information may result in a 31 percent reduction of payments otherwise due under the contract.

C. Taxpayer Identification Number (TIN)

TIN: \_\_\_\_\_

TIN has been applied for.

TIN is not required because: \_\_\_\_\_

\_\_\_\_\_

D. Corporate Status (*Check One*)

Corporation	
Sole Proprietorship	
Partnership	

E. Common Parent

Offeror is not owned by a common parent as defined in paragraph A.

Common parent name: \_\_\_\_\_

Common parent TIN: \_\_\_\_\_

20. The certifications, warranties, and representations as set forth in this appendix to the announcement(s) indicated as applicable in paragraph 1 of this appendix and Part C of USDA-1, are hereby made.

IN WITNESS WHEREOF, the undersigned has executed this offer this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.  
 (Month) (Year)

NAME OF FIRM

SIGNATURE 1/ TITLE

TYPED NAME

*Officer or Employee Responsible for the Offer*

Additional Representatives Authorized to Sign Offers	
Signature	Typed Name

ADDRESS

CITY

STATE

ZIP CODE

TELEPHONE NO.

FAX NO.

EMAIL ADDRESS

1/ Before signing this Appendix, see Article 6 of USDA-1.