

COMPANY NAME: The Pennsylvania State University			SUPPLIER NO:	CLASS:
DIVISION OF: (Name and address, if applicable)			E-MAIL ADDRESS: osp@psu.edu	
STREET ADDRESS: 110 Technology Center Building			TELEPHONE NUMBER: 814-865-1372	
CITY, STATE, ZIP: University Park, PA 16802			FAX NUMBER: 814-863-3413	
NAICS CODE (6 Digits) 611310	DUN'S NO. (9 Digits) 003403953	NUMBER OF EMPLOYEES	CAGE CODE (5 Characters) 7A720	

1. FAR 52.222-21 Certification of Non-Segregated Facilities

Yes **No** I assert that regardless of size or number of employees, this supplier **does not and will not maintain** or provide employees segregated facilities and is in compliance with **FAR 52.222-21**.

2. FAR 52.222-22 Previous Contracts and Compliance Reports

- a. Supplier **has** **has not** participated in a previous contract or subcontract subject to the Equal Opportunity Clause. **FAR 52.222-26** is applicable when during a 12-month period the subcontractor has been awarded subcontracts that have an aggregate value in excess of \$10,000.
- b. Supplier **has** **has not** filed all required compliance reports.

1) EEO-1 Report is applicable when subcontractor employs 100 or more employees or employs 50 or more employees and has Federal contracts / subcontracts totaling more than \$50,000

Not Applicable (For more information, access the EEOC home page at: <http://www.eeoc.gov>)

2) VETS-100 report is applicable when the subcontractor receives a contract/subcontract in the amount of \$100,000 or more (regardless of number of employees)

Not Applicable (For additional information or filing on line, access VETS <http://www.doleta.gov/grants/forms/vets100.pdf>)

3. FAR 52.222-25 Affirmative Action Compliance (Applicable to companies with 50 employees and a single award greater than \$50,000 to develop and have on file an Affirmative Action Program.) **Not Applicable**

- a. Supplier represents that it **has developed and has on file** **has not developed and does not have on file.**
- b. Supplier **has** **has not** previously had contracts subject to written Affirmative Action Programs.

4. FAR 52.203.7 Anti-Kickback Procedures

- a. **Yes** **No** Prior to receiving this questionnaire, were you aware of your responsibilities to report possible violations of the Anti-Kickback Act and to cooperate with federal investigators? (**FAR 52.203-7**, Anti-Kickback Procedures clause.)
- b. **Yes** **No** Do you have in place and follow reasonable procedures designed to prevent and detect kickbacks in your own operations and direct business relationships?
- c. **Yes** **No** Do you know of any instances of BHTI employees requesting or accepting kickbacks, e.g., gifts, gratuities, entertainment, from you or from others?

If yes to 4c, any violations or suspected violations of the anti-kickback law should be reported to the BHTI HelpLine at 800-892-9871 or 800/94-ETHICS, or FAX 817/280-3777

5. FAR 52.209-5 Certification Regarding Responsibility Matters, FAR 52.209-6 Protecting the Government's Interest When Subcontracting with Contractors Debarred, Suspended, or Proposed for Debarment and FAR 52.209-7 Information Regarding Responsibility Matters

- a. **Yes** **No** Is your company presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any Federal agency?
- b. **Yes** **No** Has your company, 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, tax evasion, violating Federal criminal tax laws, or receiving stolen property?
- c. **Yes** **No** Is your company presently indicted for, or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses enumerated in paragraph (5) (b) above?

5. *continued*

- d. Yes No Has your company, within a three-year period preceding this offer, been notified of any delinquent Federal taxes in an amount that exceeds \$3,500 for which the liability remains unsatisfied?
- e. Yes No Has your company, within a three-year period preceding this offer, had one or more contracts terminated for default by any Federal agency?
- f. Yes No Does your company currently have current active Federal contracts and grants with total value greater than \$10,000,000?
 Yes No If yes to 5.f., are you in compliance with the requirements of FAR 52.209-7?

6. FAR 52.203-13 Contractor's Code of Business Ethics and Conduct and FAR 52.203-14 Display of Hotline Poster(s).

- Yes No FAR 52.203-13- Does your company have active federal contracts with the total amount exceeding \$5,500,000 and a performance period of more than 120 days?
- Yes No If yes to 6, Supplier has adopted a written code of business ethics that is in compliance with FAR 52.203-13 and FAR 52.203-14 Display of Hotline Poster(s).

7. Government Regulations Relating to Export/Import of Goods and Technical Data. To assist Bell in complying with the export/import regulations, please answer the following questions.

- a. Yes No US companies only: Is your company registered with the U.S. Department of State as a manufacturer or exporter of defense articles as required under the International Traffic in Arms Regulations (22 C.F.R. § 122.1)?
- b. Yes No Has your company name or address changed in the past year? If yes, have you reported this to the U.S. Department of State and/or Bell's Global Trade Compliance office? Yes No
If not, please email eicompliance@bh.com your new information.
- c. Yes No Does your company employ nationals of any countries other than your company's country of incorporation? If so, please list: nationalities numerous
- d. Please provide the name, title, email, and phone number of your Export Compliance Officer: Wayne Mowery, University Export Compliance Officer; 814-867-2379; wlmowery@psu.edu

8. Customs Trade Partnership Against Terrorism (CTPAT)

- a. Yes No Are you a certified member of CTPAT? (If yes, skip b and c.)
- b. If you are a member of an equivalent World Customs Organization (WCO) accredited security program, please identify the program: _____
- c. If you are not a member of CTPAT or an equivalent WCO program, check all security measures your company has in place below:
- Written and verifiable processes for the selection of business partners including carriers, other manufacturers or suppliers, etc.
 - Processes to screen prospective employees and to periodically check current employees.
 - Effective physical access controls to prevent unauthorized entry to facilities, maintain control of employees and visitors, and protect company assets. Cargo handling and storage facilities in non-U.S. locations must have physical barriers and deterrents that guard against unauthorized access, to include perimeter fencing, manned or monitored gates, alarm systems, etc.
 - Secure IT systems and processes to identify and correct abuses including improper access, tampering, or the altering of business data.
 - Procedures to ensure the integrity and security of processes relevant to the transportation, handling, and storage of cargo in the supply chain (i.e. ensure complete and accurate documentation, reconciliation of shipping documents to actual goods received or shipped, container and trailer inspections of all outer walls and doors as well as properly sealing shipping containers and trailers to protect against the introduction of unauthorized material and/or persons, etc)
 - An established and maintained threat awareness program to recognize and foster awareness of the threat posed by terrorists and contraband smugglers at each point in the supply chain.

9. Ethics

- a. Yes No Does your company have helpline posters which are visible to all employees?
- b. Yes No Does your company have a code of Business Ethics & Conduct?
- c. Yes No Do you know of any instance where a BHTI employee improperly disclosed confidential, proprietary or procurement sensitive information?
- d. Yes No Does your Company directly or indirectly compete with products or services being developed, manufactured, marketed, or sold by BHTI? If yes, proceed to e; if no, proceed to f.
- e. Yes No Are you aware of any BHTI employee who has or is pursuing a business interest/opportunity or employment with your company?
- f. Yes No Are you aware of any former BHTI employee who within two years after termination of employment with BHTI solicited or took away a BHTI customer or employee?

10. Human Trafficking - FAR 52.222-50 Combating Trafficking in Persons and DFAR 252.222-7007 Representation Regarding Combating Trafficking in Persons

- a. Yes No Will your company provide:
- supplies, other than commercially available off-the-shelf items, acquired outside the United States, or
 - services to be performed outside the United States and
 - the supplies and services have a cumulative value that exceeds \$500,000?

b. If "Yes" then,

** This could change as it is project specific.*

- 1) Supplier certifies to BHTI that it has implemented a compliance plan to prevent and prohibit activities described in paragraph (b) of the clause at FAR 52.222-50, Combating Trafficking in Persons, and to monitor, detect, and terminate the contract with a subcontractor engaging in prohibited activities identified at paragraph (b) of the clause at FAR 52.222-50, Combating Trafficking in Persons; and
- 2) After having conducted due diligence, either
 - a) To the best of the supplier's knowledge and belief, neither it nor any of its proposed agents, subcontractors, or their agents is engaged in any such activities; or
 - b) If abuses relating to any of the prohibited activities identified in FAR 52.222-50(b) have been found, the supplier or proposed subcontractor has taken the appropriate remedial and referral actions.
- 3) The supplier shall provide a copy of the compliance plan to BHTI upon request.

- c. Yes No Supplier certifies that to the best of its knowledge the above information in paragraph A and paragraph B (if applicable) is correct.

11. FAR 52.204-10 Reporting Executive Compensation and First-Tier Subcontract Awards
In the preceding fiscal year:

- a. Yes No Was your company's gross income, from all sources over \$300,000?

If your response to 11a. was "No", please skip to Section 12.

- b. Yes No Did your company receive 80% or more of your annual gross revenues from Federal contracts (and subcontracts), loans, grants (and sub-grants) and cooperative agreements?
- c. Yes No Did your company receive \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and sub-grants) and cooperative agreements?
- d. Yes No Does the public have access to information about your company's top executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986?

If you answered "Yes" to 11b and 11c, and "No" to 11d, then please provide the name and total compensation for each of the five (5) most highly compensated executives for your company for the preceding completed fiscal year in the space provided below.

Name (please print)	Compensation Amount
1) _____	_____
2) _____	_____
3) _____	_____
4) _____	_____
5) _____	_____

12. DFARS 252.209.7002 Disclosure of Ownership or Control by a Foreign Government

- Yes No Is your company effectively owned or controlled by a foreign government (i.e. non-US government or its outlying areas), or is your company controlled by an individual acting on behalf of a foreign government? If your company is a subsidiary, please include any of your immediate parent, intermediate parent or ultimate parent companies in your answer. If you answer "yes", Bell may contact you for further information.

13. Supplier certifies its business size is:

- Foreign (F)
- Yes No Does the supplier's deliverable to Bell Helicopter include service(s) performed in the United States?
- Large Business (including Non-Profit) (L)**
ISR/SSRs are required to be submitted semi-annually, when applicable, per FAR 19.704 (a) (10) & FAR 52.219-9 (d) (10).
NAICS Code 611310 - Colleges, universities, and Professional Schools
- Small Business** Check ALL Small Business types that apply.
- Small Disadvantaged Business (SDB) Woman Owned Small Business (WOSB)
- Historically Underutilized Business (HUBZone)
MUST include a copy of profile from SBA Dynamic Small Business Search (DSBS), SAM.gov or the SBA certification letter Veteran Owned Small Business (VOSB)
- Service Disabled Veteran Owned Small Business (SDVOSB) Indian Tribes (IT)
- Alaskan Native Corporations (ANC)
- Native American (NA)

To review the definitions for the above categories, see FAR Subpart 19.7 or FAR 52.219-8 (<https://www.acquisition.gov/far/>). If you have difficulty ascertaining your NAICS Code and size status, please call 800-U-ASK-SBA or refer to SBA's website at www.sba.gov/size-standards-tool.

Under 15 U.S.C. 645(d), any misrepresentation of business size status shall (1) be punished by a fine, imprisonment, or both; (2) be subject to administrative remedies; and (3) be ineligible for participation in programs conducted under the authority of the Small Business Act.

Good for a one-year period. It is your responsibility to notify us if your size or ownership status changes during this period. After one year, you are required to re-certify with us.

14. FAR 52.203-11 Certification & Disclosure Regarding Payments to Influence Certain Federal Transactions and FAR 52.203-12 Limitation on Payments to Influence Certain Federal Transactions. The supplier / subcontractor, by signing this Annual Certification, hereby certifies compliance in accordance with FAR 52.203-11, 31 U.S.C. 1352 and 15 U.S.C. 645(d).

Company Officer (Printed Name)	Signature	Date
John W. Hanold	John W. Hanold	5/23/19
Reviewed by Bell Helicopter		Date

Return Completed Form to: BHTAnnualCert@bh.com