

\_\_\_\_\_  
Vendor Number

\_\_\_\_\_  
Subcontract Number

**Battelle Memorial Institute**  
505 King Avenue, Columbus, Ohio 43201-2693

**GOVERNMENT CONTRACTING FORM**  
**COST ACCOUNTING STANDARDS CERTIFICATION SUPPLEMENT**

**TO THE OFFEROR**

You have received this form because you submitted a proposal to Battelle with a value exceeding the Cost Accounting Standards (CAS) threshold of \$700,000. Please provide the information below, sign, and return a copy to the Battelle Procurement Officer.

If the value of your proposal is \$7.5 million or less, please complete section A of this form. Depending on your response to Section A, you may be required to also complete Section B.

If the value of your proposal is greater than \$7.5 million, you need only complete Section B.

**SIGNATURE / CERTIFICATION**

By signing below, the offeror certifies, under penalty of law, the representations and certifications are accurate, current, and complete. The offeror further certifies it will notify the Battelle Procurement Office of any changes to these representations and certifications. The representations and certifications made by the offeror, as contained herein, concern matters within the jurisdiction of an agency of the United States (US) and the making of a false, fictitious, or fraudulent representation or certification may render the maker subject to prosecution under Title 18, United States Code, Section 1001.

|   |   |
|---|---|
| _____<br>Signature of Officer or Employee Responsible for the Offeror | _____<br>Date of Execution (mm/dd/yyyy)       |
| _____<br>Name   | _____<br>Legal Name of Offeror's Organization |
| _____<br>Title  | _____<br>Street Address                       |
| _____<br>Contact Phone No. (xxx-xxx-xxxx)                             | _____<br>City, State, and Postal Code         |
| _____<br>Fax No. (xxx-xxx-xxxx)                                       | _____<br>E-mail Address                       |

**SECTION A**  
**COST ACCOUNTING STANDARDS EXEMPTION FOR CONTRACTS/SUBCONTRACTS LESS THAN \$7.5 MILLION**

Is the above-identified Offeror currently performing at least one CAS-covered contract or subcontract valued at \$7.5 million or more?

YES                      NO

**If you answered No to the above question, STOP.** Please complete the **SIGNATURE/CERTIFICATION** information above, and return this form to the Battelle Subcontracts Officer. You do not have to complete the remainder of this form.

**If you answered Yes to the above, and none of the other exemptions from 48 CFR 9903.201-1(b), FAR Appendix are applicable, this is a CAS-covered subcontract and offeror is required to complete FAR 52.230-1 below and sign above.** A CAS-covered subcontract may be subject to either full or modified coverage. The rules for determining full or modified coverage are in 48 CFR 9903.201-2, FAR Appendix. If full CAS coverage is applicable, FAR 52.230-2, Cost Accounting Standards, will apply. If the exemption in Part II below is claimed, the subcontract will be subject to modified CAS coverage, in which case FAR 52.230-3, Disclosure and Consistency of Cost Accounting Practices, will apply in lieu of 52.230-2.

**SECTION B**  
**COST ACCOUNTING STANDARDS NOTICES AND CERTIFICATION (FAR 52.230-1) (JUN 2000)**

**Note:** This notice does not apply to small businesses or foreign governments.

This notice is in three parts, identified by Roman numerals I through III. Offerors shall examine each part and provide the requested information in order to determine Cost Accounting Standards (CAS) requirements applicable to any resultant contract.

If the offeror is an educational institution, Part II does not apply unless the contemplated contract will be subject to full or modified CAS coverage pursuant to 48 CFR 9903.201-2(c)(5) or 9903.201-2(c)(6), respectively.

**I. Disclosure Statement-Cost Accounting Practices and Certification**

- (a) Any contract in excess of \$700,000 resulting from this solicitation will be subject to the requirements of the Cost Accounting Standards Board (48 CFR Chapter 99), except for those contracts which are exempt as specified in 48 CFR 9903.201-1.
- (b) Any offeror submitting a proposal which, if accepted, will result in a contract subject to the requirements of 48 CFR Chapter 99 must, as a condition of contracting, submit a Disclosure Statement as required by 48 CFR 9903.202. When required, the Disclosure Statement must be submitted as a part of the Offeror's proposal under this solicitation unless the offeror has already submitted a Disclosure Statement disclosing the practices used in connection with the pricing of this proposal. If an applicable Disclosure Statement has already been submitted, the offeror may satisfy the requirement for submission by providing the information requested in paragraph (c) of Part I of this provision.

**Caution:** *In the absence of specific regulations or agreement, a practice disclosed in a Disclosure Statement shall not, by virtue of such disclosure, be deemed to be a proper, approved, or agreed-to practice for pricing proposals or accumulating and reporting contract performance cost data.*

- (c) Check the appropriate box below:

(1) *Certificate of Concurrent Submission of Disclosure Statement.* The offeror hereby certifies, as a part of the offer, copies of the Disclosure Statement have been submitted as follows: (i) Original and one copy to the cognizant Administrative Contracting Officer (ACO) or cognizant Federal Agency Official authorized to act in that capacity (Federal Official) as applicable; and (ii) One copy to the cognizant Federal auditor. (Disclosure must be on Form No. CASB DS-1 or CASB DS-2, as applicable. Forms may be obtained from the cognizant ACO or Federal Official and/or from the loose-leaf version of the Federal Acquisition Regulations).

Date of Disclosure Statement

Name and Address of Cognizant ACO or Federal Official where filed:

The offeror further certifies practices used in estimating costs in pricing this proposal are consistent with the cost accounting practices disclosed in the Disclosure Statement.

(2) *Certificate of Previously Submitted Disclosure Statement.* The offeror hereby certifies the required Disclosure Statement was filed as follows:

Date of Disclosure Statement

Name and Address of Cognizant ACO or Federal Official where filed:

The offeror further certifies the practices used in estimating costs in pricing this proposal are consistent with the cost accounting practices disclosed in the applicable Disclosure Statement.

(3) *Certificate of Monetary Exemption.* The offeror hereby certifies the offeror, together with all divisions, subsidiaries, and affiliates under common control, did not receive net awards of negotiated prime contracts and subcontracts subject to CAS totaling more than \$50 million or more in the cost accounting period immediately preceding the period in which this proposal was submitted. The offeror further certifies if such status changes before an award resulting from this proposal, the offeror will advise the Battelle Procurement Officer immediately.

(4) *Certificate of Interim Exemption.* The offeror hereby certifies (i) the offeror first exceeded the monetary exemption for disclosure, as defined in (3) of this subsection, in the cost accounting period immediately preceding the period in which this offer was submitted and (ii) in accordance with 48 CFR 9903.202-1, the offeror is not yet required to submit a Disclosure Statement. The offeror further certifies if an award resulting from this proposal has not been made within 90 days after the end of that period, the offeror will immediately submit a revised certificate to the Battelle Procurement Officer, in the form specified under subparagraph (c)(1) or (c)(2) of Part I of this provision, as appropriate, to verify submission of a completed Disclosure Statement.

**Caution:** Offerors currently required to disclose because they were awarded a CAS-covered prime contract or subcontract of \$50 million or more in the current cost accounting period may not claim this exemption (4). Further, the exemption applies only in connection with proposals submitted before expiration of the 90-day period following the cost accounting period in which the monetary exemption was exceeded.

**II. Cost Accounting Standards – Eligibility for Modified Contract Coverage**

If the offeror is eligible to use the modified provisions of 48 CFR 9903.201-2(b) and elects to do so, the offeror shall indicate by checking the box below. Checking the box below shall mean that the resultant contract is subject to the Disclosure and Consistency of Cost Accounting Practices clause in lieu of the Cost Accounting Standards clause.

The offeror hereby claims an exemption from the Cost Accounting Standards clause under the provisions of 48 CFR 9903.201-2(b) and certifies the offeror is eligible for use of the Disclosure and Consistency of Cost Accounting Practices clause because during the cost accounting period immediately preceding the period in which this proposal was submitted, the offeror received less than \$50 million in awards of CAS-covered prime contracts and subcontracts. The offeror further certifies if such status changes before an award resulting from this proposal, the offeror will advise the Battelle Procurement Officer immediately.

**Caution:** An offeror may not claim the above eligibility for modified contract coverage if this proposal is expected to result in the award of a CAS-covered contract of \$50 million or more or if, during its current cost accounting period, the offeror has been awarded a single CAS-covered prime contract or subcontract of \$50 million or more.

**III. Additional Cost Accounting Standards Applicable to Existing Contracts**

The offeror shall indicate below whether award of the contemplated contract would, in accordance with subparagraph (a)(3) of the Cost Accounting Standards clause, require a change in established cost accounting practices affecting existing contracts and subcontracts.

YES NO