



NORTHERN ARIZONA UNIVERSITY

THE ARIZONA BOARD OF REGENTS

for and on behalf of

NORTHERN ARIZONA UNIVERSITY

2018 ANNUAL REQUEST FOR QUALIFICATIONS

NAU Project #: 11.160.181

for

FACILITY-RELATED PROFESSIONAL SERVICES

Date Issued: January 4, 2018

TABLE OF CONTENTS

LEGAL ADVERTISEMENT	3
SECTION I – PROCESS OVERVIEW	4
SECTION II – INSTRUCTIONS TO RESPONDENTS.....	5
SECTION III – IMPLEMENTATION PROCEDURE	8
ATTACHMENT A – CONSULTANT DATA SHEET 10	
ATTACHMENT A.1 - ADDENDA ACKNOWLEDGMENTS.....	13
ATTACHMENT B – COMPARABLE PROJECTS (provided by firm)	14
ATTACHMENT C – KEY PERSONNEL RESUME INFORMATION (provided by firm).....	14
ATTACHMENT D – CLIENT REFERENCES (provided by firm).....	14
ATTACHMENT E – CONSULTANT FIRM CERTIFICATIONS	14
ATTACHMENT E.1 - ANTI-LOBBYING CERTIFICATION	15
ATTACHMENT E.2 - CONFLICT OF INTEREST CERTIFICATION.....	16
ATTACHMENT E.3 – FEDERAL DEBARRED LIST CERTIFICATION.....	17
EXHIBIT 1 - SAMPLE INSURANCE CERTIFICATE	19
EXHIBIT 2 – FREQUENTLY ASKED QUESTIONS (FAQ).....	20
EXHIBIT 3 – UPDATES TO ARQ SUBMITTAL.....	22

**NORTHERN ARIZONA UNIVERSITY
2013 ANNUAL REQUEST FOR QUALIFICATIONS (“ARQ”)
For Facility-related Professional Services**

LEGAL ADVERTISEMENT

The Northern Arizona University (“University” and/or “Owner”) is updating its consultant qualifications files for facility-related professional services, including, but not limited to, Design Professional (“DP”) Architectural, Pre-Construction, Cost Estimating, Commissioning, Facility Project Programming, and Engineering Services. **ALL INTERESTED FIRMS (INCLUDING FIRMS THAT ALREADY HAVE PACKAGES ON FILE) MUST SUBMIT NEW QUALIFICATIONS PACKAGES TO BE CONSIDERED FOR SELECTION TO PROVIDE THESE SERVICES.** Qualification packages will be valid through December 31, 2022, provided however, either a letter on company letterhead signed by an authorized signatory of your firm stating that there are “NO CHANGES” must be submitted or a submittal of the “CONSULTANT DATA SHEET” must be submitted identifying any changes by October 31st of each year. Previously submitted qualification packages will not be reviewed unless the “NO CHANGE” OR “CONSULTANT DATA SHEET” is on file after October 31st. A sample letter is attached in Exhibit 3. In addition, new or revised qualifications packages may be submitted, amended or withdrawn at any time.

Purpose:

1. To provide the prospective consultant with the opportunity to indicate interest in being considered for University work and to establish areas of interest, expertise, and experience, as allowed by Arizona Board of Regents (“ABOR”) policy.
2. To provide the University with a consultant database (by interest and qualification) that will be used to develop shortlists with no further advertisement related to design consulting services. A complement of consultants that are shortlisted may be approached for negotiation of “open-end contracts” for these services.

Additional Information:

Consulting services with fees near or over the above limits are generally procured by a separately advertised Request for Qualifications (RFQ) pertaining to the particular project. It is the University’s intent to have the option to have this ARQ apply for projects for amounts up to the maximum permitted under ABOR Policy. At present time the maximum fee for a single project for these services is \$500,000 for professional services by an architect or architect firm, and \$500,000 for engineering services and other non-architect professional services. If these amounts are amended under future ABOR Policy, the amounts will automatically be likewise amended in the existing ARQ.

This ARQ is a means to establish qualifications only. To be eligible for consideration, applicants must be registered professionals in the State of Arizona if such registration is required by State Law. The respondent is responsible for the accuracy of information submitted but incurs no further obligation to enter into a contract as a result of the submittal. Attention is directed to Part II, Instructions to Respondents, and Part III, Implementation Procedure. The University will utilize material submitted as an aid in selection of prospective consultants. Only the Standard Form Agreement (master contract) or project-specific contracts (Project Authorization) will be binding on either the consultant or the University.

The University reserves the right to reject any or all submittals for any reason it may determine and to waive or decline to waive any irregularities therein.

To obtain copy of ARQ and the Standard Form Agreement:

Interested firms may obtain the 2018 ARQ by visiting NAU’s website at http://nau.edu/Facility-Services/Bids_RFQ/.

The Standard Form Agreement is available for inspection at http://nau.edu/Facility-Services/DP_Contract/, under “Contracts”.

NOTE: Please be advised that Contracts are subject to revision without notice.

Submittal of Qualifications Packages:

Please follow instruction in Section II of the ARQ for information regarding how to create and submit qualifications packages. **NO MATERIAL BEYOND THAT REQUESTED UNDER THE ARQ SHOULD BE INCLUDED IN THE SUBMITTAL PACKAGE.**

All correspondence relating to this Request should be addressed to:
Jessica Ott, Contract Administrator
928-523-4227
928-523-9441

ARIZONA BOARD OF REGENTS

By: Rick Myers, Chair

Publish: Glendale Star, January 4, 2018

SECTION I – PROCESS OVERVIEW

A. ARQ Submittals

Each ARQ Submittal consists of the following:

Part 1 “Consultant Data Sheet” (Attachment A – blank template attached) containing:

- General Information
- Disciplines
- Experience Emphasis
- Arizona Professional Licenses
- Insurance Information (Note: must comply with the insurance requirements in Article 7 of the Standard Form Agreement.)
- Ownership and Organization Classification

Part 2 “Content of Submittal” containing:

Comparable Projects by discipline (Attachment B – template not attached)

Key Personnel Resume Information (Attachment C – template not attached)

Clients References (Attachment D – template not attached)

Other – Certifications and Legal Requirements (Attachment E – template not attached)

Other Specific University Requirements (Attachment F – template not attached)

All ARQ qualification submittals will be reviewed for completeness. Respondents will be notified when their information has been entered into the database. Entry into the database does **not** guarantee selection for negotiation of a contract. Submittal of qualifications does **not** mean notification of upcoming projects or other Requests for Qualifications. Consultants should familiarize themselves with the various contract forms prior to selection to prevent disqualification upon selection due to contractual issues resulting in unnecessary delay. The successful consultant is expected to complete the necessary documents without delay.

Responding firms are responsible for keeping information current and up-to-date by notifying the University of any changes, including but not limited to changes in address and personnel. Firms must utilize the form in Exhibit 3 for any changes to a submittal on file.

B. Review

When the University identifies a need for a consultant for a project, the University performs a sort, based on specific project needs, from the database which is populated from the information on the Consultant Data Sheet.

Then, the University Committee reviews the contents of qualification submittals for the short listed candidates for the specific project. The committee may request additional information from the consultants. The Committee then selects the successful consultant.

C. Contract Negotiation

The University shall negotiate with the selected firm, and if negotiations are successful, the firm will receive a Project Authorization.

If negotiations are unsuccessful, then negotiations with this firm will be formally terminated. The University may undertake negotiations with the next most qualified firm in sequence until an agreement is reached or award is suspended.

SECTION II – INSTRUCTIONS TO RESPONDENTS

A. General

All ARQ qualification submittals should follow the format and sequence described in the paragraphs below to allow a standard basis for data collection. Failure to follow the instructions regarding format and content will result in submittal not being approved for use in selections for Consulting Services.

NO MATERIAL BEYOND THAT REQUESTED SHOULD BE INCLUDED.

B. Content of Submittals

A complete submittal consists of the following:

Letter of Introduction on company letterhead (cover sheet), which includes the name and address of the consultant, phone and facsimile, and email address for the main contact.

Attachment A: Consultant Data Sheet (template attached)
A.1 - Addendum Acknowledgement

Attachment B: Comparable Projects (provided by firm)
For each of the disciplines selected, Respondents should include a discipline synopsis for up to three projects where your firm was the Architect or Engineer of Record for that discipline. Include the following information for each project:

1. Project Title
2. Project Description
3. Location of the project
4. Project Owner, point of contact and phone number for the contact
5. Describe size, schedule, budget and complexity of each project
6. Year Completed.

Each Attachment B “Comparable Projects” Discipline Synopsis is limited to three (3) pages. That is, if a respondent registers to provide 5 disciplines, as listed on Attachment A, the Attachment B section is limited to fifteen (15) pages. If a respondent registers to provide ten (10) disciplines, the Attachment B section is limited to thirty (30) pages.

Attachment C: Key Personnel Resume Information (SF330 Sections E and G)
Resumes of proposed key personnel must be included, indicating specific experience within applicable project disciplines. SF330 form may be found at: <http://www.gsa.gov>.

Attachment D: Client References (provided by firm) Respondents should include contact name, company name, address and phone number.

Attachment E: Consultant Firm Certifications
E.1 - Anti-Lobbying Certification
E.2 - Conflict of Interest Certification
E.3 - Federal Debarred List Certification

IMPORTANT: *A submittal is complete only when ALL the above information is on file with the University.*

C. Format of Submittals

Each firm shall submit their qualifications in the following format:

- Submit one (1) clearly marked hardcopy “original” of the submittal in an 8.5” x 11” format. It must be wire bound or spiral bound - **NO THREE-RING BINDERS**. Text must have a font size of no less than 10 points.
- Submit one (1) electronic copy on CD or other electronic medium. The electronic file must be in one PDF file with no passwords.

D. Delivery of Submittals

Formal sealed qualifications must be either hand delivered or mailed in one of the following ways:

1. Via United States Postal Service sent to the following address **ONLY:**
Northern Arizona University
Facility Services
Attn: Jessica Ott
PO Box 5637
Flagstaff, AZ 86011-5637
2. Overnight delivery via by FedEx or UPS to the following address:
NAU - Facility Services
Attn: Jessica Ott
575 E. Pine Knoll Dr.
Bldg. 77, Room 108
Flagstaff, AZ 86011-5637
(928) 523-4227

NOTE: Do not use United States Postal Service Overnight. The United States Postal Service will **NOT** deliver to the street address.

3. Submittals may also be dropped off at Facility Services (Building #77), Administrative Services (Room 108), between the hours of 8:00 AM and 4:00 PM.

Each submittal shall be enclosed in a sealed envelope (inside the mailed envelope) marked as follows:

Annual Request for Qualifications for Professional Services
Submitted by: *The Name and Address of the Respondent*

E. Interpretation of Documents

For interpretation, additional information, or Questions relating to this Annual Request for Qualifications, please refer to
Jessica Ott, Contract Administrator, at (928) 523-4227

Please also see attached "Frequently Asked Questions"(FAQ) Sheet for commonly asked questions.

F. Obligations

This ARQ does not obligate the University to pay any costs incurred in the preparation of a response nor to enter into a contract with any respondent.

G. Fees

This ARQ does not require a fee proposal. The University will negotiate with selected Consultant(s) responding to this ARQ on a project basis. ****NOTE: Design Professional (DP) shall not submit or communicate in any form any information on Fees, Price (Hourly Rates), Man-Hours or any other associated cost information. Arizona law prohibits Arizona universities from considering any information on Fees, Price (Hourly Rates), Man-Hours or any other cost information during the Annual Request for Qualification (ARQ) matrix selection.**

H. Arizona Registration

To be eligible for consideration, respondent firm, or individuals in the firm, must be registered in the State of Arizona if such registration is required by state law.

I. Regulations

Should a contract result from this ARQ, the terms, clauses, and conditions of the Arizona Board of Regents procurement policies and the University Procurement Code apply. By submitting data to the University, a respondent agrees to the terms and conditions contained in the applicable contract which is incorporated herein by reference. See Section III – F (Contract) for contract location.

NOTE: Please be advised that Contracts are subject to revision without notice.

J. Conflict of Interest

The purpose of conflict of interest statutes is to remove or limit the possibility of personal influence that might bear upon a public employee's decision in his or her capacity as a public employee.

NAU: Please refer to the University's conflict of interest policy at: <http://nau.edu/Comptroller/Conflict-of-Interest/>

SECTION III – IMPLEMENTATION PROCEDURE

A. General

All ARQ submittals will be reviewed for completeness. Respondents will be notified when their information has been entered into the database. Entry into the database does **not** guarantee selection for negotiation of an open-end contract. Submittal of an ARQ does **not** mean notification of upcoming projects or Requests for Qualifications.)**

Responding firms are responsible for keeping information current and up-to-date by notifying the University of any changes.

B. Individual Project or General Services Selection Process:

1. A profile of the project or service will be developed by the University. (Specific projects have not yet been identified.)
2. A search will be made of the database compiled as a result of this ARQ to identify those with qualifications and interests matching the project or service profile.
3. A committee will evaluate the qualifications of firms identified against the project or service profile and develop a “short list” utilizing the following criteria:
 - a. Demonstrated special expertise, qualifications, and experience on similar types of projects or services completed by the firm, and by the specific key personnel and primary staff members in the firm.
 - b. Qualifications and experience of key personnel identified by the firm.
 - c. Availability of adequate and qualified staff to do the work.
 - d. Client references / University evaluation of past performance.
 - e. Past university / institutional experience and / or work at high elevations including freeze-thaw cycles and monsoons.
4. The short-listed firms may be asked to provide additional information or have an interview with the Committee, prior to the final selection.

Selected firms will be invited to negotiate an “Open-End Contract” with the University using the Standard Form Agreement between Owner and Design Professional (Annual Request for Qualification Version). Open-end contracts will be for a period of five (5) years ending on December 31, 2022. Please note that establishment of an open-end contract does not obligate the University to award projects.

C. Interviews / Additional Information

Additional information, interviews or a review of site conditions may be required as a part of the selection process. Applicants may also be requested to participate in discussions with University representatives prior to or during contract negotiations

D. Project Fee

On a project-by-project basis, the University will negotiate a project fee with the highest ranked firm. This fee will be calculated in accordance with the terms of the open-end contract.

If the University is unable to negotiate a satisfactory fee for the services to be provided, then negotiations with this firm will be formally terminated. The University may undertake negotiations with the next most qualified firm in sequence until an agreement is reached or award is suspended.

E. Multiple Projects

A firm may be selected for one or more projects where the total fees for **each** project are anticipated to be less than \$500,000 for an architect or architect firm or less than \$500,000 for a person or firm other than an architect or architect firm.

F. Form of Contract

Successful firms will be required to execute the Standard Form Agreement for Professional Services (Annual Request for Qualifications Edition) available for review at http://nau.edu/Facility-Services/DP_Contract/ under "Contracts".

NOTE: Please be advised that Contracts are subject to revision without notice.

G. Scope of Services

The scope of services will be provided at the time a project-specific fee proposal is requested. Existing drawings, where applicable, will be made available and a visit to the site, with the University's project manager, may be arranged.

H. Delivery of Documents / Insurance Requirements

Each respondent shall indicate its present insurance coverage in the insurance section of "Attachment A". Every firm to whom the University issues a contract and/or Project Authorization shall, within 5 days after notice of award, deliver to the University signed copies of the contract as well as all required insurance certificates. All contracts must be supported by insurance certificates in a form satisfactory to the University. All certificates of insurance will be reviewed and approved by the University before firms may proceed with services. Failure or refusal to furnish required insurance certificates in a form satisfactory to the University will result in rejection of any proposed contract. Once a firm has an open-end agreement with the University, annual renewal certificates are required as stated in the Standard Form Agreement. All insurance requirements are stipulated in the Standard Form Agreement. **NOTE: PLEASE DO NOT SUBMIT INSURANCE CERTIFICATES WITH THIS ANNUAL REQUEST FOR QUALIFICATIONS.**

ATTACHMENT A – CONSULTANT DATA SHEET

Date: _____

Firm Name: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Federal Employers Tax Identification Number or Social Security Number: _____

Phone No.: _____ Fax No.: _____

Contact Person :

_____	_____	_____
Title	First Name	Last Name
_____	_____	_____
Phone Number	Fax Number	
_____	_____	_____
E-mail Address	Cell Phone Number	

Principal(s):

_____	_____	_____
Title	First Name	Last Name
_____	_____	_____
Phone Number	Fax Number	
_____	_____	_____
E-mail Address	Cell Phone Number	
_____	License Number	

_____	_____	_____
Title	First Name	Last Name
_____	_____	_____
Phone Number	Fax Number	
_____	_____	_____
E-mail Address	Cell Phone Number	
_____	License Number	

Ownership and Organization Classification
(Check all that apply. Size of firm must be designated.)

Diversity Business Owner Designation

- Woman Owned
- Woman Owned Minority
- Minority
- Disabled Business Owner
- Disabled Veteran
- Disadvantaged
- Non-Profit Government Education

Organization Classification

- Individual
- Small – AZ (Per A.R.S. § 1-1001.8)
- Small – Federal (Per P.L. § 95-507)
- Large
- None Of The Above

Definition of Small Arizona Business – Has less than \$4M in revenues or less than 100 employees

Definition of Small Federal Business – Has revenues less than \$8M

I. DISCIPLINES

(Applies to the submitting firm **only – not** its consultants)

Please check only those that your firm is interested in providing as an independent, in-house service.

Acoustical/Noise/Vibration Eng (AC)	_____	LEED Accredited Eng / Architect (LD)	_____
Archaeology (AR)	_____	Master Planning (MP)	_____
Architecture (A)	_____	Material Engineering (MG)	_____
Audio Visual Design (AV)	_____	Materials Testing (MAT)	_____
BioSafety Level Design 1, 2, 3, 4 (BI)	_____	Mechanical Engineering (ME)	_____
Central Plant/Chiller (CH)	_____	Parking Consulting (PC)	_____
Civil Engineering (CE)	_____	Partnering Facilitation (PF)	_____
Commissioning (C)	_____	Photogrammetry (PH)	_____
Constructability Review (CR)	_____	Programming / Space Planning (PRG)	_____
Construction Administration (CA)	_____	Project/Cost Estimating (PE)	_____
Construction Inspection (CI)	_____	Project Scheduling (PS)	_____
Construction Management (CM)	_____	Roofing (RFG)	_____
Continuity/Disaster Recovery (DR)	_____	Security Consulting (SC)	_____
Electrical Engineering (EE)	_____	Soils Testing (SOIL)	_____
Environmental Eng/Plan (ENV)	_____	Special Inspections (SI)	_____
Facility Audits / Inspections (FA)	_____	Specifications (SP)	_____
Fire Alarm Design (FD)	_____	Structural Engineering (SE)	_____
Fire Protection Consultant (FP)	_____	Sustainable Design (SD)	_____
Geotechnical Engineering (GEO)	_____	Telecommunications (TEL)	_____
Hazardous Waste (HW)	_____	Testing and Balance (TB)	_____
Interior Design (INT)	_____	Value Engineering (VE)	_____
Land Surveying (LS)	_____	Others (OTH)	_____
Landscape Architecture (LA)	_____		_____

II. EXPERIENCE EMPHASIS

(For each EXPERIENCE EMPHASIS category below, please indicate number of years of experience of your most experienced employee (may use different employees for each category)).

	Years		Years
ADA Compliance/Surveys (ADA)	_____	Masonry (MY)	_____
ADOT Approved Signage (ADT)	_____	Medical Care / Medical Facilities (MED)	_____
Agricultural Facilities (AG)	_____	Metrocology (MET)	_____
Athletic Facilities / Phys Ed (ATH)	_____	Museums (MUS)	_____
Auditorium / Theatre (AUD)	_____	Music Facilities (MF)	_____
Bookstore (BK)	_____	NCAA Cert Athletic Facilities (NCAA)	_____
Bridges (BR)	_____	Observatories (OBS)	_____
Clean Room (CL)	_____	Office Facilities (OF)	_____
Device Characterization (DC)	_____	Outdoor Recreation (OR)	_____
Elevators and Escalators (ELV)	_____	Parking Structures (PS)	_____
Engineering Buildings (ENG)	_____	Partnering Workshops (PW)	_____
Ergonomics (ERG)	_____	Pedestrian/Bicycle Thoroughfare (PB)	_____
Facilities Programming (FP)	_____	Photo Surveying (PH)	_____
Feasibility Studies (FE)	_____	Recreation / Activity Centers (REC)	_____
Fine Arts / Public Art (FA)	_____	Renovation / Remodeling (RR)	_____
Food Services (FS)	_____	Research Labs (RL)	_____
Forensics / Bio Investigation (FBI)	_____	Residence Halls (RH)	_____
General Classroom (GC)	_____	Retail Restaurants/Shops (RT)	_____
Graphics (GR)	_____	Roofing / Reroofing (RFG)	_____
Hazardous Waste Facilities (HW)	_____	Signage / Graphics (SG)	_____
Heating & Refrigeration (HR)	_____	Site Planning / Design (SP)	_____

Historic Conservation (HC)	_____	Solar Energy (SE)	_____
Hospitality (HO)	_____	Stadiums (STA)	_____
Hydrology Studies (HS)	_____	Streets (STR)	_____
Imaging (IM)	_____	Swimming Pools and Facilities (SP)	_____
Information Technology (IT)	_____	Teaching Labs (TL)	_____
Infrastructure (INF)	_____	Traffic Engineering (TE)	_____
Landscape Design (LN)	_____	Utilities (UTL)	_____
Libraries (LIB)	_____	Water Systems (WS)	_____
Lighting (LIT)	_____	Other (OTH)	_____
Maintenance Facilities (MNT)	_____		_____

III. ARIZONA PROFESSIONAL LICENSES & LEED ACCREDITED PROFESSIONALS

Please indicate **Yes** or **No** and how many individuals for the following:

	Y / N	# Individuals		Y / N	# Individuals
Architecture	_____	_____	Structural	_____	_____
Civil	_____	_____	Surveying	_____	_____
Electrical	_____	_____	LEED	_____	_____
Landscape	_____	_____	Other	_____	_____
Mechanical	_____	_____	Other	_____	_____

IV. INSURANCE

Please indicate the current dollar amount and carrier for each of the following:

	Amount	Name of Carrier
Automobile	_____	_____
Comprehensive	_____	_____
Professional Liability	_____	_____
Workman's Compensation	_____	_____

Can these be increased? Yes No

NOTE: Please do not submit insurance certificates with this ARQ response; however a sample certificate is attached for your reference.

ATTACHMENT A.1 - ADDENDA ACKNOWLEDGMENTS

Proposer must acknowledge all Addenda received or viewed on Facility Services Bids and RFQs website (https://nau.edu/Facility-Services/Bids_RFQ/) prior to submitting their qualifications.

RECEIPT BY THE UNDERSIGNED THAT THE FOLLOWING ADDENDA HAS BEEN READ AND HEREBY ACKNOWLEDGED:

Addendum Number: _____ Dated: _____
Addendum Number: _____ Dated: _____

Acknowledged By: _____ **Dated:** _____

ATTACHMENT B – COMPARABLE PROJECTS (provided by firm)

ATTACHMENT C – KEY PERSONNEL RESUME INFORMATION (provided by firm)

ATTACHMENT D – CLIENT REFERENCES (provided by firm)

ATTACHMENT E – CONSULTANT FIRM CERTIFICATIONS

- E.1 - Anti-Lobbying Certification
- E.2 - Conflict of Interest Certification
- E.3 - Federal Debarred List Certification

ATTACHMENT E.1 - ANTI-LOBBYING CERTIFICATION

Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions (Sept 2007)

In accordance with the Federal Acquisition Regulation, 52.203-11:

- (a) The definitions and prohibitions contained in the clause, at FAR 52.203-12, Limitation on Payments to Influence Certain Federal Transactions, included in this solicitation, are hereby incorporated by reference in paragraph (b) of this certification.
- (b) The offeror, by signing its offer, hereby certifies to the best of his or her knowledge and belief that on or after December 23, 1989—
 - (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 this contract;
 - (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 shall complete and submit, with its offer, OMB standard form LLL, Disclosure of Lobbying Activities, to the Contracting Officer; and
 - (3) He or she will include the language of this certification 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 section 1352, Title 31, United States Code. 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.

(Firm Name)

(Signature)

(Print Name)

(Print Title)

(Date Certified)

ATTACHMENT E.2 - CONFLICT OF INTEREST CERTIFICATION

The undersigned certifies that to the best of his/her knowledge: (check only one)

() **1.** There is no officer or employee of Northern Arizona University who has, or whose relative has, a substantial interest in any contract resulting from this request.

() **2.** The names of any and all public officers or employees of Northern Arizona University who have, or whose relative has, a substantial interest in any contract resulting from this request, and the nature of the substantial interest, are included below or as an attachment to this certification.

(Firm Name)

(Signature)

(Print Name)

(Print Title)

(Date Certified)

If item two (2) was selected above, please list names of public officers or employees here:

ATTACHMENT E.3 – FEDERAL DEBARRED LIST CERTIFICATION

Certification Regarding Debarment, Suspension, Proposed Debarment, and Other Responsibility Matters (Dec 2001)

In accordance with the Federal Acquisition Regulation, 52.209-5:

I. A. The Offeror certifies, to the best of its knowledge and belief, that—

(i) The Offeror and/or any of its Principals—

(a) (*check one*) Are () or are not () presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any Federal agency; (The debarred list (SAM System for Award Management) is at <https://www.sam.gov/portal/public/SAM/> on the Web.)

(b) (*check one*) Have () or 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, tax evasion, or receiving stolen property; and

(c) (*check one*) Are () or are not () presently indicted for, or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses enumerated in paragraph (a)(1)(i)(B) of this provision.

(ii) The Offeror (*check one*) has () or 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 purposes of this certification, means officers; directors; owners; partners; and, 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).

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 Section 1001, Title 18, United States Code.

II. The Offeror shall 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.

III. A certification that any of the items in paragraph I 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 Contracting Officer may render the Offeror nonresponsible.

IV. 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 I 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.

V. The certification in paragraph I 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 Government, the Contracting Officer may terminate the contract resulting from this solicitation for default.

(Firm Name)

(Signature)

(Print Name)

(Print Title)

(Date Certified)

EXHIBIT 1 - SAMPLE INSURANCE CERTIFICATE

CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

PRODUCER	CONTACT NAME:	
	PHONE	FAX
	E-MAIL ADDRESS:	
	INSURER(S) AFFORDING COVERAGE	
	NAIC #	
INSURED	INSURER A :	
	INSURER B :	
	INSURER C :	
	INSURER D :	
	INSURER E :	
	INSURER F :	

COVERAGES

CERTIFICATE NUMBER:

REVISION NUMBER:

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

NSR LTR	TYPE OF INSURANCE	ADDL SUBR		POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS	
		INSR	WVD					
	GENERAL LIABILITY		<input checked="" type="checkbox"/>				EACH OCCURRENCE	\$1,000,000
	<input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY		<input checked="" type="checkbox"/>				DAMAGE TO RENTED PREMISES (Ea occurrence)	\$50,000
	<input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR						MED EXP (Any one person)	\$
							PERSONAL & ADV INJURY	\$1,000,000
							GENERAL AGGREGATE	\$2,000,000
	GEN'L AGGREGATE LIMIT APPLIES PER:						PRODUCTS - COMP/OP AGG	\$1,000,000
	<input type="checkbox"/> POLICY <input checked="" type="checkbox"/> PROJECT <input type="checkbox"/> LOC						BLANKET CONTRACTUAL LIAB (Ea accident)	\$1,000,000
	AUTOMOBILE LIABILITY		<input checked="" type="checkbox"/>				COMBINED SINGLE LIMIT	\$1,000,000
	<input type="checkbox"/> ANY AUTO		<input checked="" type="checkbox"/>				BODILY INJURY (Per person)	\$
	<input type="checkbox"/> ALL OWNED AUTOS	<input type="checkbox"/> SCHEDULED AUTOS					BODILY INJURY (Per accident)	\$
	<input checked="" type="checkbox"/> HIRED AUTOS	<input checked="" type="checkbox"/> NON-OWNED AUTOS					PROPERTY DAMAGE (Per accident)	\$
								\$
	UMBRELLA LIAB						EACH OCCURRENCE	\$
	<input type="checkbox"/> OCCUR						AGGREGATE	\$
	EXCESS LIAB							\$
	<input type="checkbox"/> CLAIMS-MADE							\$
	DED	RETENTION \$						\$
	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY						<input checked="" type="checkbox"/> WC STATUTORY LIMITS	OTHER
	ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH)	Y / N					E.L. EACH ACCIDENT	\$500,000
	If yes, describe under DESCRIPTION OF OPERATIONS below	<input type="checkbox"/>					E.L. DISEASE - EA EMPLOYEE	\$1,000,000
	Professional Liability						E.L. DISEASE - POLICY LIMIT	\$500,000
							Each Claim: \$1,000,000	Annual Aggregate: \$2,000,000

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (Attach ACORD 101, Additional Remarks Schedule, if more space is required)

- Additional insured: the policies for general liability and automobile liability shall be endorsed to include the following additional insured language: "the state of arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees shall be named as additional insureds with respect to liability arising out of the activities performed by or on behalf of the contractor."
- Primary coverage: the contractor's (insured) insurance coverage shall be primary insurance with respect to all other available sources.
- Notice of cancellation: each insurance policy required by the insurance provisions of this contract shall provide the required coverage and shall not be suspended, voided, canceled, or reduced in coverage or in limits except after thirty (30) days prior written notice has been given to northern arizona university.
- Waiver of subrogation: commercial general liability, professional liability, and workers' compensation policies shall contain a waiver of subrogation against the state of arizona, its departments, agencies, boards, commissions, universities & its officers, officials, agents, & employees for losses arising from work performed by or on behalf of the contractor.

CERTIFICATE HOLDER

CANCELLATION

<p>State of Arizona, Arizona Board of Regents, University Name University Address</p>	<p>SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE GIVEN IN ACCORDANCE WITH THE POLICY PROVISIONS.</p>
	AUTHORIZED REPRESENTATIVE

EXHIBIT 2 – FREQUENTLY ASKED QUESTIONS (FAQ)

The following is a list of the most frequently asked questions regarding the Annual Request for Qualifications. If any questions remain unanswered, please refer to the contact information in Section II – E.

1. Q: My firm already has an open-end agreement with the university. Is it necessary that we respond to the ARQ?
A: **YES.** No new work will be issued under the previous open-end agreement version(s). If your firm would like to be considered for projects, you **must** respond to the ARQ. The information submitted with the ARQ is put into a database. As projects are identified, a sort of the database is done. The parameters used to facilitate the sort are taken from the most recent ARQ. All previous years' information is purged from the database. If you do not respond to the current ARQ, your firm will not be entered in the database, even if there is an existing open-end agreement from a previous ARQ version.
2. Q: Our firm submitted ARQ qualifications, but we have not received an open-end agreement yet?
A: Submitting qualifications does not guarantee that a firm will receive the open-end agreement or Project Authorizations. Your firm will not receive an open-end agreement until it is chosen for a project. The open-end contract will only be issued once and will remain valid for the length of the ARQ period.
3. Q: My firm submitted a response to the ARQ this year. Can you tell me its status?
A: Respondents will be notified via email that their submittal was entered into the database. If you have not been notified within a week of your submitting your qualifications, please contact Jessica Ott at Jessica.Ott@nau.edu.
4. Q: My firm has already responded to the ARQ for one of the other state universities. Do we need submit our qualifications to each university separately?
A: Yes. Although the ARQ is similar in form for each university, there are some differences. Please submit qualifications to each university your firm wishes to do business with.
5. Q: How does my firm go about getting an open-end contract with the University?
A: The first step is to submit qualifications in response to the current ARQ. That information is entered into the database and, as the need arises, the database is sorted using project-specific criteria. A shortlist of firms is created and ranked in order of qualifications. Firms are then notified of their selection for work on the project. It is at this time that the open-end contracting process begins (if a firm does not already have an open-end contract in place)
6. Q: My firm has a current ARQ on file with the university. Today we heard about a project at the university. Why weren't we notified of this project?
A: Submittal of an ARQ and inclusion in the database does **not** mean a firm will be notified of upcoming University projects.
7. Q: We're a general contracting firm and interested in doing projects at the University. Do we need to submit an ARQ?
A: Not necessarily. The ARQ is designed for firms providing professional services such as design-related or specialty services such as materials testing, cost estimating, construction management, partnering facilitation, etc. As a state entity, any qualified General Contractor is eligible to bid on construction projects. If your firm is interested in providing construction of a project, **no**, you do not need to submit an ARQ. However, if your firm provides construction management service or partnering facilitation and you would like to be considered for these services, **yes**, you should submit an ARQ.

8. Q: My firm submitted an ARQ this year. We have since added two new disciplines with Arizona registrations. Do we need to notify the University and, if so, how?

A: ARQ submittals can be updated, revised, submitted or withdrawn at any time. If your firm has submitted an ARQ and is in the database, the University should be notified of any changes made. Those changes include a change of address, change in firm name, change in ownership, addition to or deletion of registered personnel. A complete ARQ response is ***not*** required in order to notify the University of these changes. The University can be notified of changes as follows:

Submit the letter in Exhibit 3 with any revisions or updates to the submittal. Additionally, any change to the information contained on the Consultant Data Sheet (i.e. contact information, disciplines, experience, etc.), shall be submitted on a new Consultant Data Sheet.

9. Q: How do I provide supplemental information on my projects?

A: Section "H" of the GSA Standard Form 330 allows for supplemental information on projects. Please keep supplemental information to a minimum of ten (10) sheets. The GSA Standard Form 330 can be accessed by going to www.gsa.gov.

EXHIBIT 3 – UPDATES TO ARQ SUBMITTAL

ARQ Submittal – Update
to the
2018 Annual Request for Qualifications

As regards to the qualifications submittal dated _____,
(DATE OF YOUR FIRM'S SUBMITTAL)

Submitted to Northern Arizona University for Facility-related Professional Services

By: _____
Company Name

Company Address

City, State Zip

- No changes need to be made to *Company Name's* Submittal at this time.
- Changes to the *Company Name's* Submittal are as indicated in the attached documentation.
- New Submittal from *Company Name's* is attached and shall replace the prior Submittal in its entirety.
- Remove *Company Name* from *University Name's* ARQ database. *Company Name* understands removing itself from the database eliminates the possibility of selection for projects under the ARQ process.

By:

Signature

Printed Name

Title

Company Name

Date