



**THE ARIZONA BOARD OF REGENTS**

for and on behalf of

**NORTHERN ARIZONA UNIVERSITY**

**2023 ANNUAL REQUEST FOR QUALIFICATIONS**

**NAU Project #: 11.160.232**

for

**FACILITY-RELATED PROFESSIONAL SERVICES**

Date Issued: December 1, 2022

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**NORTHERN ARIZONA UNIVERSITY  
2023 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.**

**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 limits set in ABOR Policy Manual Section 3-804.B.2. 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 executed Standard Form Agreement (master contract) for the 2023 ARQ or executed project-specific contracts (Project Authorization) issued under the 2023 ARQ 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 2023 ARQ by visiting NAU’s website at <https://in.nau.edu/facility-services/bids-rfq/>. The Standard Form Agreement is available for inspection at <https://in.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 instructions 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:  
Judith Scholar Winfield, Contracts Analyst  
928-523-4468  
[Judith.scholarwinfield@nau.edu](mailto:Judith.scholarwinfield@nau.edu)

ARIZONA BOARD OF REGENTS

By: Bjorn Flugstad, Senior Vice President NAU

## **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)
- Client References (Attachment D – template not attached)
- Other – Certifications and Legal Requirements (Attachment E forms 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 project-specific work or 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 for project-specific work 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.

### **B. Review and Selection**

When the University identifies a need for a consultant for a project, the University queries the ARQ database based on specific project needs. The database 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. If negotiations are successful, the University will issue a Project Authorization to the selected firm.

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.

### **D. Annual Renewal of Submittal**

Qualification packages will be valid through December 31, 2027, provided however, either a letter on company letterhead signed by an authorized signatory of your firm stating that there are “NO CHANGES” should be submitted or a submittal of the “CONSULTANT DATA SHEET” should be submitted identifying any changes by October 31<sup>st</sup> of each year. Qualification packages submitted previously under this 2023 Annual Request for Qualification (ARQ) may not be reviewed unless the “NO CHANGES” letter OR revised “CONSULTANT DATA SHEET” is on file after October 31<sup>st</sup>. A sample letter is attached in Exhibit 3. In addition, new or revised qualifications packages may be submitted, amended or withdrawn at any time.

## **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 and review of submittals. 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 email address for the main contact.

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

Attachment B: Comparable Projects (provided by firm in format determined 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:  
<https://www.gsa.gov/forms-library/architect-engineer-qualifications> .

Attachment D: Client References (provided by firm in format determined by firm) Respondents should include contact name, company/organization name, physical address, email 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 bound, for example wire- 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 USB/flash drive. The electronic file must be in one PDF file with no passwords.

#### D. Delivery of Submittals

Formal sealed qualifications must be delivered or mailed to:

Northern Arizona University  
Facility Services  
Attn: Judith Scholar Winfield  
501 E. Pine Knoll Drive  
Building 77, Room 101  
PO Box 5637  
Flagstaff, AZ 86011-5637

Submittals may also be dropped off at Facility Services (Building #77), Planning, Design & Construction (Room 101), between the hours of 8:00 AM and 4:00 PM.

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

2023 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 Judith Scholar Winfield, Contracts Analyst, at (928) 523-4468.

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-by-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: <https://in.nau.edu/contracting-purchasing-services/conflict-of-interest-vendors/>.

## **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.

The selected firm for each project will be invited to sign 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, 2027. Please note that establishment of an open-end contract does not obligate the University to award projects. A firm that is selected for work on multiple contracts will only be required to sign one Standard Form Agreement during the period of this 2023 ARQ program unless the Standard Form Agreement is revised during this five (5) year period to December 31, 2027.

### **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 <https://in.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 to this ARQ 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 executed 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)	_____	Others (OTH) _____	_____

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)	_____	Other (OTH) _____	_____

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://in.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: \_\_\_\_\_  
Addendum Number: \_\_\_\_\_ Dated: \_\_\_\_\_  
Addendum Number: \_\_\_\_\_ Dated: \_\_\_\_\_  
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 on form SF330)**

**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 Proposer, 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 Proposer 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.

Name of Proposer		
Name of Contact		Title of Contact
Address 1		Address 2
City	State	Zip Code
		-
Telephone Number		E-mail address
(    )    -		
Print Name of Proposer's Authorized Agent		Signature of Proposer's Authorized Agent
Title of Proposer's Authorized Agent		Date
<b>AN AUTHORIZED AGENT OF THE OFFEROR SHALL SIGN THE ANTI-LOBBYING CERTIFICATION</b>		

## ATTACHMENT E.2 - CONFLICT OF INTEREST CERTIFICATION

Date:

Planning, Design & Construction  
Northern Arizona University

The undersigned certifies, pursuant to Arizona Revised Statute [38-503](#), that to the best of his/her knowledge (check one):

- There is no officer or employee of Northern Arizona University who has, or whose relative has, a substantial interest in any Contract award subsequent to this RFP.
  
- 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 award subsequent to this RFP are identified by name as part of the submittal.

The undersigned further certifies, in accordance with Federal Acquisition Regulation 52.209-5, that Proposer (check one)  **IS** or  **IS NOT** currently debarred, suspended, or proposed for debarment by any federal entity. The undersigned agrees to notify the University of any change in this status, shall one occur, until such time as an award has been made under this procurement action. The debarred list (List of Parties Excluded from Federal Procurement and Non-Procurement Programs) can be found at: <https://www.sam.gov/portal/SAM/#1>.

In compliance with RFP Number: \_\_\_\_\_ and after carefully reviewing all the terms and conditions imposed therein, the undersigned agrees to furnish such goods and/or services in accordance with the specifications/scope of work according to the Offer submitted or as mutually agreed upon by subsequent negotiation.

Name of Proposer		
Name of Contact		Title of Contact
Address 1		Address 2
City	State	Zip Code
		-
Telephone Number		E-mail address
(    )    -		
Print Name of Proposer's Authorized Agent		Signature of Proposer's Authorized Agent
Title of Proposer's Authorized Agent		Date
<b>AN AUTHORIZED AGENT OF THE OFFEROR SHALL SIGN THE PROPOSAL CERTIFICATION</b>		



## 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:

(a) (1) The Proposer certifies, to the best of its knowledge and belief, that—  
(i) The Proposer 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 (List of Parties Excluded from Federal Procurement and Nonprocurement Programs) is at <http://epls.arnet.gov> 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 Proposer (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.

(2) "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.

(b) The Proposer shall provide immediate written notice to the Contracting Officer if, at any time prior to contract award, the Proposer learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

(c) A certification that any of the items in paragraph (a) 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 Proposer's responsibility. Failure of the Proposer to furnish a certification or provide such additional information as requested by the Contracting Officer may render the Proposer nonresponsible.

(d) 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 a Proposer is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

(e) The certification in paragraph (a) of this provision is a material representation of fact upon which reliance was placed when making award. If it is later determined that the Proposer 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.

Name of Proposer		
Name of Contact		Title of Contact
Address 1		Address 2
City	State	Zip Code
		-
Telephone Number		E-mail address
(   ) -		
Print Name of Proposer's Authorized Agent		Signature of Proposer's Authorized Agent
Title of Proposer's Authorized Agent		Date
<b>AN AUTHORIZED AGENT OF THE OFFEROR SHALL SIGN THE FEDERAL DEBARRED LIST CERTIFICATION</b>		

# EXHIBIT 1 - SAMPLE INSURANCE CERTIFICATE

## ARIZONA BOARD OF REGENTS CERTIFICATE OF INSURANCE (FS#6)

PROJECT NAME: ARQ – Any and All Projects

NAU PROJECT #: 11.160.232

PRODUCER	<b>COMPANIES AFFORDING COVERAGE</b> Insurance is to be placed with duly licensed or approved non-admitted insurers in the State of Arizona with an A.M. Best rating of not less than <b>A- VII</b>		CURRENT A.M. BEST RATING
	A		
	B		
INSURED	C		

Contractor shall furnish Northern Arizona University with certificates of insurance (ACORD form or equivalent approved by the State of Arizona). The certificates for each insurance policy are to be signed by a person authorized by that insurer to bind coverage on its behalf. All certificates of endorsements are to be received and approved by Northern Arizona University before work commences. Each insurance policy required by this Contract must be in effect at or prior to commencement of work under this Contract and remain in effect for the duration of the project. Failure to maintain the insurance policies as required by this Contract, or to provide evidence of renewal, is a material breach of contract.

CO LTR	TYPE OF INSURANCE	POLICY NUMBER	POLICY EFFECTIVE DATE (MM/DD/YY)	POLICY EXPIRATION DATE (MM/DD/YY)	LIMITS	
	<b>GENERAL LIABILITY</b> COMMERCIAL GENERAL LIABILITY : OCCURRENCE				GENERAL AGGREGATE	\$ 2,000,000
					PRODUCTS-COMP/OP AGG.	\$ 1,000,000
					PERSONAL & ADV INJURY	\$ 1,000,000
					EACH OCCURRENCE	\$ 1,000,000
					DAMAGE TO RENTED PREMISES	\$ 50,000
					BLANKET CONTRACTUAL LIABILITY	\$ 1,000,000
	<b>AUTOMOBILE LIABILITY</b> : ANY AUTO				COMBINED SINGLE LIMIT	\$ 1,000,000
	<b>PROFESSIONAL LIABILITY</b> <input type="checkbox"/> TYPE: _____ <input type="checkbox"/> CLAIMS MADE <input type="checkbox"/> OCCURRENCE				EACH OCCURRENCE	\$ 1,000,000
					ANNUAL AGGREGATE	\$ 2,000,000
	<b>EXCESS LIABILITY</b> <input type="checkbox"/> UMBRELLA FORM <input type="checkbox"/> OTHER THAN UMBRELLA FORM				EACH OCCURRENCE	\$
					AGGREGATE	
	<b>WORKERS COMPENSATION AND EMPLOYERS' LIABILITY</b>				STATUTORY LIMITS	
					EACH ACCIDENT	\$ 1,000,000
					DISEASE-POLICY LIMIT	\$ 1,000,000
					DISEASE-EA EMPLOYEE	\$ 1,000,000

THIS CERTIFICATE APPLIES TO ANY AND ALL PROJECTS AT NORTHERN ARIZONA UNIVERSITY. DESCRIPTION OF OPERATIONS/LOCATIONS/VEHICLES/SPECIAL ITEMS:

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.

IT IS AGREED THAT COVERAGES AFFORDED UNDER THE POLICIES CERTIFIED IN THIS CERTIFICATE SHALL BE PRIMARY FOR THE PERSON OR ORGANIZATION SHOWN IN THE SCHEDULE, BUT ONLY WITH RESPECT TO LIABILITY ARISING OUT OF YOUR WORK FOR THAT INSURED BY OR FOR YOU. OTHER INSURANCE AFFORDED TO THAT INSURED WILL APPLY AS EXCESS AND NOT CONTRIBUTE AS PRIMARY TO THE INSURANCE AFFORDED BY THIS ENDORSEMENT.

IT IS FURTHER AGREED THAT SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, THE ISSUING INSURER WILL ENDEAVOR TO MAIL 30 DAYS WRITTEN NOTICE TO THE CERTIFICATE HOLDER. THIS CERTIFICATE IS NOT VALID UNLESS COUNTERSIGNED BY AN AUTHORIZED REPRESENTATIVE OF THE INSURANCE COMPANY.

POLICIES FOR GENERAL LIABILITY, AUTO LIABILITY, AND WORKERS' COMPENSATION SHALL CONTAIN A WAIVER OF SUBROGATION IN FAVOR OF 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/ADDITIONAL INSURED: NORTHERN ARIZONA UNIVERSITY THE ARIZONA BOARD OF REGENTS THE STATE OF ARIZONA FACILITY SERVICES PO BOX 5637 FLAGSTAFF, AZ 86011	AUTHORIZED REPRESENTATIVE OF THE INSURANCE COMPANY
	SIGNATURE DATE

Insurance-Cert.doc: Rev. 11/22

## **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 2023 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 from January 1, 2023 to December 31, 2027, you **must** respond to this ARQ. The information submitted with the ARQ is put into a database. As projects are identified, a query of the database is done. The parameters used to facilitate the query 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 submitting your qualifications, please contact Judith Scholar Winfield at [judith.scholarwinfield@nau.edu](mailto:judith.scholarwinfield@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, and each university operates its own ARQ. Please submit qualifications to each university with which your firm wishes to do business.
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 queried 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 or selected for upcoming University projects.
7. Q: We are 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 to the 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 to the ARQ.

8. Q: My firm submitted to NAU's 2023 ARQ. 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 to the ARQ and your information is in the database, the University should be notified of any changes made so that we can update our database. Those changes include a change of address, change in firm name, change in ownership, addition to or deletion of registered personnel, and revisions to your experience/disciplines. 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](http://www.gsa.gov).

**EXHIBIT 3 – UPDATES TO ARQ SUBMITTAL**

ARQ Submittal – Update  
to the  
2023 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