



Date Issued: December 6, 2018

THE ARIZONA BOARD OF REGENTS

for and on behalf of

ARIZONA STATE UNIVERSITY

2019 ANNUAL REQUEST FOR QUALIFICATIONS

for

**FACILITY RELATED PROFESSIONAL
SERVICES**

**ASU will begin accepting Consultant email requests for the Annual RFQ
Link on Monday, December 17, 2018**

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**ARIZONA STATE UNIVERSITY
2019 ANNUAL REQUEST FOR QUALIFICATIONS (“ARFQ”)
For Facility Related Professional Services**

LEGAL ADVERTISEMENT

The Arizona State University (“ASU”) hereby invites interested and qualified Consultants 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 AS OF JANUARY 1, 2019.** Qualification packages will be valid through December 31, 2023.

Purpose:

1. To provide the prospective Consultant with the opportunity to indicate interest in being considered for University work by establishing areas of interest, expertise, and experience
2. To provide ASU with a Consultant database (by interest and qualification) that will be used to develop a shortlist by project. If selected, an open-end agreement will be issued.

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 ARFQ apply for projects for amounts up to the maximum permitted under ABOR Policy. At present time, the maximum fee for a single project for professional services by an architect or architect firm, or engineering services and other non-architect professional services up to \$500,000. If these amounts are amended under future ABOR Policy, the amounts will automatically be likewise amended in the existing ARFQ.

This ARFQ is a means to establish qualifications only. To be eligible for consideration, applicants must be registered professionals in the State of Arizona. The Consultant is responsible for the accuracy of information submitted but incurs no further obligation to enter into an agreement as a result of the submittal.

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.

Note: Be advised that agreements are subject to revision without notice.

Submittal of Qualifications Packages:

Follow the instructions in the ARFQ for information on how to submit. No material beyond that requested under the ARFQ should be included in the submittal package.

ASU will begin accepting Consultant email requests for the Annual RFQ Link on Monday, December 17, 2018.

All correspondence relating to this project should be emailed to Construction@asu.edu

ARIZONA BOARD OF REGENTS

By Jay Heiler

Chair

By Ram Krishna

Secretary

Arizona State University

PO Box 875212

Tempe, Arizona 85287-5212

Publication Date: Daily News Tuesday, 12/10/18

SECTION I – ARFQ DESCRIPTION

ASU is seeking qualified Design Professional Architectural, Pre-Construction, Cost Estimating, Commissioning, Facility Project Programming, and Engineering Services (“Consultants”) for, but not limited to, facility-related professional services.

This ARFQ is a means to establish qualifications only. To be eligible for consideration, applicants must be registered professionals in the State of Arizona as required by State Law. The Consultant is responsible for the accuracy of information submitted but incurs no further obligation to enter into an agreement as a result of the submittal. ASU will utilize qualifications submitted as a tool used in the selection of prospective Consultants. Submittal of qualifications does **not guarantee** notification of upcoming projects or award of an agreement.

ASU 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.

Responding Consultants are responsible for keeping information current and up-to-date, including but not limited to, changes in address and personnel. Consultants must follow the instructions in Section IV “How to Submit” to update.

SECTION II – INSTRUCTIONS TO CONSULTANTS

A. General

All ARFQ submittals must follow the format and sequence below. Failure to follow the instructions regarding format and content will result in submittal rejection. No content beyond that requested should be included.

B. Content of Submittals

A complete submittal consists of the following:

Letter of Introduction, which includes the name and address of the Consultant, phone and email address for the primary contact.

Attachment A: Consultant Data Sheet

Attachment B: Comparable Projects

For each of the disciplines selected, Consultants must include a discipline synopsis for up to three projects, and if applicable when 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 Consultant selects five (5) disciplines, as listed on Attachment A, the Attachment B section is limited to fifteen (15) pages.

Attachment C: Professional Licenses and Proposed Team

Resumes of proposed key personnel must be included, indicating specific experience within applicable project disciplines.

Attachment D: Key Personnel Resume Information

Consultants must include contact name, company name, address, phone number and email of primary contact.

Attachment E: Addenda Acknowledgements

Consultant must acknowledge that any posted addenda have been read.

Attachment F: ARFQ Mandatory Certification Forms

Consultant must complete all forms as outlined in SECTION III and include with submittal.

Attachment G: Frequently Asked Questions (FAQ)

C. Format of Submittals

Your submittal must be one .pdf file and cannot exceed 5MB.

D. Interpretation of Documents

See Attachment G “Frequently Asked Questions (FAQ)” or email Construction@asu.edu.

E. Obligations

This ARFQ does not obligate ASU to pay any costs incurred in the preparation of a response nor to enter into an agreement with any Consultant.

F. Fees

This ARFQ does not require a fee proposal. ASU will negotiate with selected Consultant(s) responding to this ARFQ on a project basis. Consultant 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 (ARFQ) process.

SECTION III - ATTACHMENTS AND FORMS WITH ACKNOWLEDGEMENTS

Consultant must sign, date and return all attachments/forms listed below with your proposal.

- Attachment A: CONSULTANT DATA SHEET
- Attachment B: COMPARABLE PROJECTS
- Attachment C: PROFESSIONAL LICENSES & PROPOSED TEAM
- Attachment D: KEY PERSONNEL RESUME INFORMATION
- Attachment E: ADDENDUM ACKNOWLEDGEMENT
- Attachment F: MANDATORY CERTIFICATIONS AND FORMS
- Attachment G: FREQUENTLY ASKED QUESTIONS (FAQ)

If Consultant's submittal is approved and notified of a pending project, the following agreement located at <https://cfo.asu.edu/purchasing-construction> will be issued:

CM@Risk Standard Form Agreement
CM@Risk Exhibit A General Conditions

By submitting a response to this ARFQ, your firm acknowledges and agrees to all terms & conditions of the Standard Form Agreement Between Owner and Design Professional (Annual Request for Qualifications Edition)

Note: Be advised that agreements are subject to revision without notice.

Each Consultant must indicate its present insurance coverage in the insurance section of "Attachment A". If an agreement is issued, a certificate of insurance will be required and approved by ASU before a Consultant can proceed with services. Failure or refusal to furnish required insurance certificates in a form satisfactory to ASU will result in rejection of any proposed agreement. To review complete insurance requirements refer to the 2019 ARFQ Agreement <https://cfo.asu.edu/purchasing-construction>. Once a Consultant executes an open-end agreement with ASU, annual renewal certificates are required as stated in the Standard Form Agreement. See agreement for required insurance requirements. **NOTE: PLEASE DO NOT SUBMIT INSURANCE CERTIFICATES WITH THIS ANNUAL REQUEST FOR QUALIFICATIONS.**

SECTION IV – HOW TO SUBMIT YOUR ARFQ

In order to submit under the ARFQ, you must complete Step 1, Part 1 below.

Step 1 - How to Submit Your ARFQ

Part 1 - Email Account and External User Site Access

1. If you do not already have a Microsoft Account, you will need to set up a Microsoft Account to gain access to the ASU ARFQ online tool: <https://support.microsoft.com/en-ph/help/4026324/microsoft-account-how-to-create>

Note: The email that you use must be accessible in your company by more than one employee. If you lose email access you will need to submit as a new vendor.

2. Set up a new company email or link your existing company email with a Microsoft account. Do not use a personal, employee name (unless it is the firm name), or company marketing/sales email accounts, as these change often.
3. Send a request for an invite to our ARFQ site by sending an email to construction@asu.edu. Include your company name, address, and contact information. You will receive a confirmation in your email account from "ARFQ Submit" with a link to access the ARFQ site. You will be required to sign in with your Microsoft email and password.

Part 2 - Submitting and Completing Forms

This part cannot be completed until you have received a link and have successfully gained access to the ARFQ site.

1. After obtaining access and reading all instructions in 1-ARFQ Submit, select **2-Vendor Contact Info** (also located at left navigation menu), and complete form as thoroughly as possible. In the Email Address field, enter email address used to access this site.

Vendors/Companies

1-ARFQ Submit

2-Vendor Contact Info

3-Annual RFQ 2019

Calendar-Events

Column Dictionary

Documents/Tutorials

FAQ's


Questions/Comments

2. When ready to upload your completed submittal, select **3-Annual RFQ 2019** Form (also located at left navigation menu). Follow instructions at the top of the page and in the form fields utilizing your completed submittal information from Attachments A - D.

3. Name your .pdf document as follows: **Company_Name_ARFQ_2019** (.pdf cannot exceed 5MB)
4. Only one .pdf file allowed per vendor. If uploading a Re-Submittal:
 - Save the document with the same file name
 - Select "Add document" to upload
 - Select "Re-Submitted" and add a note in "Submittal/Changes Comments" with what has changed
5. If you are Updating information in the form only, select "Update" and add a note in the "Submittal/Changes Comments" with what has changed
6. Vendor must include acknowledgement of all Addendums in your submittal (see Attachment E of Annual RFQ)
7. Submittals will be reviewed by ASU Construction Group beginning December 17, 2018 and are reviewed in the order received. Once entered for review, you will receive an email either requesting additional information or notice of approved submittal.

Reminders

- Any issues or changes in company status, contact construction@asu.edu.
- ARFQ documents must be completed prior to uploading and submitting into the **3-Annual RFQ 2019**
- If all required fields (**red ***) are not filled in when "Saving", you may lose some of your field entries
- You will see the below message at the top of your forms and should be disregarded:

 Items on this list require content approval. Your submission will not appear in public views until approved by someone with proper rights. [More information on content approval.](#)

COLUMN DICTIONARY 2019 ARFQ

| Column Name | Column Description |
|--------------------------------|--------------------------------------------------------------------------------------------------------|
| Title | Name of the response document (PDF) (Vendor_Name_2019_ARFQ) |
| Document Status | Received; Rejected-On Hold; Approved |
| Date Submitted | Date solicitation was submitted |
| Company Name | Firm's Name |
| Company - City, State | List the City and State of the Office that would be doing work for ASU |
| Business Type | Is your firm a Small, Large or Individual Business according to the ASU definition, found in your RFQ? |
| | |
| Acoustic/Sound/Vibration Eng. | |
| Archaeology | |
| Architecture | Must be licensed |
| Audio/Visual Design | |
| Biosafety Level Design | |
| Civil Engineering | Must be licensed |
| Commissioning | |
| Electrical Engineering | Must be licensed |
| Environmental Eng/Plng | Must be licensed |
| Environmental Graphics | |
| Estimating | |
| Facility Condition Assessments | |
| Geotechnical Engineering | Must be licensed |
| Information Technology (IT) | |
| Interior Design | |
| Landscape Architecture | Must be licensed |
| Lighting Design | |
| Mechanical Engineering | Must be licensed |
| Partnering Facilitation | |
| Programming/Space Planning | |
| Special Inspections | |
| Specialty: Consultant | |
| Specialty: Engineering | May need to be licensed depending on type |
| Structural Engineering | Must be licensed |
| Surveying | Must be licensed |
| Sustainable Design | |
| | |
| Years of Experience | |
| Column Name | |

| | |
|----------------------------------|-------------------------------------------------------------------------------------------------------------------------|
| Acoustic/Sound/Vibration | Acoustic Design, Vibration Mitigation, and Noise Abatement |
| ADA Compliance /Surveys | Americans with Disabilities Act Regulatory Compliance |
| ADOT Approved Signage | Arizona Department of Transportation |
| Archaeological Services | |
| Athletic/Phys Ed/NCAA Facilities | Facilities for Athletic Use, Physical Education, and for NCAA sports |
| Audio/Visual | |
| Auditorium/Theatre | |
| BioSafety Level Design 1, 2 | |
| BioSafety Level Design 3 | |
| Bridge Design | |
| Central Plant/Utilities | |
| Classroom Technology | |
| Commissioning | |
| Construction Services | |
| Continuity Planning | |
| Cost Estimating Svcs | |
| Elevators/Escalators | |
| Engineered Buildings | Experience in the design of engineered buildings |
| Ergonomics | |
| Facilities Programming | |
| Fine Arts/Public Art | |
| Fire Protection/Design | |
| Food Services | Experience designing student-related foodservice spaces |
| Forensics/Bio Investigation | |
| Geotech/Testing | |
| Graphics-Environmental | Environmental Graphic Design uses communication to effectively display a message to the viewer in the built environment |
| Hazardous Waste Facilities | |
| Historic Preservation | |
| Hospitality | |
| HVAC Design | |
| Information Tech (IT) | |
| Infrastructure | |
| Irrigation Design | |
| Labs: Research Dry | |
| Labs: Research Wet | |
| Labs: Teaching | |
| Landscape Design | |
| Libraries | |

| | |
|-------------------------------------|--------------------------------------------------------------------|
| Lighting | |
| Masonry | |
| Master Planning | |
| Materials Testing/Investigations | |
| Medical/Care Facilities | |
| Museums | |
| Music Facilities | This includes spaces to enjoy, practice, and learn music |
| Office Facilities | |
| Parking Lot/Structure | |
| Partnering Services | |
| Pedestrian/Bicycle Thoroughfare | |
| Planning: Site | |
| Planning: Space | Space management and planning |
| Recreation: Indoor | |
| Recreation: Outdoor | |
| Renovation/Remodel/Tenant Improv | |
| Retail Restaurants/Shops | |
| Roofing | |
| Security System Design | |
| Solar Energy | |
| Stadiums | Experience with repairs and small renovations of existing stadiums |
| Streets/Traffic Eng/Studies | |
| Structural Load Path | |
| Student Housing | |
| Surveying: Aerial | |
| Surveying: Land | |
| Sustainability | |
| Swimming Pools | |
| Testing/Balance | |
| Water Systems/Hydrology Studies | Includes Cold, Hot, Storm and Wastewater Systems |

ATTACHMENT A – CONSULTANT DATA SHEET

Date: _____

Firm Name: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Federal Employers Tax Identification Number or Social Security Number: _____

Phone No.: _____

Contact Person:

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

Principal(s):

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

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

Ownership and Organization Classification:

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 – Consultant has less than \$4M in revenues or less than 100 employees

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

I. DISCIPLINES

- These disciplines apply to the submitting Consultant **only – not their** Sub-Consultants
- Please check only those that your firm is interested in providing

| | | | |
|--------------------------------|-------|-----------------------------|-------|
| Acoustic/Sound/Vibration Eng. | _____ | Information Technology (IT) | _____ |
| Archaeology | _____ | Interior Design | _____ |
| Architecture | _____ | Landscape Architecture | _____ |
| Audio/Visual Design | _____ | Lighting Design | _____ |
| Biosafety Level Design | _____ | Mechanical Engineering | _____ |
| Civil Engineering | _____ | Partnering Facilitation | _____ |
| Commissioning | _____ | Programming/Space Plan. | _____ |
| Electrical Engineering | _____ | Special Inspections | _____ |
| Environmental Eng./Plan. | _____ | Specialty: Consultant | _____ |
| Environmental Graphics | _____ | Specialty: Engineering | _____ |
| Estimating | _____ | Structural Engineering | _____ |
| Facility Condition Assessments | _____ | Surveying | _____ |
| Geotechnical Engineering | _____ | Sustainable Design | _____ |

II. EXPERIENCE EMPHASIS

- For each Experience Emphasis category below, indicate number of years of experience of your most experienced employee
- You may use different employees for each category

| | |
|----------------------------------|----------------------------------|
| Acoustic/Sound/Vibration | Hospitality |
| ADA Compliance/Surveys | HVAC Design |
| ADOT Approved Signage | Information Tech (IT) |
| Archaeological Services | Infrastructure |
| Athletic/Phys Ed/NCAA Facilities | Irrigation Design |
| Audio/Visual | Labs: Research Dry |
| Auditorium/Theatre | Labs: Research Wet |
| BioSafety Level Design 1, 2 | Labs: Teaching |
| BioSafety Level Design 3 | Landscape Design |
| Bridge Design | Libraries |
| Central Plant/Utilities | Lighting |
| Classroom Technology | Masonry |
| Commissioning | Master Planning |
| Construction Services | Materials Testing/Investigations |
| Continuity Planning | Medical/Care Facilities |
| Cost Estimating Svcs | Museums |
| Elevators/Escalators | Music Facilities |
| Engineered Buildings | Office Facilities |
| Ergonomics | Parking Lot/Structure |
| Facilities Programming | Partnering Services |
| Fine Arts/Public Art | Pedestrian/Bicycle Thoroughfare |
| Fire Protection/Design | Planning: Site |
| Food Services | Planning: Space |
| Forensics/Bio Investigation | Recreation: Indoor |
| Geotech/Testing | Recreation: Outdoor |
| Graphics-Environmental | Renovation/Remodel/Tenant Improv |
| Hazardous Waste Facilities | Retail Restaurants/Shops |
| Historic Preservation | Roofing |

Security System Design
 Solar Energy
 Stadiums
 Streets/Traffic Eng/Studies
 Structural Load Path
 Student Housing

Surveying: Aerial
 Surveying: Land
 Sustainability
 Swimming Pools
 Testing/Balance
 Water Systems/Hydrology Studies

III. ARIZONA PROFESSIONAL LICENSES & LEED ACCREDITED PROFESSIONALS

Please indicate the number of individuals licensed or LEED accredited for the following:

| | # of Employees | | # of Employees |
|--------------|-------------------|------------|-------------------|
| 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 | _____ | _____ |
| Gen. Liability | _____ | _____ |
| Prof. Liability | _____ | _____ |
| Workers Comp | _____ | _____ |

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. ASU's requirements are in Exhibit 1. An Insurance Certificate will be requested if and when your firm is hired by ASU.

ATTACHMENT B – COMPARABLE PROJECTS

For each of the disciplines selected, Consultants must include a discipline synopsis up for to three projects, and if applicable when your firm was the Architect or Engineer of Record for that discipline.

Each “Comparable Projects” Discipline Synopsis is limited to three (3) pages. That is, if a Consultant selects 5 disciplines, as listed on Attachment A, the Attachment B section is limited to fifteen (15) pages.

This material may be revised by the Consultant at any time. Supplemental information must be limited to one page only per project

1. Project Title and Location (*City and State*)
2. Year Completed – Professional Services
3. Year Completed – Construction
4. Project Owner’s Information – Project Owner
5. Project Owner’s Information – Point of Contact Name
6. Project Owner’s information – Point of contact Email Address
7. Project Owner’s Information – Point of contact Telephone Number
8. Brief description of project and relevance to this ARFQ (Include scope, size, and cost)
9. Firms/branches from section involved with this project

| (1) Firm Name | Personnel | (2) Firm Location (City, State) | (3) Role |
|---------------|-----------|---------------------------------|----------|
| | | | |
| | | | |
| | | | |
| | | | |

ATTACHMENT D – KEY PERSONNEL RESUME INFORMATION

RESUMES OF KEY PERSONNEL PROPOSED FOR WORK UNDER THIS ARFQ

- Provide Information below for each key person
 1. Name (include LEED certification, if applicable)
 2. Role in the field
 3. Years of experience (total)
 4. Years of experience (with current firm)
 5. Firm name and location (city and state)
 6. Education (degree and specialization)
 7. Current professional registration (state and discipline)
 8. Other professional qualifications (publications, organizations, training, awards, etc.)
- For each relevant project, include the following information
 1. Title and location (city and state)
 2. Year completed (professional services)
 3. Year completed (construction if applicable)
 4. Brief description (brief scope, size, cost etc.) and specific role
 5. State what firm the employee was employed by when project was completed

ATTACHMENT E - ADDENDA ACKNOWLEDGMENTS

Consultant must acknowledge all Addenda viewed on Construction/Facilities Bid Board <https://cfo.asu.edu/construction-facilities-bid-board> 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: _____

Acknowledged By: _____ Dated: _____

Print Name: _____

Title: _____

ATTACHMENT F – MANDATORY CERTIFICATIONS AND FORMS

F.1 - ANTI-LOBBYING CERTIFICATION

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

_____ (date)

Purchasing and Business Services
Arizona State University
PO Box 875212
Tempe, AZ 85287-5212

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)

(Address)

(Signature Required)

(Phone)

(Print Name)

(Fax)

(Print Title)

(Federal Taxpayer ID Number)

F.2 - CONFLICT OF INTEREST CERTIFICATION

_____ (date)

Purchasing and Business Services Arizona State University
PO Box 875212
Tempe, AZ 85287-5212

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

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

() The names of any and all public officers or employees of Arizona State 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)

(Address)

(Signature Required)

(Phone)

(Print Name)

(Fax)

(Print Title)

(Federal Taxpayer ID Number)

F.3 - FEDERAL DEBARRED LIST CERTIFICATION

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

_____ (date)

Purchasing and Business Services Arizona State University
PO Box 875212
Tempe, AZ 85287-5212

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

(a) (1) 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 (List of Parties Excluded from Federal Procurement and Nonprocurement Programs) is at <http://epls.arnet.gov>).

(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.

i. 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.

(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 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.

(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 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.

(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 an Offeror 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 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)

(Address)

(Signature Required)

(Phone)

(Print Name)

(Fax)

(Print Title)

(Federal Taxpayer ID Number)

F.4 - LEGAL WORKER CERTIFICATION

_____ (date)

Purchasing and Business Services Arizona State University
PO Box 875212
Tempe, AZ 85287-5212

As required by Arizona Revised Statutes §41-4401 the University is prohibited after September 30, 2008 from awarding a contract to any contractor who fails, or whose subcontractors fail, to comply with Arizona Revised Statutes § 23-214-A. The undersigned entity warrants that it complies fully with all federal immigration laws and regulations that relate to its employees, that it shall verify, through the employment verification pilot program as jointly administered by the U.S. Department of Homeland Security and the Social Security Administration or any of its successor programs, the employment eligibility of each employee hired after December 31, 2007, and that it shall require its subcontractors and sub-subcontractors to provide the same warranties to the below entity.

The undersigned acknowledges that a breach of this warranty by the below entity or by any subcontractor or sub-subcontractor under any Contract resulting from this solicitation shall be deemed a material breach of the Contract, and is grounds for penalties, including termination of the Contract, by the University. The University retains the right to inspect the records of the below entity, subcontractor and sub-subcontractor employee who performs work under the Contract, and to conduct random verification of the employment records of the below entity and any subcontractor and sub-subcontractor who works on the Contract, to ensure that the below entity and each subcontractor and sub-subcontractor is complying with the warranties set forth above.

(Firm)

(Address)

(Signature Required)

(Phone)

(Print Name)

(Fax)

(Print Title)

(Federal Taxpayer ID Number)

F.5 - SUPPLIER SUSTAINABILITY GUIDELINES

ASU Purchasing and Business Services, in conjunction with University Sustainability Practices, has implemented [Sustainable Purchasing Guidelines](#) for procuring products and services that support and advance [ASU's Sustainability Goals](#). For the purpose of evaluating Sustainability the following description applies: A process of current or developing business practices and technologies that restore and enhance the environment by supplying products and services that have a lesser or reduced effect on human health and the environment when compared with competing products or services that serve the same purpose. This comparison may consider raw materials acquisition, production, manufacturing, packaging, distribution, reuse, operation, maintenance or disposal of the product or service. The Supplier Sustainability Questionnaire is used to help ASU understand how sustainable a supplier is. Sustainability is an important goal for the university, and as such, we expect our suppliers to help us support this goal.

SUSTAINABILITY QUESTIONNAIRE

Internal Practices

1. Does your firm have published sustainability goals and a plan?

- Yes
- No

If yes, please provide the link:

2. Does your firm have published sustainability metrics?

- Yes
- No

If yes, please provide the link:

3. ASU has a goal to achieve carbon neutrality by 2025 for Scope 1 and Scope 2 emissions. Scope 3 by 2035. Do you have a public carbon neutrality goal?

- Yes
- No

If yes, please provide the link:

4. Has your firm conducted a greenhouse gas inventory?

- Yes
- No

| | Year | Qty (MTCDE) |
|-----------------------------------|------|-------------|
| Baseline | | |
| Most Recent | | |
| % Increase (decrease) vs baseline | | % |

Comments:

5. Has your firm taken measures to reduce emissions related to air and commuting travel?

Yes

No

If yes, please provide examples:

6. ASU has a goal to divert 90% of its waste from landfills by 2025. Does your organization have a waste diversion goal?

Yes

No

If yes, please provide the link:

7. Does your firm track its solid waste?

Yes

No

If yes, please provide the following using units of tons or pounds as appropriate:

| | Year | Recycled | Compost | Landfill |
|-------------|------|----------|---------|----------|
| Baseline | | | | |
| Most Recent | | | | |

Comments:

8. Has your firm taken measures to reduce printing and paper waste?

Yes

No

If yes, please provide examples:

9. ASU has a goal to reduce water use by 20% by 2022. Does your firm have a water reduction goal?

Yes

No

If yes, please provide the link:

10. Does your firm track its water usage?

- Yes
- No

If yes, please provide the following indicating units of kgal or mgal as appropriate:

| | Year | Potable Water Used | Rainwater + Greywater + Blackwater Captured/Treated/Reused |
|-------------|------|--------------------|------------------------------------------------------------|
| Baseline | | | |
| Most Recent | | | |

Comments:

11. Does your organization participate in and or support community service, not for profit organizations and inclusive community success?

- Yes
- No

If yes, please provide examples:

12. Has your firm developed measures to improve organizational diversity, inclusion and enhance employee engagement?

- Yes
- No

If yes, please provide examples:

13. Does your firm have any external ratings, certifications or awards related to diversity, inclusion and employee engagement such as GPTW, JUST, etc.?

- Yes
- No

If yes, please provide the names of the ratings, certifications or awards and link:

14. Do you provide health care insurance to your employees? If yes, what percentage of your employees are covered by your firm's health care insurance?

- Yes %
- No

15. Is your firm a 501C-3, employee owned, cooperative, incorporated as a B Corp, or do you provide employee profit sharing?
- Yes
 - No

If yes, please specify:

16. Does your firm have any external sustainability certifications such as DJSI, GRI, GBB, Green C, Certified B Corporation, Green America, Green Plus, etc?
- Yes
 - No

If yes, please provide the names of the certifications and links:

17. Has your firm committed to any goals created by an external organization related to climate change?
- Yes
 - No

If yes, please provide the goals and links your firm has committed to:

18. Are there any other internal sustainability efforts you would like to mention?
- Yes
 - No

If yes, please provide here:

Business Practices

19. How many total employees including leaders does your firm employ and how many of those employees hold green building accreditations such as Living Future Ambassador, LEED AP, LEED GA, WELL AP, SITES AP, Passive House Designer, Passive House Consultant, Green Globes Professional, Certified Energy Manager, etc?

| Number of employees | Number of employees with accreditations |
|---------------------|-----------------------------------------|
| | |

20. How many people make up your firm's leadership team, and how many of those leaders hold green building accreditations such as Living Future Ambassador, LEED AP, LEED GA, WELL AP, SITES AP, Passive House Designer, Passive House Consultant, Green Globes Professional, Certified Energy Manager, etc?

| Number of leaders | Number of leaders with accreditations |
|-------------------|---------------------------------------|
| | |

21. How many projects has your firm completed in the past five years, and how many of those projects are certified or pending certification such as ILFI Zero Carbon, ILFI Zero Energy, Living Building Challenge Petal, Living Building Challenge Full, LEED Certified, LEED Silver, LEED Gold, LEED Platinum, WELL Silver, WELL Gold, WELL Platinum, etc?

| Number of projects | Number of projects certified | Number of projects pending certification |
|--------------------|------------------------------|------------------------------------------|
| | | |

22. Has any of your firms projects completed in the last 5 years have won AIA COTE Awards?

- Yes
- No Comments:

23. Has your firm adopted Architecture 2030's 2030 Challenge?

- Yes
- No

If yes, please report on or provide a link to your firm's progress:

F.6 - SERVICE PROVIDER ACKNOWLEDGEMENT

All service providers are required to read and sign the ASU Service Provider Agreement prior to performing work that may involve disturbing of any surface materials on ASU property. Failure on the part of the service provider to comply with these requirements may result in termination of the contract with ASU.

Arizona State University is committed to protecting the health and welfare of students, faculty, staff, visitors, and to the environment. Accordingly, it is important that all members of the ASU community recognize and share this commitment and comply with the environmental, health and safety policies, rules, procedures and regulations governing ASU campus activities.

ASU is also looking to the community, including service providers, for cooperative and responsible leadership that will help the University implement a safer environment through safer practices and more sustainable solutions.

Towards this end, it is ASU's expectation that all service providers have the responsibility for environmental, health, and safety issues created or otherwise arising from or related to their work under their contract with ASU.

The service provider shall ensure that its employees are properly identified (e.g. officially issued picture ID and/or badge) and have been instructed about the boundaries of their work areas. Service providers will comply with all applicable local, state, and federal rules and regulations, including those related to the Occupational Safety and Health Act of 1970.

For all service providers, ASU is providing a few general guidelines in this document concerning conducting work on ASU Job Sites.

SERVICE PROVIDER -- refers to any individual, company, or corporation who is hired by ASU or an ASU employee to provide construction, repair or maintenance related services on ASU property or facilities.

GENERAL SITE INFORMATION

Failure on the part of the service provider to comply with the following requirements may result in termination of the contract with ASU. Prior to working in areas where site-related hazards might be present, all service providers shall consult with the Project Manager for more information

- Permission must be obtained from the Project Manager whenever it is necessary for personnel to go to the roof of any building.
- Lunch and break areas are to be coordinated through the Project Manager.
- Pedestrians should use walkways where provided. Shortcuts shall not be taken through operating areas.
- Explosives of any type are prohibited on the site with the **exception of Powder Actuated Tools.**

- Barricading of ASU streets (contacting ASU Police at 480-965-3456 is required prior to any barricades being set).

PARKING -- Park in specified areas only. The proper parking permit must be secured from ASU Parking and Transit Systems (PTS) and displayed appropriately in vehicles. Contact the Project Manager and/or at PTS at 480-965-9297. Do not block entrance ramps, trash docks, and truck doors, etc.

Web View of [Service Provider Job-Site Safety Information](#)

DISCLOSURE OF ASBESTOS, LEAD AND/OR OTHER HAZARDOUS MATERIALS

Arizona State University is informing all service providers of the potential presence of asbestos, lead and or other hazardous materials at ASU. Depending on the location(s) of your work, there may be one or more of these materials present. It is your responsibility to discuss the full scope of your work with the CPMG Project Manager or designee so that you have the appropriate information related to asbestos, lead and/or other potentially hazardous materials. If the scope of your work changes, contact your CPMG Project Manager or designee before proceeding to determine if the change in scope may involve the potential disturbance of asbestos, lead and/or other hazardous materials.

Should there be changes to your scope of work affecting areas outside of your original contract area, or, if unforeseen or unidentified suspect materials be uncovered or discovered during your work, you are required to stop all work which would impact those materials until they can be evaluated and tested by ASU. Immediately upon discovery of any unidentified or unforeseen building material, you must notify the CPMG Project Manager to arrange for ASU to evaluate and test the materials.

Prior to your work taking place, inspections for asbestos, lead and other potentially hazardous materials must be (or have been) conducted by ASU, and identified materials (containing asbestos, lead or other hazardous materials) that would be disturbed by your current scope of work will be (or have been) removed or isolated in such a manner as to prevent potential exposure. Please contact ASU CPMG Asbestos Program Manager at 480-965-7739 to determine if, based on your current scope of work, there any remaining materials which are or may be present in adjacent location(s), but should not be disturbed.

Your signature on this document acknowledges you received this disclosure and that you had the opportunity to review your scope of work with the CPMG Project Manager or designee.

The [Service Provider Job-Site Safety Information](#) Orientation document is meant to serve as a guide for the contractor/vendor, any and all of its supervisors, and any and all of its subcontractors during their performance within the scope of work under their contract with ASU. Although the document sets forth certain guidelines and rules of operations on ASU sites, it is not intended to address every potential safety and health issue that may arise during the scope of the contracted work. **IT DOES NOT COVER EVERY POSSIBLE SITUATION.**

While ASU retains the right to periodically review the work of any service provider, its supervisors, or its subcontractors, ASU does not assume responsibility for any issues identified outside of contract compliance.

Accordingly, ASU expects each service provider to supplement the provisions contained in the

Service Provider Job-Site Information & Guideline document with proper instructions and work practices that, based on knowledge and experience, will help decrease the likelihood of injury to service provider employees, subcontractors' employees, and to others, as well and prevent damage to property and material on ASU sites.

[Service Provider Name] _____

[Street Address] _____

[City, State Zip] _____

The above service provider certifies that they, any and all of its subcontractor's, or its supervisors, prior to commencing any work on an ASU site, have reviewed and understand the contents of the Service Provider Job-Site Information & Guidelines document and/or have attended the Service Provider Job-Site Information & Guidelines orientation program produced by ASU Department of Environmental Health and Safety. By having their representative sign and date this document prior to commencing any work, the service provider accepts, and agrees to the provisions of these Acknowledgement Clauses. The service provider is required to provide the original of this signed document to EHS and a copy to CPMG.

[Name] _____ **[Title]** _____

Employer Representative Signature

Date

ATTACHMENT G – 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 email Construction@asu.edu

1. Q: My firm already has an open-end agreement with the ASU. Is it necessary that we respond to the 2019 ARFQ?

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 new projects, you **must** respond to the 2019 ARQ.
2. Q: Our firm submitted ARFQ 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. Your firm will not receive an open-end agreement until it is selected for a project. The open-end agreement will only be issued once and will remain valid for the length of the ARQ period.
3. Q: My firm responded to the ARFQ this year. Can you tell me its status?

A: Consultants will be notified via email that their submittal was approved by Purchasing. If you have not been notified within 30 days after submitting your qualifications, please contact Construction@asu.edu.
4. Q: My firm has already responded to the ARFQ for one of the other state universities. Do we need submit our qualifications to ASU separately?

A: Yes. Although the ARFQ is similar in form for each university, there are some differences so Consultants must submit qualifications to each university.
5. Q: My firm has a current ARFQ on file with ASU. Today we heard about a project at ASU. Why weren't we notified of this project?

A: Submittal of an ARFQ does **not** mean a firm will be notified of upcoming ASU projects.
6. Q: My firm submitted an ARFQ this year. We have since added two new disciplines with Arizona registrations. Do we need to notify the University and, if so, how?

A: Consultant ARFQ submittals can be revised at any time. Consultant is responsible to keep your company information current. Refer to Section IV - How to Submit.