

# REQUEST FOR PROPOSALS PACKAGE



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### Proposed Statement of Services

Other:  
 Attachment A - 2016 Bulk Fuel Upgrades Letter Report  
 Beaver, Alaska  
 Attachment B - 2016 Bulk Fuel Upgrades Letter Report  
 Chalkyitsik, Alaska

## ISSUING OFFICE

Agency Contact & Phone No..... : Lois Lemus – 907.771.3909 Email: [llemus@aidea.org](mailto:llemus@aidea.org)  
 Contracting Division..... : Alaska Energy Authority

## PROJECT

RFP NUMBER..... : 20028  
 Project Site (City, Village, etc.)..... : Beaver and Chalkyisik Alaska  
 Project Title & Contract Description..... : Beaver and Chalkyisik BFU Maintenance & Improvement

The Contractors shall provide services for Bulk Fuel Tank Farm design, engineering, construction administration and support services for maintenance and improvement of existing bulk fuel facilities in Beaver and Chalkyitsik. Preliminary scope of work defined in attached Letter Reports. Each report defines 3 potential scopes of work. This proposal should be based on Option B which mitigates the major concerns without completely replacing the existing infrastructure.

## SCHEDULE & PAYMENT

This is a Denali Commission and State Funded project. Anticipated period for performance-Begin/End: January 1, 2020 through December 21, 2020.

### Estimated amount of proposed contract:

- Less than \$100,000       \$100,000 to \$250,000  
 \$250,000 to \$500,000       \$500,000 to \$1,000,000       \$1,000,000 or greater

### Proposed Method(s) of Payment:

- Fixed Price Plus Expenses (FPPE)       Firm Fixed Price (FFP)       Cost Plus Fixed Fee (CPFF)  
 Other: Various

## SUBMITTAL DEADLINE AND LOCATION

*OFFERORS ARE RESPONSIBLE TO ASSURE DELIVERY PRIOR TO DEADLINE (3 AAC 100.360). ONLY PROPOSALS RECEIVED PRIOR TO THE FOLLOWING DATE AND TIME WILL BE OPENED.*

DATE: **December 3, 2019**      PREVAILING TIME: **2:00 PM**

### HAND DELIVER ONLY DIRECTLY TO FOLLOWING LOCATION :

AEA  
 ATTN: Lois Lemus  
 813 West Northern Lights Blvd.  
 Anchorage, Alaska 99503

**IMPORTANT NOTICE:** If you downloaded this solicitation from the AEA's Website, you must register on the online planholders list to receive subsequent addenda. Failure to register may adversely affect your proposal. It is the Offeror's responsibility to ensure that they have received all addenda affecting this RFP. To register, go to [www.AIDEA.org](http://www.AIDEA.org) and provide the project name & number, company name & contact person, address, phone number & fax number.

## SELECTION PROCEDURE

1. Competitive Sealed Proposals will be evaluated by a committee (3 AAC 109.370). Evaluation of responses to criteria set forth in Part C results in a numerical score for each proposal. Each criterion in Part C has an assigned weight for this RFP which demonstrates its relative importance. The total of all weights is 100 (100%). Each one - percent weight equates to a potential range of 0-5 points per Evaluator. The maximum points (score) obtainable for any proposal is equal to the product of 500 multiplied by the number of Evaluators.
2. Scoring of proposals will be accomplished as follows:
  - 2.1 Each Evaluator will individually read and rate each Offeror's response to each criterion described in Part C - Section I - Technical Proposal. Ratings will be based solely on contents of proposal and in compliance with the Authority's standard Instructions for Evaluation Committee. Except as may be stated within any criterion description in Part C, a rating of "5" = Best Response from all Offerors; "4" to "1" = Progressively Less Responsive; "0" = Non-Responsive. Ratings are multiplied by the assigned weights for each criterion to obtain criteria scores.
  - 2.2 If only 1-3 proposals are received the rating scale may be adjusted. A rating of "5" = Best Response from all Offerors "4" to "3" = progressively less responsive; "0" = Non-Responsive; 1-2 will not be used.
  - 2.3 After completion of individual ratings in Part C, Section 1, Technical Proposal, the Evaluation Committee will meet to discuss proposals. Evaluators may then alter their ratings; however, any changes shall be based solely on the criteria set forth in Part C.
  - 2.4 After scoring Part C - Section I - Technical Proposal, criteria scores for Part C - Section II - Price (if applicable) and bidder preference will be calculated based on criteria descriptions.
  - 2.5 The total score for each Offeror will be obtained by summing the scores determined for each criterion in Sections I and II of Part C. The order of ranking for negotiations shall be as follows: highest scored Offeror will be ranked first, next highest scored second, and etcetera.
3. Evaluators may discuss factual knowledge of, and may investigate Offerors' and proposed Subcontractors' prior work experience and performance, including but not limited to, projects referenced in proposal, available written evaluations, and may contact listed references or other persons knowledgeable of a Contractor's and/or a Subcontractor's past performance. Factors such as, but not limited to, overall experience relative to the proposed contract, quality of work, control of cost, and ability to meet schedules may be addressed. If any issues of significant concern to the proposed contract are discovered, the Committee may:
  - 3.1 Provide written recommendations for consideration during contract negotiations;
  - 3.2 Conduct discussions after the Evaluation Committee, in accordance with paragraph 4, below.
4. The Committee may decide to conduct discussions (or "interviews") with responsible Offerors whose proposals are determined to be reasonably susceptible of being selected for award for the purpose of clarification to assure full understanding of, and responsiveness to, the solicitation requirements (3 AAC 109.400). Offerors selected by the Committee for discussions may be permitted to submit Best and Final Offers (BAFO) for final Committee Evaluation. After discussions and any BAFO's, Evaluators will determine the final scoring and ranking for contract negotiations by evaluating written and oral responses using only the criteria set forth in Part C of this RFP (3 AAC 109.400).
5. If contract negotiations are unsuccessful with Offeror(s) selected for negotiation, the Contracting Agency may either cancel the solicitation or negotiate with other Offerors in the order of ranking.

## NOTICES

PART

A

1. The Contracting Agency is an equal opportunity employer.
2. Copies of the Contract General **Conditions** are attached.
3. Offerors are specifically advised that a contract shall not be in effect until a written agreement is executed by an authorized agent of the Authority. The Authority shall not be liable for any cost incurred by an Offeror in response to this solicitation, including any work done, even in good faith, prior to execution of a contract and issuance of a Notice to Proceed.
4. The Authority expressly reserves the right to waive minor informalities, negotiate changes or reject any and all proposals and to not award the proposed contract, if in its best interest. "Minor Informalities" means matters of form rather than substance which are evident from the submittal, or are insignificant matters that have a negligible effect on price, quantity, quality, delivery, or contractual conditions and can be waived or corrected without prejudice to other Offerors.
5. All proposals shall be open for public inspection per (3 AAC 109.680) after a Notice of Intent to Award is issued. Offerors should not include proprietary information in proposals if such information should not be disclosed to the public. Any language within a submittal purporting to render all or portions of a proposal confidential will be disregarded. Proprietary information which may be provided after selection for contract negotiations will be confidential if expressly agreed to by the Authority and Executive Director.
6. Substitution for any personnel named in a proposal may result in termination of negotiations and the contract, if substitutions are not approved the Authority.
7. If it is discovered that a selected Offeror is in arrears on taxes due the State of Alaska, a contract may not be awarded until the Alaska Department of Revenue approves the payment provisions for the contract.
8. Offerors and proposed subcontractors shall be in compliance with the statutory requirements for Alaska business licensing and professional registrations included in the certification statement on Page 2 of Part D in this RFP package.
9. **PRICE COMPETITION:** Price cannot be an Evaluation Criterion in accordance with PL-92.582 Brooks Act for services that must be performed only by Architects, Engineers, or Land Surveyors (A/E or LS) licensed in the State of Alaska, **UNLESS** the provisions of AS 36.30.270(d) apply; i.e., unless the services required are repetitious in nature, and the nature and amount of services required are thoroughly defined by measurable and objective standards to reasonably enable firms or persons making proposals to compete with a clear understanding and interpretation of the services required.
10. Standard insurance provisions for Worker's Compensation, General and Automobile Liability, and Professional Liability are contained in Appendix D, Indemnification and Insurance. Coverages may be modified under very limited circumstances. Offeror should not assume any modification of coverages.

11. Professional Liability Insurance for the proposed contract:  is not required

is required as shown on Appendix D, Indemnification and Insurance.

12. Pre-proposal Conference:  None  As follows:

13. Special Notices:

13.1 **Alaska Business License** (Form 08-070 issued under AS 43.70) at the time contract is awarded as required by AS 36.30.210(e) for Contractor and all Subcontractors. In accordance with Administrative Manual, Section 81.120, proof of application for an Alaska Business license will satisfy this requirement. Per AAM 81.120, acceptable evidence that the offeror possesses a valid Alaska business license consists of any one of the following:

- a. Copy of the Alaska business license.
- b. A canceled check that demonstrates payment for the Alaska business license fee.
- c. A copy of the Alaska business license application with a receipt stamp from the State's business license office.
- d. A sworn notarized affidavit that the bidder/offeror applied and paid for the Alaska business license.
- e. Other forms of evidence acceptable to the Department of Law.

13.2 The Contracting Agency makes no warranty nor implies that all project phases will be funded. Should project phases be funded, the Contracting Agency reserves the right to accomplish any or all of the work through means other than this agreement, including the use of in-house forces.

13.3 AEA's procurement for construction and related services is delegated from the Department of Transportation and Public Facilities; therefore AEA will use the following DBE/WBE utilization goal. Effective May 8, 2015, based on approval from the US Department of Transportation, the Department of Transportation and Public Facilities is now implementing a Race-Neutral Disadvantage Business Enterprise (DBE) program for construction related professional services solicitations. The Race Neutral DBE program applies to all Federal Aid projects statewide with the exception of FAA funded projects within the Northern Region, which remain under a Race-Conscious DBE program.

Although the Race-Neutral program does not establish or require specific DBE Utilization Goals for individual projects, 49 CFR does establish that it is the bidder's responsibility to make a portion of the work available to DBEs and to select those portions of the work or material needs consistent with the availability of DBEs to facilitate DBE participation. If the Department, in collaboration with our contractor, does not meet the overall program goal and cannot demonstrate Good Faith Effort (GFE) to meet the program goal, the program may be modified to a Race-Conscious program established on all Federal-Aid construction related professional services RFP's statewide. If you have any questions about this notice or the Department's DBE program, please contact the Civil Rights Office at (907) 269-0851 or refer to their website <http://www.dot.alaska.gov/cvlrts/index.shtml>."

# SUBMITTAL CHECKLIST

PART

**B**

Offeror may use left margin to check off items when completed.

- [ ] 1. Offerors must carefully review this RFP Package for defects and questionable material and become familiar with submittal requirements. Submit written comments to the address shown under "Submittal Deadline and Location" on page 1 of Part A - RFP. Substantive issues will be addressed in a written addendum to all RFP recipients on record. Failure to comply with directions may result in a lower score and may eliminate an Offer from consideration. Protests based on alleged improprieties or ambiguities in a solicitation may be disallowed at the discretion of the Authority, if the protest is not received in writing at least ten work days prior to the Offer deadline (3 AAC 109.200).
- [ ] 2. Review Part A - RFP and the proposed Statement of Work and any other attached or referenced materials. If no Statement of Work is attached, telephone the Authority contact person identified on page 1 of Part A.
- [ ] 3. Review Part C - Evaluation Criteria. Read each criterion in light of the proposed Statement of Work. Note any project specific criteria which may have been added or any changes to standard criteria descriptions which may have been made. Be aware of the assigned weight for each criterion. If a weight is not entered for any criterion on Part C, notify the Agency contact person. Plan your proposal to address the applicable criteria. Criteria Responses shall not exceed the number of pages stated below.
- [ ] 4. Prepare a distinct Response for each criterion that has a weight more than zero. Failure to respond directly to any criteria weighted more than zero will result in an evaluation score of zero for that criteria. Any Responses to criteria weighted zero will be disregarded. Acceptable Responses must be specific and directly related to the Contracting Agency's proposed Statement of Work. Marketing brochures, marketing resumes, and other non-project specific materials will be discarded without evaluation and should not be submitted.
- [ ] 5. *Each criterion Response must be titled, numbered, and assembled in the order in which the criteria are listed in Part C, so the criterion to which information applies shall be plainly evident. Material not so identified or assembled may be discarded without evaluation.*
- [ ] 6. Price       is       is not      an evaluation criterion for the proposed contract.  
If Price is a Criterion, prepare *Billing Rates and/or Price Proposals* as described in Criteria Section.
- [ ] 7. Complete all entries on Part D - Proposal Form. Note the statutory requirements for Alaska business licenses and professional registrations and be sure to sign and date the Certification. Copies of licenses and registrations may be provided with Offer, and will not count in the requirements of #8 below.
- [ ] 8. Attach Criteria Responses (*except any Billing Rates or Price Proposals*) to Part D - Proposal Form. The maximum number of attached pages (*each printed side equals one page*) for Criteria Responses shall not exceed: **Fifteen pages**. Attached page limit does not include the four-page Part D - Proposal Form, submittal items, ½ page resumes, or any Billing Rates or Price Proposals.  
  
Criteria Responses shall be presented in *8-1/2" X 11" format*, except for a minimal number of larger sheets (e.g. 11" x 17") that may be used (e.g. for schedules) if they are folded to 8-1/2" X 11" size.  
  
CAUTION: Criteria Responses which do not comply with the required page limit or presentation size, may result in disqualification. Further, small print or typeface that is difficult to read may negatively influence evaluation of your submittal and affect scoring for "Quality of Proposal."

CHECKLIST IS CONTINUED NEXT PAGE

## Submittal Items

- [ ] 9. N/A
- [ ] 10. Parts A, B, and C of the RFP and the proposed Statement of Services shall not be returned to the Contracting Agency. *Offers shall consist of the following applicable items assembled as follows and in the order listed:*
- [ ] 10.1 Completed Part D - Proposal Form (generally at least one copy with original signature) and Responses to all evaluation criteria -- *except Billing Rate / Price Proposals* -- attached. Each copy shall be fastened with one staple in the upper left corner. No other form of binding shall be used and no cover and no transmittal letter will be included. CAUTION: Failure to comply with this instruction will negatively influence evaluation of Submittal.
- [ ] 10.2 Number of copies of Part D (*all pages*) and Criteria Responses (*except Billing Rates / Price Proposals*) required is: **five (5) plus One (1) copy provided via electronic file on a flash drive.**
- [ ] 10.3 If *Billing Rates and/or Price Proposals* are required, *one copy* bound with one staple in the upper left corner separately enclosed in a sealed envelope marked on the outside to identify it as a *Billing Rates or Price Proposal* and the names of the Project and Offeror. Each *Billing Rates or Price Proposal* must be signed and dated by the person who prepares it (may be different signatures for each Subcontractor).
- [ ] 10.4 If Item 9 above is completed for this RFP Package, any submittal items described therein, unless otherwise stated, one copy only, bound appropriately.
- [ ] 10.5 CAUTION: If you replicate (other than by photocopy) Part D or any form in lieu of completing the forms provided by the Contracting Agency, provide a signed certification that lists such forms and attests that they are exact replicas of that issued by the Contracting Agency. Changed forms may be rejected at the Authority's discretion. Any alteration - other than completion of the required entries - may be cause for rejection without recourse.
- [ ] 11. Deliver *Offers in one sealed package* before the submittal deadline to the location and cited in Part A - RFP. *Mark the outside of the package* to identify the Project and the Offeror. Offers must be received prior to the specified date and time. Late Offers will not be opened (3 AAC 109.370).

# EVALUATION CRITERIA

PART

C

Criteria with a weight of zero are not applicable and should be disregarded. If a weight is not indicated for any criterion, telephone the Agency Contact person identified at the top of page 1 of Part A - RFP.

## SECTION I - TECHNICAL PROPOSAL

### 1. Objectives, and Services

1. Weight: 10

Response must **demonstrate your comprehension of the objectives and services** for the proposed contract. Do not merely duplicate the Statement of Services provided with this RFP. Also, consider if Statement of Services is sufficiently explicit; are expressed or implied schedules attainable/economically feasible? Explain. **Define any assumptions made** in formulating Criteria Response and express any opinions regarding alternative design considerations that could impact construction costs.

### 2. Methods

2. Weight: 10

Response must outline the methods for accomplishing the proposed contract or, if methodology is contained in the proposed Statement of Services, address its adequacy. Describe what, when, where, how, and in what sequence the work will be done. Identify the amount and type of work to be performed by any Subcontractors. Consider how each task may be carried out; what services or interaction required from/with the Authority. Suggest alternatives, if appropriate. Identify any **distinct and substantive qualifications** for undertaking the proposed contract such as unique approaches or concepts **relevant to the required services** which the Offeror may use.

### 3. Project Schedule and Management for community of Beaver

3. Weight: 10

Address your capability and commitment to performing this work within the deadline. Provide a Project Schedule for the community of **Beaver** that shows how your team will achieve (or beat) the schedule and address major project components for the community including:

- a) Design, Permitting, and Approvals
- b) Materials, procurement, and delivery
- c) Site visits and Progress Inspections
- d) Substantial and Final Completion Inspections

Response must describe the administrative and operational structures that will be used for performing the proposed contract. For example consider: who will have overall responsibility for the contract? Who will have direct responsibility for specific disciplines? What will the lines of authority be? A graphic depiction is preferred in your response to this criterion. Additionally, the Authority may want to inspect work products in progress and have a close ongoing working relationship with your Project Staff. Accordingly, your response should also identify where the various contract services will be performed, and how communications will be maintained between your Project Staff, the Authority, and (as applicable) any other government agencies or the public.

**4. Project Schedule and Management for the community of Chalkyitsik**

**4. Weight: 10**

Address your capability and commitment to performing this work within the deadline. Provide a Project Schedule for the community of **Chalkyitsik** that shows how your team will achieve (or beat) the schedule and address major project components for the community including:

- a) Design, Permitting, and Approvals
- b) Materials, procurement, and delivery
- c) Site visits and Progress Inspections
- d) Substantial and Final Completion Inspections

Response must describe the administrative and operational structures that will be used for performing the proposed contract. For example consider: who will have overall responsibility for the contract? Who will have direct responsibility for specific disciplines? What will the lines of authority be? A graphic depiction is preferred in your response to this criterion. Additionally, the Authority may want to inspect work products in progress and have a close ongoing working relationship with your Project Staff. Accordingly, your response should also identify where the various contract services will be performed, and how communications will be maintained between your Project Staff, the Authority, and (as applicable) any other government agencies or the public.

**5. Proposed Project Staff**

**5. Weight: 15**

Response **must name the individuals** to perform the following FUNCTIONS plus any other professional/technical functions you deem essential to perform the services. Offerors fail to provide a name for the individuals to perform the services below may be considered non-responsive and their proposal will be rejected:

1. Project Management (single point-of-contact directly engaged in contract performance)
2. Civil Engineering
3. Mechanical Engineering
4. Electrical Engineering
5. Geotechnical Engineering
6. Land Surveying
7. Land Title Search

\*All personnel acting in responsible charge for all Architectural, Engineering and Land Surveying functions require an Alaska Registration and must be identified in your proposal.

Describe the work to be performed by the individuals you name to perform essential functions and detail their specific qualifications and substantive **experience directly related to the proposed contract**. A response prepared specifically for this proposal is required. Marketing resumes often include non-relevant information which may detract from the evaluation of proposal. Lists of projects are not useful. Focus on individual's specific duties and responsibilities and how project experience is relevant to the proposed contract.

For each person named, identify their: employer, professional discipline or job classification, years of experience working or engineering for Rural Alaska, and state of residency.



**6. Workload and Resources****6. Weight: 15**

Response must: (1) discuss both current and potential time commitments of your proposed Project Staff to all clients; (2) discuss the projected workload of each firm (Offeror and Proposed Subcontractors) for all clients; and (3) demonstrate adequate support personnel, facilities and other resources to provide the services required. Provide a list of current contracts with the Contracting Agency in which your proposed Project Staff are participating. Include all contracts statewide with regions, divisions, etc., of the Contracting Agency.

Briefly address capabilities for providing additional services and/or services under an accelerated schedule. Address capacity to reassign personnel, equipment and facilities whenever the proposed contract would not require such capabilities or was delayed.

**7. Past Performance****7. Weight: 20**

Response must describe previous projects the project team has worked on that are related in size and scope to this project. Describe the dollar amount of the projects and a brief narrative of the successes of the projects. Address how the experience will help your team to perform under this contract. Provide references (contact name and phone number) for each project. Indicate which of the proposed firms and project staff was involved in each project. The State reserves the right to investigate referenced projects, contact references and research other projects that the respondent has worked on.

## SECTION II - PREFERENCES

**8. Disadvantaged Business Enterprises** **49 CFR 26**  
**Generally, weight shall be at least "10" for FHWA, FAA, or FTA funded contracts.**

**8. Weight: 0**

- A DBE goal of 5% has been set. Proposed DBE participation is race conscious, or  
 A DBE goal of 0% has been set. Proposed DBE participation is race neutral.

To be granted this preference, Offeror's response must identify a certified Disadvantaged Business Enterprise firm(s) (DBEs) in their proposal that will participate in the proposed contract services. The proposed DBE must be certified in the category of work proposed as listed in the DBE AUCP Directory in order to be credited for the services in the proposal and given the DBE preference and the DBE certification must be effective as of the proposal due date. Failure to submit adequate information pertaining to the percentage of work proposed to be completed by the DBE when this preference has been given weight may result in "0" points. Offerors should propose a single percentage number. Specifying a range of percentages (for example 5-8%) is not acceptable. If a range of percentages is proposed, the lowest number will be utilized in the calculation to determine the criterion score.

Certified DBE firms are listed in a DBE Directory which is available from the Alaska Department of Transportation and Public Facilities at its regional Design and Construction Offices in Juneau, Anchorage and Fairbanks or by mail from the Civil Rights Office, ADOT/PF, Box 196900, Anchorage, AK 99519 (telephone 907-269-0851) or at their internet address <http://www.dot.state.ak.us/cvlrts/directory.shtml>.

*Response will be scored: Rating x Number of Evaluators x Weight = Criterion Score. Rating will be as follows:*

- "5" More than 5% DBE Participation;*  
*"3" - 5% DBE Participation;*  
*"1" - Less than 5% but more than 0 % DBE participation;*  
*"0" - No DBE participation.*

**9. Alaska Bidder (Offeror) Preference** **49 CFR 18.36(c)(2) & 2 AAC 12.260(e)**  
**Weight shall be "0" if any federal funding, otherwise weight shall be at least "10".**

**9. Weight: 10**

To be granted this preference:

**1) Response must certify that Offeror meets the following requirements per AS 36.30.990**

- (A) Firm holds a current Alaska Business License;  
 (B) Proposal is submitted under the name as appearing on the Firm's current Alaska Business License;  
 (C) Firm has maintained a place of business within Alaska, staffed by the Firm or an employee of the Firm, for a period of six months immediately preceding the date of the offer;  
 (D) Firm is incorporated or qualified to do business under the laws of the State of Alaska, is a sole proprietorship, and the proprietor is a resident of Alaska, is a limited liability company organized under AS 10.50 and all members are residents of Alaska, or is a partnership under AS 32.05, AS 32.06, or AS 32.11 and all partners are residents of Alaska; and  
 (E) If the Firm is a Joint Venture, it is composed entirely of entities that qualify under (A) - (D).

**2) Offeror must designate the Alaska Bidder (Offeror) Preference on page one of Part D.**

*Response will be scored: Rating x Number of Evaluators x Weight = Criterion Score. Rating will be as follows:*

*An Alaska Offeror's preference (i.e. a Rating of 5) will be assigned to the proposal of an Offeror who qualifies as an Alaska bidder using the criteria in 1), above.*

*No Alaska Offeror's preference (i.e. a Rating of 0) will be assigned to the proposal of an Offeror who does not certify that it qualifies as an Alaska bidder or who does not qualify as an Alaska bidder using the criteria in 1), above.*

# Alaska Energy Authority PROPOSAL FORM

PART



**THIS FORM MUST BE THE FIRST PAGE OF PROPOSAL.** Attach criteria responses as explained in Part B - Submittal Checklist. No transmittal letter or cover sheet will be used.

### PROJECT

Project Title.....	: Beaver and Chalkyisik BFU Maintenance & Improvement
RFP No.....	: 20028

### OFFEROR (CONTRACTOR)

Contractor .....	
Street .....	
P.O. Box .....	
City, State, Zip .....	
Alaska Business License Number .....	
Federal Tax Identification No. ....	
Individual(s) to sign contract.....	
Title(s).....	
Type of business enterprise (check one) ....	: [    ] Corporation in the state of.. :
[    ] Individual	[    ] Partnership [    ] Other(specify) .....

### PROPOSED SUBCONTRACTOR(S)

<u>Service, Equipment, etc.</u>	<u>Subcontractor &amp; Office Location</u>	<u>AK Business License No.</u>

### CERTIFICATIONS

I certify: that I am a duly authorized representative of the Contractor; that this Submittal accurately represents capabilities of the Contractor and Subcontractors identified herein for providing the services indicated; and, that the requirements of the Certifications on page 2 and 3 of this Part D for 1) Alaska Licenses/Registrations, 2) Insurance, 3) Cost and Pricing Data, 4) Trade Restrictions/Suspension/Debarment, 5) Foreign Contracting and 6) Former Public Officer - will be complied with in full. These Certifications are material representations of fact upon which reliance will be placed if the proposed contract is awarded. Failure to comply with these Certifications is a fraudulent act. The Authority is hereby authorized to request any entity identified in this proposal to furnish information deemed necessary to verify the reputation and capabilities of the Contractor and Subcontractors.

Signature .....	_____	Date:
Name.....		Telephone (voice):
Title .....		(fax):
		Email Address:

## CERTIFICATION FOR ALASKA BUSINESS LICENSES AND REGISTRATIONS

PART

D

Contractor and all Subcontractors shall comply with the following applicable requirements of Alaska Statutes:

1. **Alaska Business License** (Form 08-070 issued under AS 43.70) at the time contract is awarded as required by AS 36.30.210(e) for Contractor and all Subcontractors. In accordance with Administrative Manual, Section 81.120, proof of application for an Alaska Business license will satisfy this requirement. Per AAM 81.120, acceptable evidence that the offeror possesses a valid Alaska business license consists of any one of the following:
  - a. Copy of the Alaska business license.
  - b. A canceled check that demonstrates payment for the Alaska business license fee.
  - c. A copy of the Alaska business license application with a receipt stamp from the State's business license office.
  - d. A sworn notarized affidavit that the bidder/offeror applied and paid for the Alaska business license.
  - e. Other forms of evidence acceptable to the Department of Law.
2. **Certificate of Registration** for each individual to be in "responsible charge" (AS 08.48.341(14)) for Architecture, Engineering or Land Surveying (Form 08-2407 issued under AS 08.48.211) issued prior to submittal of proposal. Associates, consultants, or specialists under the supervision of a registered individual in "responsible charge" are exempt from registration requirements (AS 08.48.331).
3. **Certificate of Authorization for Corporate Practice** for incorporated Contractors and incorporated Subcontractors for Architecture, Engineering or Land Surveying (Form 08-2407 issued under AS 08.48.241). Corporations offering to provide Architectural, Engineering or Land Surveying services do not need to be registered for such disciplines at the time proposal is submitted provided they obtain corporate registration before contract award (AS 08.48.241).
4. **Certificate of Incorporation** (Alaska firms) or **Certificate of Authorization for Foreign Firm** ("Out-of-State" firms). All corporations, regardless of type of services provided, must have one of the certificates (AS 10.06.218 and other sections of Title 10.06 - Alaska Corporations Code).
5. **Current Board of Director's Resolution** for incorporated Contractors and incorporated Subcontractors for Architecture, Engineering or Land Surveying (reference AS 08.48.241) which names the person(s) designated in "responsible charge" for each discipline. Such persons shall be licensed in Alaska and shall participate as project staff in the Contract/Subcontracts.
6. **All partners** in a Partnership to provide Architectural, Engineering, or Land Surveying **must be legally registered in Alaska** prior to submittal of proposal for at least one of those disciplines (AS 08.48.251) which the Partnership offers.
7. **Joint Ventures**, regardless of type of services provided, must be licensed/registered in the legal name of the Joint Venture as used in this proposal (AS 43.70.020 and 43.70.110(4)).
8. **Contracts for Architecture, Engineering or Land Surveying** may not be awarded to individuals, corporations or partnerships not in compliance, respectively, with the provisions of paragraph 2, 3, and 6, above (AS 36.90.100).

**[For information about licensing, Offerors may contact the Alaska Department of Commerce and Economic Development, Division of Occupational Licensing at P.O. Box 110806, Juneau, AK 99811-0806, or at Telephone (907) 465-2550, or at Internet address: <http://commerce.alaska.gov/dnn/cbpl/Home.aspx>]**

## CERTIFICATION FOR INSURANCE

Contractor will ensure that it and all Subcontractors have insurance coverage to effectuate the requirements APPENDIX D, Indemnification and Insurance. CONTRACTOR shall name Denali Commission as an additional insured on the Liability Insurance Policy.

**CERTIFICATION - COST AND PRICING DATA**

In accordance with AS 36.30.400, any cost and pricing data submitted herewith, or in any future price proposals for the proposed contract, will be accurate, complete and current as of the date submitted and will continue to be accurate and complete during the performance of the contract, if awarded.

**CERTIFICATION – TRADE RESTRICTIONS AND SUSPENSION AND DEBARMENT**

The individual signing this proposal certifies to the best of his or her knowledge that the Contractor and any subcontractors are in compliance with Appendix A, General Conditions, Article A25 and Article A26.

**CERTIFICATION - FOREIGN CONTRACTING**

By signature on this solicitation, the offeror certifies that all services provided under this contract by the contractor and all subcontractors shall be performed in the United States. If the offeror cannot certify that all work is being performed in the United States, the offeror must contact the Contracts Officer to request a waiver at least 10 days prior to proposal deadline. The offeror must provide with their submission a detailed description of the portion of work being performed outside the United States, where, by whom, and the reason the waiver is necessary. Failure to comply with this requirement may cause the state to reject the bid or proposal as non-responsive, or cancel the contract.

**CERTIFICATION – FORMER PUBLIC OFFICER**

Any proposer listing as a member of the proposer's team a current public officer or a former public officer who has left state service within the past two years must submit a sworn statement from that individual that the Alaska Executive Branch Ethics Act does not prohibit his or her participation in this project. If a proposer fails to submit a required statement, the proposal may be deemed nonresponsive or nonresponsible, and rejected, depending upon the materiality of the individual's proposed position.

The Ethics Act bars a public officer who leaves state service from representing, advising or assisting a person for compensation regarding a matter – that was under consideration by the administrative unit in which the officer served, and in which the officer participated personally and substantially through the exercise of official action, for two years after leaving state service. See AS 39.52.180(a). "Public officer" includes a state employee, a member of a state board and commission, and a trustee of the Exxon Valdez Oil Spill Trust. "Official action" means a recommendation, decision, approval, disapproval, vote, or other similar action or inaction. Possible remedies for violating the bar include penalties against the former public officer and voiding the state grant, contract or lease in which the former public officer is involved.

Additionally, former public officers may not disclose or use information acquired in the course of their official duties that could in any way result in a benefit to the former public officers or their families, if the information has not been disseminated to the public or is confidential by law, without appropriate authorization. See AS 39.52.140.

Each current or former public officer is responsible for determining whether he or she may serve in the listed capacity on this project without violating the Ethics Act. A form that a former public officer may use to certify their eligibility is attached. Current public officers may seek advice from their designated ethics supervisors concerning the scope and application of the Ethics Act. Former public officers may, in writing, request advice from the Office of the Attorney General, Ethics Attorney concerning the application of the Ethics Act to their participation in this project. It is the responsibility of the individual and the proposer to seek resolution in a timely manner of any question concerning the individual's eligibility.

**Former Employee’s Certification of Eligibility  
Under the Alaska Executive Branch Ethics Act  
(AS 39.52.140, AS 39.52.180)**

I am a former employee of the State of Alaska and left state service within the last two years. My last position with the state was [job title] with the [name of state agency and administrative unit]. I propose to work on [describe state contract or other matter] on behalf of [name of current employer]. This work will not involve any matter (a) that was under consideration by the state administrative unit that I served, and (b) in which I participated personally and substantially during my state service through the exercise of official action (“official action” means a recommendation, decision, approval, disapproval, vote, or other similar action or inaction). I am therefore eligible to participate in this [contract or matter] under the Alaska Executive Branch Ethics Act. I also understand that as a former public officer I may not disclose or use information acquired in the course of my official duties that could in any way result in a benefit to me or my family, if the information has not been disseminated to the public, or that is confidential by law, without appropriate authorization.

I certify under penalty of perjury that the foregoing is true.

Dated: \_\_\_\_\_, 20\_\_\_, at \_\_\_\_\_, Alaska.

\_\_\_\_\_  
[name of former state employee]

STATE OF ALASKA )  
 ) ss.  
\_\_\_\_\_) JUDICIAL DISTRICT )

On this \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_, [name of former state employee], whom I know to be the individual described in and who executed this certification, personally appeared before me and acknowledged that [s]he signed the certification as [her or his] free and voluntary act.

IN WITNESS WHEREOF, I have placed my signature and affixed my official seal.

\_\_\_\_\_  
Notary Public in and for Alaska  
My commission expires: \_\_\_\_\_

If no notary or other official (judge, magistrate, U.S. postmaster or municipal clerk) is available, omit the notary certificate and include the following statement in the text: A notary or other official empowered to administer oaths is unavailable.

**ALASKA INDUSTRIAL DEVELOPMENT AND EXPORT AUTHORITY  
AND ALASKA ENERGY AUTHORITY**

**CERTIFICATION OF CONTRACTOR AND LOWER-TIER PARTICIPANTS  
REGARDING DEBARMENT, SUSPENSION, AND OTHER INELIGIBILITY AND  
VOLUNTARY EXCLUSION**

Contractor

*PLEASE INSERT YOUR COMPANY'S NAME AND ADDRESS IN THIS BOX*

I, \_\_\_\_\_ hereby certify on behalf  
(Name and title of official)

of \_\_\_\_\_ that:  
(Name of contractor)

- (1) The prospective contractor and lower tier participant certifies, by submission of this bid or proposal, that neither it nor its "principals" [as defined at 49 C.F.R. § 29.105(p)] is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency. In the event, your company or any principals become ineligible from participating in federally funded transactions, you are required to notify us immediately.
- (2) When the prospective contractor and lower tier participant is unable to certify to the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Executed this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

By:

\_\_\_\_\_  
(Signature of authorized official)

\_\_\_\_\_  
(Title of authorized official)

# AEA GENERAL CONDITIONS

## APPENDIX A

Project No: 20028  
Date Prepared: 11/5/2019

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#### Article Number and Title

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### **ARTICLE A1 DEFINITIONS**

- A1.1 Additional or Extra Services - Services, work products or actions required of the CONTRACTOR above and beyond provisions of the Agreement.
- A1.2 Agreement – This Professional Services Agreement and its appendices that outline the terms and conditions regarding Contractor's services during the authorized period of performance.
- A1.3 Amendment - A written change to this Agreement.
- A1.4 Change - A revision in services, complexity, character, or duration of the services or provisions of this Agreement.
- A1.5 Executive Director – Executive Director of the Alaska Industrial Development and Export Authority (AIDEA).
- A1.6 CONTRACTING AGENCY – Alaska Industrial Development and Export Authority (AIDEA).
- A1.7 Procurement Officer - The individual or a duly appointed successor designated as the official representative to administer contracts for the CONTRACTING AGENCY.
- A1.8 CONTRACTOR - The firm (person or any business combination) providing services.
- A1.9 Contractor's Manager - The CONTRACTOR's representative in responsible charge of the project(s) and directly answerable for the required services.



A1.10 Project Manager – CONTRACTING AGENCY’s representative and the CONTRACTOR’s primary point of contract with the CONTRACTING AGENCY.

A1.11 Funding Agency - An agency of a Federal, State, Political subdivision, or Local Government which furnishes funds for the CONTRACTOR's compensation under this Agreement and which may have established regulations and requirements binding upon the CONTRACTING AGENCY and the CONTRACTOR.

A1.12 Notice to Proceed (NTP) - Written authorization from the CONTRACTING AGENCY to the CONTRACTOR to provide all or specified services in accordance with an existing Agreement.

A1.13 Statement of Services - Services and work products required of the CONTRACTOR by this Agreement.

A1.14 Subcontractor - CONTRACTOR engaged to provide a portion of the services by subcontract with the firm which is a party to this Agreement.

## **ARTICLE A2 INFORMATION AND SERVICES FROM OTHERS**

A2.1 The CONTRACTING AGENCY may, at its election or in response to a request from the CONTRACTOR, furnish information or services from other contractors. If, in the CONTRACTOR's opinion, such information or services is inadequate, the CONTRACTOR must notify the CONTRACTING AGENCY of the specific service or material deemed inadequate and the extent of the inadequacy prior to use in the performance of this Agreement. The CONTRACTING AGENCY will then evaluate and resolve the matter in writing. Unless so notified by the CONTRACTOR, the CONTRACTING AGENCY may assume the information or services provided are adequate.

## **ARTICLE A3 HOLD HARMLESS**

A3.1 See Appendix D, "Indemnification and Insurance".

## **ARTICLE A4 INSURANCE**

A4.1 See Appendix D, "Indemnification and Insurance".

## **ARTICLE A5 OCCUPATIONAL SAFETY AND HEALTH**

A5.1 The CONTRACTOR and its Subcontractors shall observe and comply with the Federal Occupational Safety and Health act of 1970 and with all safety and health standards promulgated by the Secretary of Labor under authority thereof and with all State of Alaska Occupational Safety and Health Laws and regulations.

## **ARTICLE A6 EQUAL EMPLOYMENT OPPORTUNITY**

A6.1 The CONTRACTOR shall comply with the following applicable laws and directives and regulations of the CONTRACTING AGENCY which effectuate them; all of which are incorporated herein by reference:

Title VI of Federal Civil Rights Act of 1964;

Federal Executive Order 11625 (Equal Employment Opportunity);

Title 41, Code of Federal Regulations, Part 60 (Equal Employment Opportunity);

Title 49 Code of Federal Regulations, Part 21 (Discrimination);

Title 49, Code of Federal Regulations, Part 26 (Minority Business Enterprises);

Office of Management and Budget (OMB) circular 102, Attachment O (Procurement Standards);

Alaska Statute (AS) 18.80.200-300 (Discrimination).

A6.2 The CONTRACTOR may not discriminate against any employee or applicant for employment because of race, religion, color, national origin, age, physical disability, sex, or marital status, change in marital status, pregnancy or parenthood when the reasonable demands of the position do not require distinction on such basis. The CONTRACTOR shall take affirmative action to insure that applicants are employed and that employees are treated during employment without regard to their race, religion, color, national origin, age, physical disability, sex, or marital status. This action must include, but need not be limited to, the following: employment, upgrading, demotion, transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training including apprenticeship. The CONTRACTOR shall post in conspicuous places, available employees and applicants for employment, notices setting out the provisions of this paragraph.

A6.3 The CONTRACTOR shall state, in all solicitations or advertisements for employees to work in performance of this Agreement, that it is an equal opportunity employer and that all qualified applicants will receive consideration for employment without regard to race, religion, color, national origin, age, physical disability, sex, or marital status.

A6.4 The CONTRACTOR shall send to each labor union or representative or workers with which the CONTRACTOR has a collective bargaining Agreement or other contract or understanding a notice advising the labor union or workers' representative of the CONTRACTOR's commitments under this article and post copies of the notice in conspicuous places available to all employees and applicants for employment.

A6.5 In the event the CONTRACTOR subcontracts any part of the services to be performed under this Agreement, the CONTRACTOR agrees to make good faith efforts to utilize Disadvantaged Business Enterprises, to affirmatively solicit their interest, capability and prices and to furnish documentation of the results of all such direct contacts on forms provided by or acceptable to the CONTRACTING AGENCY.

A6.6 The CONTRACTOR shall make, keep and preserve such records necessary to determine compliance with equal employment opportunity obligations and shall furnish required information and reports. All records must be retained and made available in accordance with Article A9, Audits and Records.

A6.7 The CONTRACTOR shall include the provisions of this article in every contract, and shall require the inclusion of these provisions in every contract entered into by any of its Subcontractors, so that these provisions will be binding upon each Subcontractor.

#### **ARTICLE A7 PAYMENTS TO THE CONTRACTOR**

A7.1 Payments shall be based on approved CONTRACTOR's invoices submitted in accordance with this article and the provisions of Appendix C. The sum of payments shall not exceed allowable compensation stated in Notice(s) to Proceed and no payments shall be made in excess of the maximum allowable total for this Agreement.

A7.2 The CONTRACTING AGENCY will exert every effort to obtain required Funding Agency approvals and to issue authorizations in a timely manner. CONTRACTOR shall not perform any services without a Notice to Proceed. Accordingly, the CONTRACTING AGENCY will not pay the CONTRACTOR for services or associated reimbursable costs performed outside those which are authorized by a Notice to Proceed.

A7.3 CONTRACTOR's invoices shall be submitted when services are completed or monthly, for months during which services are performed, as applicable, in a format provided by or acceptable to the CONTRACTING AGENCY.

A7.4 In the event items on an invoice are disputed, payment on those items will be held until the dispute is resolved. Undisputed items will not be held with the disputed items.

A7.5 The CONTRACTOR shall submit a final invoice and required documentation within 90 days after final acceptance of services by the CONTRACTING AGENCY. The CONTRACTING AGENCY will not be held liable for payment of invoices submitted after this time unless prior written approval has been given by the Procurement Officer. Total payment of all Subcontractors and satisfactory compliance with Article A22, Taxes, are conditions precedent to final payment.

#### **ARTICLE A8 CHANGES**

A8.1 Changes (including "Supplemental Agreements") in the period of performance, general conditions, statement of services, or other provisions established by this Agreement may be made by written Amendment only. If such changes cause an increase or a decrease in the CONTRACTOR's cost, an equitable adjustment shall be made and specified in the Amendment. The CONTRACTOR shall not perform any additional or extra services prior to receiving a fully executed copy of an Amendment and a Notice to Proceed, except as the CONTRACTOR may be directed under the provisions of Article A20, Claims and Disputes.

A8.2 If at any time the CONTRACTING AGENCY through its authorized representatives, either verbally or in writing, requests or issues instructions for Additional or Extra Services or otherwise directs actions which conflict with any provision of this Agreement, the CONTRACTOR shall, within 30 days of receipt and prior to pursuing such instructions, so notify the CONTRACTING AGENCY in writing, and to the extent possible, describe the services and estimated cost of any Additional or Extra Services. The CONTRACTING AGENCY will then evaluate and, if appropriate, negotiate an Amendment. Unless so notified by the CONTRACTOR, the CONTRACTING AGENCY will conclude such instructions have not changed any provisions of this Agreement nor require additional compensation. No additional payments shall be made to the CONTRACTOR without such notice.

#### **ARTICLE A9 AUDITS AND RECORDS**

A9.1 The CONTRACTOR shall maintain records of performances, communications, documents, correspondence and costs pertinent to this Agreement and the Funding or CONTRACTING AGENCY's authorized representatives shall have the right to examine such records and accounting procedures and practices.

A9.2 The Funding or CONTRACTING AGENCY's authorized representatives shall have the right to examine all books, records, documents and other data of the CONTRACTOR related to the negotiation, pricing and performance of this Agreement and any modification or change for the purpose of evaluating the accuracy, completeness and currency of the data submitted. The right of examination shall extend to all documents necessary to permit adequate evaluation of the data, computations and projections used.

A9.3 The materials described in this article shall be made available at a business office of the CONTRACTOR at all reasonable times for inspection, audit or reproduction, for a minimum of 3 years from the date of any resulting final settlement.

A9.3.1 If this Agreement is completely or partially terminated, records relating to the services terminated shall be made available for a minimum of 3 years from the date of any termination or resulting final settlement, whichever is later.

A9.3.2 Records which relate to appeals under Article A20, Claims and Disputes, or litigation or the settlement of Claims arising out of the performance of this Agreement shall be made available until such appeals, litigation or Claims have been concluded.\*

#### **ARTICLE A10 CONTRACTING AGENCY INSPECTIONS**

A10.1 The CONTRACTING AGENCY has the right to inspect, in the manner and at reasonable times it considers appropriate during the period of this Agreement, all facilities and activities of the CONTRACTOR as may be engaged in the performance of this Agreement.

#### **ARTICLE A11 TERMINATION OR SUSPENSION**

A11.1 This Agreement may be terminated by either party upon 10 days written notice if the other party fails substantially to perform in accordance with its terms through no fault of the party initiating the termination (default termination). If the CONTRACTING AGENCY terminates this Agreement, the CONTRACTING AGENCY will pay the CONTRACTOR a sum equal to the percentage of work completed that can be substantiated in whole or in part either by the CONTRACTOR to the satisfaction of the CONTRACTING AGENCY or by the CONTRACTING AGENCY. If the CONTRACTING AGENCY becomes aware of any non-conformance with this Agreement by the CONTRACTOR, the CONTRACTING AGENCY will give prompt written notice thereof to the CONTRACTOR. Should the CONTRACTOR's services remain in non-conformance, the percentage of total compensation attributable to the nonconforming work may be withheld.

A11.2 The CONTRACTING AGENCY may at any time terminate (convenience termination) or suspend this Agreement for its needs or convenience. In the event of a convenience termination, or suspension for more than 3 months, the CONTRACTOR will be compensated for authorized services and authorized expenditures performed to the date of receipt of written notice of termination or suspension plus reasonable expenses. No fee or other compensation for the uncompleted portion of the services will be paid except for already incurred indirect costs which the CONTRACTOR can establish and which would have been compensated for over the life of this Agreement, but because of the termination or suspension would have to be absorbed by the CONTRACTOR without further compensation.

A11.3 If federal funds support this Agreement, settlement for default or convenience termination must be approved by the Funding Agency.

A11.4 In the event of termination or suspension, the CONTRACTOR shall deliver all work products, reports, estimates, schedules and other documents and data prepared pursuant to this Agreement to the CONTRACTING AGENCY.

**ARTICLE A12  
OFFICIALS NOT TO BENEFIT**

A12.1 No member of or delegate to Congress, United States Commissioner or other officials of the Federal, State, Political subdivision or Local Government shall be admitted to any share or part of this Agreement or any benefit to arise therefrom.

**ARTICLE A13  
INDEPENDENT CONTRACTOR**

A13.1 The CONTRACTOR and its agents and employees shall act in an independent capacity and not as officers or agents of the CONTRACTING AGENCY in the performance of this Agreement except that the CONTRACTOR may function as the CONTRACTING AGENCY's agent as may be specifically set forth in this Agreement.

A13.2 Any and all employees of the CONTRACTOR, while engaged in the performance of any work or services required by the CONTRACTOR under this Agreement, shall be considered employees of the CONTRACTOR only and not of the CONTRACTING AGENCY and any and all Claims that may or might arise under the Worker's Compensation Act on behalf of said employees, while so engaged and any and all Claims made by a third party as a consequence of any negligent act or omission on the part of the CONTRACTOR's employees, while so engaged on any of the services to be rendered herein, shall be the sole obligation and responsibility of the CONTRACTOR.

A13.3 This Agreement will be declared null and void should the CONTRACTING AGENCY determine that by Internal Revenue Service definitions the CONTRACTOR is an employee of the CONTRACTING AGENCY.

**ARTICLE A14  
PROSELYTIZING**

A14.1 The CONTRACTOR agrees that it will not engage on a full or part time basis, during the period of this Agreement, any person or persons who are or have been employed by the CONTRACTING AGENCY during the period of this Agreement or during the 90 days immediately preceding the date of this Agreement except those who have been regularly retired or approved in writing by the CONTRACTING AGENCY.

**ARTICLE A15  
COVENANT AGAINST CONTINGENT FEES**

A15.1 The CONTRACTOR shall comply with the Copeland "Anti-Kickback" Act (18 USC 874) as supplemented in Federal Department of Labor regulations (29 CFR, part 3), which are incorporated by reference and made a part of this Agreement.

A15.2 The CONTRACTOR warrants that it has not employed or retained any organization or person, other than a bona fide employee, to solicit or secure this Agreement and that it has not paid or agreed to pay any organization or person, other than a bona fide employee, any fee, commission, percentage, brokerage fee, gift or other consideration contingent upon or resulting from the award or making of this Agreement. For breach or violation of this warranty, the CONTRACTING AGENCY has the right to annul this Agreement without liability or, in its discretion, to deduct from the allowable compensation the full amount of such commission, percentage, brokerage or contingent fee.

A15.3 The CONTRACTING AGENCY warrants that the CONTRACTOR or the CONTRACTOR's representative has not been required, directly or indirectly as an express or implied condition in obtaining or carrying out this Agreement, to employ or retain, or agree to employ or retain, any organization or person or to make a contribution, donation or consideration of any kind.

**ARTICLE A16  
PRECEDENCE OF DOCUMENTS**

A16.1 Components of this Agreement shall stand and prevail in the following order: Agreement over General Conditions; General Conditions over Statement of Services; Statement of Services over Basis of Compensation; Basis of Compensation over any appendices beyond Appendix C.

A16.2 If a "Request for Proposal" (RFP) and/or a proposal are appended to this Agreement, the components described in paragraph A16.1 shall stand and prevail over the proposal and the proposal over the RFP.

**ARTICLE A17  
ENDORSEMENT ON DOCUMENTS**

A17.1 Endorsements and professional seals, if applicable, must be included on all final drawings, specifications, cost estimates and reports prepared by the CONTRACTOR. Preliminary copies of such documents submitted for review must have seals affixed without endorsement (signature).

**ARTICLE A18  
OWNERSHIP OF WORK PRODUCTS**

A18.1 Work products produced under this Agreement, except items which have pre-existing copyrights, are the property of the CONTRACTING AGENCY. Payments to the CONTRACTOR for services hereunder include full compensation for all work products produced by the CONTRACTOR and its Subcontractors and the CONTRACTING AGENCY shall have royalty free non-exclusive and irrevocable right to reproduce, publish, or otherwise use, and to authorize others to use, such work products.

A18.2 Should the CONTRACTING AGENCY elect to reuse work products provided under this Agreement for other than the original project and/or purpose, the CONTRACTING AGENCY will indemnify the CONTRACTOR and its Subcontractors against any responsibilities or liabilities arising from such reuse. Additionally, any reuse of design drawings or specifications provided under this Agreement must be limited to conceptual or preliminary use for adaptation and the original CONTRACTOR's or Subcontractor's signature, professional seals and dates removed. Such reuse of drawings and specifications, which require professional seals and dates removed, will be signed, sealed and dated by the professional who is in direct supervisory control and responsible for all adaptation.

**ARTICLE A19  
SUBCONTRACTORS, SUCCESSORS AND ASSIGNS**

A19.1 The CONTRACTING AGENCY must concur in the selection of any person or firm that may be engaged in performance of this Agreement to provide negotiable professional or technical services, products, etc., (vs. commodity items available to the general public in stores at market prices).

A19.2 If this Agreement includes named firms or individuals, then such firms or individuals shall be employed for the designated services, unless the Agreement is changed by Amendments.

A19.3 The CONTRACTOR shall not assign, sublet or transfer any interest in this Agreement without the prior written consent of the Procurement Officer.

A19.4 The CONTRACTOR binds itself, its partners, its Subcontractors, assignees and legal representatives to this Agreement and to the successors, assignees and legal representatives of the CONTRACTING AGENCY with respect to all covenants of this Agreement.

A19.5 The CONTRACTOR shall include provisions appropriate to effectuate the purposes of this Appendix A in all subcontracts executed to perform services under this Agreement which may exceed a cost of \$25,000.

**ARTICLE A20  
CLAIMS AND DISPUTES**

A20.1 If the CONTRACTOR becomes aware of any act or occurrence which may form the basis of a Claim by the CONTRACTOR for additional compensation or an extension of time for performance, or if any dispute arises regarding a question of fact or interpretation of this Agreement, the CONTRACTOR shall immediately inform the Procurement Officer. If the matter cannot be resolved within 7 days, the CONTRACTOR shall, within the next 14 days, submit an "Intent to Claim" in writing to the Procurement Officer.

A20.1.1 If the CONTRACTOR believes additional compensation is warranted, the CONTRACTOR shall immediately begin to keep and maintain complete, accurate and specific daily records concerning every detail of the potential Claim including actual costs incurred. The CONTRACTOR shall give the CONTRACTING AGENCY access to any such record and, when so requested, shall forthwith furnish the CONTRACTING AGENCY copies thereof.

A20.1.2 The Claim, if not resolved, shall be presented to the Procurement Officer, in writing, within 60 days following receipt of the "Intent to Claim". Receipt of the Claim will be acknowledged in writing by the Procurement Officer.

A20.1.3 The CONTRACTOR agrees that unless these written notices are provided, the CONTRACTOR will have no entitlement to additional time or compensation for such act, event or condition. The CONTRACTOR shall in any case continue diligent performance under this Agreement.

A20.2 The Claim shall specifically include the following:

A20.2.1 The act, event or condition giving rise to the Claim.

A20.2.2 The provisions of the Agreement which apply to the Claim and under which relief is provided.

A20.2.3 The item or items of project work affected and how they are affected.

A20.2.4 The specific relief requested, including Contract Time if applicable, and the basis upon which it was calculated.

A20.3 The Claim, in order to be valid, must not only show that the CONTRACTOR suffered damages or delay but that those conditions were actually a result of the act, event or condition complained of and that the Agreement provides entitlement to relief to the CONTRACTOR for such act, event, or condition.

A20.3.1 The Procurement Officer reserves the right to make written requests to the CONTRACTOR at any time for additional information which the CONTRACTOR may possess relative to the Claim. The CONTRACTOR agrees to provide the Procurement Officer such additional information within 30 days of receipt of such a request. Failure to furnish such additional information may be regarded as a waiver of the Claim.

A20.3.2 If the Claim is not resolved by Agreement within 90 days of its receipt, the Procurement Officer will issue a written decision to the CONTRACTOR.

A20.3.3 The CONTRACTOR shall certify that the Claim is made in good faith, that the supporting cost and pricing data are accurate and complete to the best of the CONTRACTOR's knowledge and belief, and that the amount requested accurately reflects the adjustment to the Agreement for which the CONTRACTOR believes the CONTRACTING AGENCY is liable.

A20.4 The CONTRACTOR will be furnished a written signed copy of the Procurement Officer's decision within 90 days, unless additional information is requested by the Procurement Officer. The Procurement Officer's decision is final unless, within 14 days of receipt of the decision, the CONTRACTOR delivers a written Notice of Appeal to the Executive Director.

A20.5 Procedures for appeals and hearings are covered under 3 AAC 100.590.

#### **ARTICLE A21 EXTENT OF AGREEMENT**

A21.1 This Agreement including appendices represents the entire and integrated Agreement between the CONTRACTING AGENCY and the CONTRACTOR and supersedes all prior negotiations, representations or Agreements, written or oral.

A21.2 Nothing contained herein may be deemed to create any contractual relationship between the CONTRACTING AGENCY and any Subcontractors or material suppliers; nor may anything contained herein be deemed to give any third party Claim or right of action against the CONTRACTING AGENCY or the CONTRACTOR which does not otherwise exist without this Agreement.

A21.3 This Agreement may be changed only by written Amendment executed by both the CONTRACTING AGENCY and the CONTRACTOR.

A21.4 All communications that affect this Agreement must be made or confirmed in writing and must be sent to the addresses designated in this Agreement.

A21.5 The CONTRACTOR on receiving final payment will execute a release, if required, in full of all Claims against the CONTRACTING AGENCY arising out of or by reason of the services and work products furnished and under this Agreement.

#### **ARTICLE A22 TAXES**

A22.1 As a condition of performance of this Agreement, the CONTRACTOR shall pay all Federal, State and Local taxes incurred by the CONTRACTOR and shall require their payment by any Subcontractor or any other persons in the performance of this Agreement.

#### **ARTICLE A23 GOVERNING LAW**

A23.1 This Agreement is governed by the laws of the State of Alaska and Federal and Local Laws and Ordinances applicable to the work performed. The CONTRACTOR shall be cognizant and shall at all times observe and comply with such laws which in any manner affect those engaged or employed in the performance, or which in any way affects the manner of performance, of this Agreement.

#### **ARTICLE A24 FEDERAL AID CERTIFICATION (HIGHWAYS) (For Agreements exceeding \$100,000)**

A24.1 The CONTRACTOR certifies, by executing this Agreement, to the best of his or her knowledge and belief, that:

A24.1.1 No federal appropriated funds have been paid or will be paid, by or on behalf of the CONTRACTOR, to any person for influencing or attempting to influence an officer or employees of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative Agreement, and at the extension, continuation, renewal, Amendment, or modification of any Federal contract, grant, loan, or cooperative Agreement.

A24.1.2 If any funds other than 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 Federal agency, a Member of Congress in connection with this Federal contract, grant, loan, or cooperative Agreement, the undersigned shall complete and submit Standard Form LLL, Disclosure of Lobbying Activities, in accordance with its instructions. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

A24.2 This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code.

A24.3 The CONTRACTOR also agrees by executing this Agreement that the CONTRACTOR shall require that the language of this certification be included in all lower tier subcontracts, which exceed \$100,000 and that all such subrecipients shall certify and disclose accordingly.

## **ARTICLE A25 TRADE RESTRICTIONS**

The contractor or subcontractor, by submission of an offer and/or execution of a contract, certifies that it:

- a. is not owned or controlled by one or more citizens of a foreign country included in the list of countries that discriminate against U.S. firms published by the Office of the United States Trade Representative (USTR);
- b. Has not knowingly entered into any contract or subcontract for this project with a person that is a citizen or national of a foreign country on said list, or is owned or controlled directly or indirectly by one or more citizens or nationals of a foreign country on said list;
- c. Has not procured any product nor subcontracted for the supply of any product for use on the project that is produced in a foreign country on said list.

Unless the restrictions of this clause are waived by the Secretary of Transportation in accordance with 49 CFR 30.17, no contract shall be awarded to a contractor or subcontractor who is unable to certify to the above. If the contractor knowingly procures or subcontracts for the supply of any product or service of a foreign country on said list for use on the project, the Federal Aviation Administration may direct through the Sponsor cancellation of the contract at no cost to the Government.

Further, the contractor agrees that, if awarded a contract resulting from this solicitation, it will incorporate this provision for certification without modification in each contract and in all lower tier subcontracts. The contractor may rely on the certification of a prospective subcontractor unless it has knowledge that the certification is erroneous.

The contractor shall provide immediate written notice to the sponsor if the contractor learns that its certification or that of a subcontractor was erroneous when submitted by reason of changed circumstances.

This certification is a material representation of fact upon which reliance was placed when making the award. If it is later determined that the contractor or subcontractor knowingly rendered an erroneous certification, the Federal Aviation Administration may direct through the Sponsor cancellation of the contract or subcontract for default at no cost to the Government.

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 this provision. The knowledge and information of a contractor is not required to exceed that which is normally posed by a prudent person in the ordinary course of business dealings.

This certification concerns a matter within the jurisdiction of an agency of the United States of America and the making of a false, fictitious or fraudulent certification may render the maker subject to prosecution under Title 18, United States Code, Section 1001.

## **ARTICLE A26 SUSPENSION AND DEBARMENT**

The bidder/offeror certifies, by submission of this proposal or acceptance of this contract, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency. It further agrees by submitting this proposal that it will include this clause without modification in all lower tier transactions, solicitations, proposals, contracts, and subcontracts. Where the bidder/offeror/contractor or any lower tier participant is unable to certify to this statement, it shall attach an explanation to this solicitation/ proposal.

**ARTICLE A27  
ADDITIONAL PROVISIONS**

*(Any deletion or modification of Articles A1 through A26 shall be approved "as to form" by the CONTRACTING AGENCY's legal section, acknowledged in writing, and attached as an Exhibit to this Appendix.)*

A27.1

**None**



**APPENDIX B**  
**Statement of Services**

<b>RFP No:</b> 20028
<b>Date Prepared:</b> 11/5/2019

**Maintenance and Improvement - Bulk Fuel Upgrades**

**Beaver & Chalkyitsik**

**Engineering Services**

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**ATTACHMENTS:**

- A. 2016 Bulk Fuel Upgrades Letter Report, Beaver, Alaska, August 2016.
- B. 2016 Bulk Fuel Upgrades Letter Report, Chalkyitsik, Alaska, August 2016.

## **ARTICLE B1 PURPOSE**

### **B1.1 Background**

The Alaska Energy Authority, Rural Energy Group (REG) assists rural Alaskan communities in the development of safe, reliable and effective energy systems which are financially viable and environmentally sound. The Agency may either provide direct support or act as an agent for local government, project recipients, or utilities. Projects include tank farms, diesel powerhouses, electrical distribution, heat recovery systems, and alternative energy systems (hydro, wind, biomass, etc.). Services may include providing technical assistance, design and construction services and funding assistance. In general, projects are owned by a local government or utility, with design, construction and commissioning managed by the Authority. Services are provided in phases including: planning, predesign, design and construction.

## **ARTICLE B2 DEFINITIONS**

- B2.1 "AGC" means Associated General Contractors of America, 1957 "E" Street, N.W., Washington DC, 20006.
- B2.2 "Authority" means the Alaska Energy Authority (AEA).
- B2.3 "Construction Contractor" means either: 1) a contractor selected by competitive solicitation through a design – bid – build or Design/Build contract process; or 2) a Construction Management contractor under contract with the Authority who has been assigned to complete the construction of a project.
- B2.4 Contracting Officer means the procurement staff assigned to particular project.
- B2.5 "Contractor", "Architect", "Architect/Engineer", "Engineer", "A/E", or similar terms mean the entity, other than the Authority, who is a party to this agreement.
- B2.6 "Project Manager" means the individual who manages the design and construction agreements for the Authority.
- B2.7 "Resident Engineer" means the individual acting under the direction of the Project Manager to administer the construction contract and to monitor construction work for conformance with the contract documents. The Resident Engineer is typically a contractor that oversees the construction administration, on-site observation, quality assurance, and materials acceptance testing services.

## **ARTICLE B3 ADMINISTRATIVE REQUIREMENTS AND STANDARDS**

### **B3.1 General.**

Any changes to scope, schedule or budget requires a Notice to Proceed (NTP) amendment and is not effective until a signed amendment is issued. The Authority shall not be obligated to the Contractor(s) in any way if the Contractor(s) acts on communications issued by anyone other than the Authority's Project Manager or his designee.

#### **B3.1.1 Criteria of Award**

The Contractor(s) shall provide services for bulk Fuel Tank Farm design, engineering, construction administration and support services for Beaver and Chalkyitsik. Preliminary scope of work defined in attachment A and B Letter Reports. Each report defines 3 scopes of work. This Scope of Services should be based on Option B which mitigates the major concerns without completely replacing the existing infrastructure.

After final evaluation, the contracting officer may negotiate with the offeror of the highest-ranked proposal. Negotiations, if held, shall be within the scope of the request for proposals and limited to those items, which would not have an effect on the ranking of proposals. If the highest-ranked offeror fails to provide necessary information for negotiations in a timely manner, or fails to negotiate in good faith, the Authority may terminate negotiations and negotiate with the offeror of the next highest-ranked proposal. If contract negotiations are commenced, they may be held in the **AEA** conference room on the first floor of the in Anchorage, Alaska.

If the contract negotiations take place in Anchorage, Alaska, the offeror will be responsible for their travel and per diem expenses.

### **B3.2 Project Staff**

All services must be performed by or under the direct supervision of the following individuals. Only prior written approval from the Authority shall accomplish replacement of, or addition to, the Project Staff named below:

<b><u>Name</u></b>	<b><u>Company</u></b>	<b><u>Project Responsibilities</u></b>
--------------------	-----------------------	--

(To be determined and incorporated into each final contract)

### **B3.3 Professional Registration**

All reports, plans, specification, estimates and similar work products provided by the Contractor(s) shall be prepared by or under the supervision of the Registered Alaskan Engineer or Land Surveyor in responsible charge for the services. These Engineers or Land Surveyors shall be currently registered in the State of Alaska and they shall sign, seal and certify as to the accuracy of each final work product for which they are responsible.

### **B3.4 Billing Reports**

The Contractor(s) shall provide a report with each monthly billing for months in which services are performed. The report shall specify the community (Beaver or Chalkyitsik), include the Authority project

number, and specifically describe the services (see B4.7 below) and other items for which the billing is submitted.

The report shall be submitted within two weeks of the end of the month in question and shall estimate the percent the services are complete. Any delayed costs from previous billing periods that are included in the current billing must be clearly explained in the report.

### **B3.5 Correspondence**

All correspondence prepared by the Contractor(s) shall bear the Authority Project name and numbers. The Contractor(s) shall direct all correspondence and oral communications relating to contractual matters to the Authority's designated Project Manager.

### **B3.6 Deliverables**

The Notice to Proceed shall describe required Contractor(s) deliverables including: Design narratives, calculations, specifications, drawings, etc.

Documents, reports, specifications, estimates etc. shall be printed with solid black letters on white, 8.5 inch x 11-inch bond or photocopy paper. Other size paper may be used for illustrations if they are folded to 8.5 inch x 11-inch size. Original documents and reports shall be printed on one side of the paper only and shall be ready for copying. All documents shall be page numbered.

When the Contract calls for multiple copies of documents or reports, the copies may be printed on both sides of the paper. All copies - except for originals - shall be bound.

The cover of all documents and reports shall include the following information:

- a. Name of document or report.
- b. Date.
- c. Indicate whether draft or final.
- d. Project Name.
- e. Authority Project Number(s).
- f. Prepared for: Alaska Energy Authority – as indicated by the project.
- g. Prepared by:
- h. Map and/or picture of project area.

Provide electronic copies: final drawings in AutoCAD and PDF, specifications in MS Word and PDF, all other documents in PDF.

### **B3.7 Plans, Maps, and Plats**

Plans, Maps, and Plats shall be submitted in hard paper copies and as electronic pdf files, unless otherwise specified in the NTP or by the Project Manager. (Utilizing U.S. standard units, not metric)

### **B3.8 Revisions**

The Contractor(s) shall modify work products in response to direction from the Authority. Corrections, adjustments, or modifications necessitated by the review/approval process, but which do not substantially affect the scope, complexity, or character of the services, shall be considered a normal part of the Contractor's services.

### **B3.9 Errors and Omissions**

Except as described in this Statement of Services, work products shall be essentially complete when submitted to the Authority. Contractor(s) shall perform an independent in-house review of all work products before submitting them to the Authority. The in-house review is intended to prevent the need for the Authority's Project Manager to have to correct calculations, grammar, spelling, and other common errors. Work products having significant errors or omissions will not be accepted until such problems are corrected. Errors that are brought to the attention of the Contractor to correct but are not corrected in subsequent reviews will be corrected at the Contractor's expense.

### **B3.10 Review Meetings**

Following each review the Authority may provide written comments (email is acceptable) and may hold a meeting to discuss the issues. The Contractor's personnel who are in responsible charge for the work products under review shall attend the meeting and they may be asked to interpret and provide explanations of the content.

### **B3.11 Comment Resolution**

The Contractor(s) shall provide a written response with subsequent submittals that address all written and oral comments from the Authority. All changes from previous submittals shall be clearly explained.

### **B3.12 Attend Meetings, Coordination, Presentations**

The Contractor(s) shall attend meetings and coordinate with the Authority as required to:

- a. Identify project requirements and make related presentations.
- b. Meet with regulatory agencies as required to obtain required reviews and approvals.
- c. Meet with other Contractors hired by the Authority to review studies or designs produced under this Agreement.

## **ARTICLE B4 BASIC SCOPE OF SERVICES**

### **B4.1 General**

Under this agreement, the Contractor(s) shall provide engineering services in support of the pre-design, design, bidding, and construction administration for the maintenance and improvement of existing bulk fuel facilities in Beaver and Chalkyitsik Alaska. This agreement describes common services to be provided for both communities, however the Contractor(s) shall maintain separate project files, drawing and specifications for each community.

Projects may require the Contractor(s) to coordinate with concurrent energy projects which involve local, state and federal agencies.

All phases will require cost estimating. Estimates must include accurate quantity surveys and cost estimates for all design disciplines, including civil, architectural, structural, mechanical, and electrical.

Initial award will be Phase 1 and 2 services only. The contracting agency reserves the right to negotiate and add additional phases at the Authority's discretion.

### **B4.2 Phase 1 - Pre-Design Services**

The Contractor(s) shall participate in Pre-Design conference with Authority and community personnel. Note that some of the work described in Phase 1 is also described in the attached Reports. Contractor shall compare and verify data during Phase 1.

Contractor(s) shall gather existing community data and property information (US Surveys and recorded Plat information); obtain available utilities information; purchase recent aerial photography; Identify Corps of Engineers flood data; review DEC and other contaminated sites and spill response data; identify planned construction or improvements for the community, and identify fuel usage for major users in the community.

Contractor(s) shall order a title search for existing and identified potential tank farm sites. Title search review should include review of all recorded documents relating to land ownership and site restrictions including recorded Native Allotment Claims. All identified information shall be incorporated into the village layout plan drawings and any potential conflicts shall be identified to the Authority for determination of further action.

Contractor(s) shall perform a site investigation of the existing facilities, proposed changes, pipeline routes and alternative solutions. Investigation shall identify available construction equipment in the village and any existing gravel or sand material sources. Contractor(s) shall identify general site conditions as well as gather any existing data on flood levels.

Contractor(s) shall meet with local village leaders to discuss existing fuel usage, proposed improvements, and solicit input from local government and residents. A summary of all meetings shall be retained to be incorporated into the project close out documents for the Authority.

The project delivery strategy shall include either one or a combination of the following methods:

- a. After competitive bidding, a construction contractor awarded a contract by the Authority.
- b. Construction management firm that was awarded a contract by the Authority

The Contractor(s) shall provide, preliminary planning, permitting, site research, cost estimating, conceptual design, and delivery strategies in the form of a presentation to the Authority and stakeholders prior to commencing with Design Services.

### **B4.3 Conceptual Design Report**

Under this agreement, the Contractor(s) shall utilize the Bulk Fuel Upgrades Letter Reports provided as Attachment A and Attachment B for Conceptual Design Report. The Bulk Fuel Upgrades Letter Reports describe 3 options for each community. Option B will be used as the initial scope of work, and may be revised during the Pre-Design Phase described above. Option B is summarized below, see Report for additional details.

#### **4.3.1 Beaver**

1. Repair existing tanks, and appurtenances as required, provide surface preparation and painting, approximately 3,000 square feet.
2. Replace 'gasoline shack' with new tank and dispensing system.
3. Dewater and refurbish secondary containment in one tank farm, installation of secondary containment for another.
4. Repair and/or replacement of fuel pipeline and headers.
5. Add emergency vents, and other tank appurtenances as applicable.
6. Addition of lights and electrical wiring and for new appurtenances.
7. Revise, replace or provide SPCC plans, operations and maintenance manuals, operation procedures and provide training.

#### **4.3.2 Chalkyitsik**

1. Repair existing tanks, and appurtenances as required, provide surface preparation and painting, approximately 4,000 square feet.
2. Replace existing secondary containment in one tank farm, install new containment for other tank farms.
3. Repair and/or replacement of fuel pipeline and header.
4. Add emergency vents, and other tank appurtenances as applicable.
5. Addition of lights and electrical wiring and for new appurtenances.
6. Revise, replace or provide SPCC plans, operations and maintenance manuals, operation procedures and provide training.

### **B4.4 Phase 2 - Design Services**

The Contractor(s) shall provide design services which includes Plans, Specifications, and Cost Estimate (PS&E) deliverables due at 65%, 95% and Final Design. The PS&E shall be suitable for the project delivery strategy as described in the Pre-Design Services (see B4.2 above).

The Contractor(s) shall perform an as-built survey to gather design and property information.

The Contractor(s) shall review the exiting geotechnical data gathered in the community and determine if additional work is required to develop foundation designs. The anticipated geotechnical investigation may include a site inspection and digging of test holes using local equipment. As appropriate, and in consultation with the AEA Project Manager, the Contractor(s) shall incorporate climate trends and related considerations in the geotechnical investigation.



The Contractor(s) shall prepare an Environmental Assessment for the project as directed. Work with the Authority to contact required agencies for comment and when preparing public notices. Services may include the development of a US Army COE permit for placing fill on wetlands, if required.

Upon completion of the as-built survey, the Contractor(s) shall work with the Authority to develop legal descriptions for the tank farm site and any easements or ROW permits that may be required, including pipeline easements.

The Contractor(s) shall develop 65% construction drawings based on the Letter Report, as updated by Contractor(s), site survey, existing site conditions, and community comments. The construction plans shall include civil, mechanical and electrical drawings as required to complete the tank farm improvements, fuel distribution systems and dispensing station scope of work. The plans shall include sheet specifications. Deliverables per B3.6.

The Contractor(s) shall prepare a Fire Marshal Plan Review Application. Upon completion of the design, the Contractor(s) shall submit the plans to the Fire Marshal to review. The Contractor(s) shall work with the Fire Marshal to address questions and comments during the review. Fire Marshal review fee shall be included in Contractor's fee proposal for the Notice to Proceed.

A Plans-in-Hand Review (65% complete) and a Pre-final PS&E (95% complete) review shall be required. The following shall be submitted for these reviews:

- a. A construction schedule, recommended number of calendar days for the construction contract or a recommended construction contract completion date.
- b. For each submittal, provide a response to all comments received prior to submittal's completion.
- c. Provide a brief design summary report that lists the significant changes made to the PS&E after the Plans-In-Hand Review meeting but which were not discussed at that meeting.
- d. A brief description of the work required to construct this project, for use by the Authority in preparing the Invitation for Bids.
- e. One printed set of Plans and Specifications with electronic copy, both suitable for reproduction.
- f. Engineer's Cost Estimate. Provided, signed and dated by both preparer and checker and updated with each submittal (65%, 95% and Final)
- g. Permits, or status of permits currently in work, and schedule for completion.
- h. A list of all submittals which will be required from the Construction Contractor.

#### **B4.5 Phase 3 - Bid Services**

The Authority Responsibility:

- a. Prints and distributes Bidding Documents to bidders
- b. Maintains a "plan holders" list
- c. Collects fees for bidding documents, if required
- d. Distributes addenda
- e. Administers bid opening
- f. Receives, reviews, and approves submittals required for award
- g. Awards construction contract

The Contractor(s) may be requested to provide bid phase services as described below (B4.5.1-B4.5.4).

##### **B4.5.1 Bidder Questions**

All Questions from potential bidders shall be directed to the Procurement Manager. The Procurement Manager will coordinate responses with the Project Manager and Contractor(s). Responses shall be issued by addenda.

#### **B4.5.2 Substitutions**

During the bidding period, bidders will transmit substitution requests to the Authority. The Contractor(s) shall review substitution requests and respond in writing through the Project Manager. Contractor's written response shall approve or reject substitution request and if rejected, shall document reasons for rejection. All approved substitutions shall be issued to bidders by addendum.

#### **B4.5.3 Addenda-not used**

#### **B4.5.4 Pre-Bid Conference**

The Contractor(s) shall participate in pre-bid conference(s). The Contractor(s) and Authority shall agree in advance which design disciplines will be present in person or by teleconference to answer bidder questions. Contractor(s) shall give a presentation to provide bidders with information on general scope of work, schedule requirements, other contracts affecting the project, and unusual aspects of the project.

### **B4.6 Phase 4 - Construction Administration-Basic Services**

The Contractor(s) shall provide assistance to the Authority in its administration of a designated construction contract commencing with the previously mentioned methods and terminating with final acceptance of the project and Authority approval of the Contractor's final invoice for all services throughout the construction phase.

The Contractor(s) shall:

- a. Participate in a pre-construction conference(s) with the Authority and the construction contractor.
- b. Respond to Authority or construction contractor initiated requests for clarifications of documents within five working days from the date the Contractor (s) receives the request.
- c. Receive, track, and review all construction contractor submittals required by the Contract Documents. Submittals shall be reviewed for conformance with the design concept of the project and for compliance with the requirements of the Contract Documents, within 10 working days following the date of receipt of the submittal by the Contractor. A written response shall indicate one of the following:
  - a. Reviewed, no comments
  - b. Reviewed, see comments
  - c. Revise as noted, and resubmit
  - d. Rejected for reasons noted
- d. Review the Construction Contractor's schedule submittals and make written comments to the Project Manager regarding the Construction Contractor's:
  - a. Schedule of shop drawing submittals
  - b. Schedule of values
  - c. Progress schedule
- e. Review and forward change orders to be issued by the Authority. The Contractor(s) shall prepare drawings, specifications, cost estimates, and other documentation as required for change orders at no additional cost to the Authority, when the change order is required as the result of a design error or omission.
- f. Prepare drawings, specifications, cost estimates, or other documents required for a change order resulting from a changed condition, client requested change, or change requested by the construction contractor (all of which are not the result of a design error or omission) shall be an additional service.

#### **B4.7 Applications for Payment**

The Contractor(s) shall review all Applications for Payment from the construction contractor. Contractor(s) shall recommend approval of a pay request as representing a true estimate of work completed and materials delivered and properly stored. Contractor(s) shall recommend disapproval of payment for any legitimate reason as specified in the General Conditions of the construction contract.

Applications for Payments shall be specific to the associated community, include the Authority project number and specify project phase as listed below:

1. Pre-Design
2. 65% Design
3. 95% Design
4. Final Design
5. Bid Phase Services
6. Construction Administration
7. Project Closeout and Record Documents

## **ARTICLE B5    ADDITIONAL SERVICES**

### **B5.1    General**

The agreement describes additional services to be provided for both Beaver and Chalkyitsik, however the Contractor(s) shall maintain separate project files and documents for each community, and shall only provide services described within this Article if the services are specifically authorized by the NTP.

### **B5.2    Special Meetings / Presentations**

The Contractor(s) shall provide design presentations or attend meetings as requested by the Project Manager, which are not required under Section B3.12.

### **B5.3    Construction Phase Inspector Participation, On-Site Observation and Quality Assurance**

The Contractor(s) shall provide quality assurance services during the construction of the project including:

- a. Provide a construction observation plan, which identifies critical inspections, and tests, which are recommended to provide a reasonable level of quality assurance during construction.
- b. On-site construction observation by qualified inspector(s), as required to assure quality construction, which meets the requirements of the Contract Documents.
- c. Inspector(s) provided by the Contractor(s) shall have thorough knowledge of materials, applicable construction methods, and the requirements of the Contract Documents. Project Manager may require the Contractor to replace inspector(s) who do not meet the above requirements.
- d. Contractor(s) shall provide a representative on-site within 24 hours of a request from the Project Manager unless otherwise specified. Contractor(s) will be given additional time to arrive on site for projects that are rural or when travel is delayed due to weather.
- e. Contractor(s) shall be paid for on-site observation time on a basis in accordance with this agreement. Project Manager will make reasonable allowance for travel time to the site.
- f. If it is subsequently determined that on-site observations were necessitated by a design error or omission, the Contractor(s) shall provide such on-site representation at no cost to the Authority and the Contractor(s) shall correct the error or omission as quickly as possible to minimize delay to the construction project.
- g. Contractor(s) shall provide inspection reports to the Project Manager documenting the following:
  - a. Date and time of inspection (arrival and departure)
  - b. Work observed
  - c. Identification of problems or deficiencies in the work observed
  - d. Work which is behind schedule
  - e. Weather conditions affecting the work
  - f. Attach photographs appropriate to the report
- h. A written report of each visit must be submitted to the Project Manager and will serve as documentation for payment.
- i. Participate in Substantial Completion inspection and Final Completion inspection with all design disciplines represented. Contractor shall prepare a list of work items required by the Contract Documents, which are incomplete, defective, or otherwise unacceptable. Assist Authority in determination as to whether work is substantially complete or finally complete in accordance with the Contract Documents.

#### **B5.4 Substitution Evaluations during Construction**

The Contractor(s) shall evaluate substitution requests submitted by the construction contractor and respond in writing through the Project Manager. Contractor's written response shall approve or reject substitution request and if rejected, shall document reasons for rejection.

#### **B5.5 As-Built Surveys**

After construction has been completed, provide an As-Built survey stamped by a registered land surveyor. Provide an electronic drawing file (AutoCAD and PDF) to Authority.

#### **B5.6 Cost Estimating**

The Contractor(s) shall provide third party construction cost estimates, beyond estimates required in basic services, for Authority projects at any level of design if requested. Estimates shall include accurate quantity surveys and cost estimates for all design disciplines, including civil, architectural, structural, mechanical, and electrical.

To complete the estimate, the Contractor(s) shall work with other firms on contract to the Authority that provide specialized services such as engineering, architectural, economic/financial analysis, environmental investigations, regulatory compliance, electric utility design/repairs, and legal services.

#### **B5.7 Federal Permitting and Regulatory Plan Development**

The Contractor(s) shall assist the (Authority) by providing services that are necessary to comply with Federal permitting requirements for the operation, improvement and construction of rural energy projects. Services include but are not limited to:

- a. Obtain permits, licenses and rights-of-way required for design, construction, operation, and maintenance, in a timely manner for the Authority's projects.
- b. Coordinate, on behalf of and at the request of the Authority, with Federal Regulatory Agencies as necessary to maintain compliance with the Authority's project licenses and provide responses for the requirements.
- c. Obtain, monitor, modify, and file as required, on behalf of the Authority, all sewer, water, landfill, rights-of-way and other permits required for the operation, maintenance, repair and improvement of Authority projects.
- d. Regulatory plans (PDF) for the new fuel facility may include but are not limited to:
  - a. NEPA Environmental Review
  - b. EPA SPCC Plan
  - c. EPA Facility Response Plan
  - d. USCG Operations Manual
  - e. USCG Spill Response Plan
  - f. SPCC plan

#### **B5.8 Third Party Review and Other Support:**

In the event this RFP is awarded to more than one contractor. AEA may ask the Contractor(s) to perform third party design (peer) review of other contractors' work that are under contract to the Authority, its agents, or clients. This review shall be restricted to Design Services in either Beaver or Chalkyitsik pursuant to this agreement.

## **B5.9 Operation and Maintenance Manuals**

The Contractor(s) shall provide an Operating and Maintenance (O&M) Manual, including procedures for: Barge/Airplane Off-Loading, Fuel Transfers, Dispensing, etc. Each procedure shall include a sequence of events, valve position references (i.e. opened/closed) and personnel duties to ensure proper operation. This manual shall also include vendor cut sheets for the materials and equipment used, as well as relevant warranty info.

Provide complete information for preventive maintenance for each product, including recommended frequency of performance for each preventive maintenance task, and inspection sheets as appropriate. Provide all information of a maintenance nature covering warranty items which have not been discussed in the manufacturer's literature. Provide all Record Documents described in B5.10 as an appendix.

Provide a separate chapter for each section with subchapters for each procedure or system. Provide a table of contents for each chapter, and each major item in each chapter, to indicate the page number of each. Label all pages to assure correct placement in manual. Identify each piece of equipment with its associated nameplate number, i.e. tank #, etc.

**Prior to Substantial Completion**, Contractor (s) shall submit one (1) electronic draft copy of completed volume 30 calendar days prior to Training or Substantial Completion inspection, whichever is earliest. This copy will be reviewed and returned, with Authority's comments. Revise content of all document sets as required prior to final submission.

Prior to Final Acceptance, provide one (1) hard copy suitable for use by operation personnel. Manual shall be bound in 3-ring slant "D" presentation ring binders, maximum 11-5/8" high and 11-1/4" deep. Spine, front, and back shall be heavy virgin vinyl sealed over heavy board. Binders shall have clear, full size pockets on spine and front cover. Thickness of content shall not exceed 75% of binder manufacturer's stated capacity. All pages shall be 8 1/2" x 11", or 11" x 17" folded to 8 1/2" x 11" in a manner to permit unfolding without removal from binder. In addition, the Contractor shall provide two (2) electronic copies of the manual of each (PDF and editable, native file format), each shall be provided and delivered to each location(s) and AEA, for archiving and future use.

## **B5.10 Record Documents**

The Contractor(s) shall prepare an electronic set of drawings (AutoCAD and PDF) and specifications (PDF) showing significant changes in the project made during the construction process based on marked-up prints, drawings and other data prepared by the prime construction contractor and subcontractors. Confirm and make any changes needed to the documentation that all equipment and systems that the construction contractor replaced or modified including, but not limited to:

- a. As built drawings
- b. Project specific O&M manuals and schematics
- c. Bills of materials
- d. Flow charts or diagrams.
- e. System operations sequencing and switching checklist (s) for safe and reliable normal operations
- f. Provide two (2) electronic copies of each (PDF and editable, native file format), each shall be provided and delivered to each location(s) and AEA, for archiving and future use.

### **B5.11 Warranty Inspection**

The Contractor(s) shall provide a thorough inspection of work, no less than six (6) months have passed, prior to the end of the one-year correction period. The Contractor(s) shall prepare a written list to the Authority identifying items requiring correction by the construction contractor.

### **B5.12 Commissioning/Acceptance Testing**

The Contractor(s) shall provide commissioning/acceptance testing following Authority and/or manufacturer defined requirements.

### **B5.13 Business Operating Plan Preparation**

The Contractor(s) shall prepare a business operating plan. Services include but are not limited to:

- a. The plan is typically prepared during the Final Design Phase, to be used during training.
- b. Provide an executive summary, community background, a description of the project, operator information (contacts, staffing, financial responsibilities, O&M guidelines, renewal/replacement guidelines, reporting requirements), insurance, environmental information, and financial information.
- c. Provide a 40-year projection for operation and maintenance (O&M) requirements and cash flow, and a 40 year projection for repair and replacement requirements and cash flow.
- d. As this project modifies existing infrastructure and may have an existing business plan, the Contractor(s) shall coordinate with the community while developing the business operating plan. Note that the Contractor(s) may be asked to provide documentation of coordination.
- e. Provide no less than 4 hours of onsite training to operations personnel and facility management staff regarding the project. Training shall include facility operation and SPCC plans.
- f. To the extent possible, coordinate facility training with Authority training personnel.

# CERTIFICATION OF COMPLIANCE

## APPENDIX E

Project No: 20028
Date Prepared: 11/5/2019

### ALASKA LICENSES/REGISTRATIONS AND INSURANCE

Contractor and all Subcontractors shall comply with the following applicable requirements of Alaska Statutes:

1. For Procurements over \$100,000, **Alaska Business License** (Form 08-070 issued under AS 43.70) must be obtained prior to award of a contract; and not later than five days after a Notice of Intent to Award for all Subcontractors.
2. **Certificate of Registration** for each individual to be in "responsible charge" (AS 08.48.341(14)) for Architecture, Engineering or Land Surveying (Form 08-2407 issued under AS 08.48.211) issued prior to submittal of proposal. Associates, consultants, or specialists under the supervision of a registered individual in "responsible charge" are exempt from registration requirements (AS 08.48.331).
3. **Certificate of Incorporation (Alaska firms) or Certificate of Authorization** for Foreign Firm ("Out-of-State" firms). All corporations, regardless of type of services provided, must have one of the certificates (AS 10.06.218 and other sections of Title 10.06 - Alaska Corporations Code).
4. **Current Board of Director's Resolution** for incorporated Contractors and incorporated Subcontractors for Architecture, Engineering or Land Surveying (reference AS 08.48.241) which names the person(s) designated in "responsible charge" for each discipline. Such persons shall be licensed in Alaska and shall participate as project staff in the Contract/Subcontracts.

5. **Corporations, limited liability companies, and limited liability partnerships** shall have a valid Certificate of Authorization under 08.48.241 prior to award.
6. **All partners** in a Partnership to provide Architectural, Engineering, or Land Surveying **must be legally registered in Alaska** prior to submittal of proposal for at least one of those disciplines (AS 08.48.251) which the Partnership offers.
7. **Joint Ventures**, regardless of type of services provided, must be licensed/registered in the legal name of the Joint Venture as used in this proposal (AS 43.70.020 and 43.70.110(4)).

Contractor will ensure that it and all Subcontractors have insurance coverage to effectuate the requirements of Appendix D, "Indemnification and Insurance", DOT&PF Form 25A269, as prepared for this Agreement.

**I certify that I am a duly authorized representative of the Contractor and that the above requirements for Alaska Licenses, Registrations and Insurance will be complied with in full. This certification is a material representation of fact upon which reliance will be placed if the proposed contract is awarded.**

---

Signature	Date
Name.....:	
Title.....:	

[For information about licensing, Offerors may contact the Alaska Department of Commerce and Economic Development, Division of Occupational Licensing at P.O. Box 110806, Juneau, AK 99811-0806, or at Telephone (907) 465-2550, or at Internet address: <http://www.dced.state.ak.us/occ/home.htm>.]



# INDEMNIFICATION AND INSURANCE

## Appendix D in Professional Services Agreements

Project No: 20028

Date Prepared: 11/5/2019

CONTRACTOR shall include the provisions of this form in all subcontracts which exceed \$25,000 and shall ensure Subcontractor's compliance with such provisions.

### ARTICLE D1 INDEMNIFICATION

D1.1 The CONTRACTOR shall indemnify, hold harmless, and defend the CONTRACTING AGENCY from and against any claim of, or liability for negligent acts, errors or omissions of the CONTRACTOR under this Agreement. The CONTRACTOR shall not be required to indemnify the CONTRACTING AGENCY for a claim of, or liability for, the independent negligence of the CONTRACTING AGENCY. If there is a claim of, or liability for, the joint negligent error or omission of the CONTRACTOR and the independent negligence of the CONTRACTING AGENCY, the indemnification and hold harmless obligation shall be apportioned on a comparative fault basis. "CONTRACTOR" and "CONTRACTING AGENCY", as used within this article, include the employees, agents and other contractors who are directly responsible, respectively, to each. The term "Independent Negligence" is negligence other than in the CONTRACTING AGENCY's selection, administration, monitoring, or controlling of the CONTRACTOR and in approving or accepting the CONTRACTOR's Work.

D1.2 The CONTRACTOR shall exercise that degree of skill, care and judgment commensurate with the professional standards for the services of a similar nature. When such standards are in dispute, they shall be established by a panel of three qualified, impartial professionals objectively selected and appointed by the Appeals Officer.

D1.3 The CONTRACTOR shall correct, through re-performance at its expense, any services which are deficient or defective because of the CONTRACTOR's failure to perform said services in accordance with professional standards, provided the CONTRACTING AGENCY has notified the CONTRACTOR in writing within a reasonable time, not to exceed 60 days, of the discovery of any such deficiency during the performance of the services and within 12 months of the date of final payment under this Agreement.

### ARTICLE D2 INSURANCE

D2.1 Without limiting the CONTRACTOR's indemnification, it is agreed that CONTRACTOR shall purchase at its own expense and maintain in force at all times for the duration of this Agreement, plus one year

following the date of final payment, the following policies of insurance. Where specific limits are shown, it is understood that they shall be the minimum acceptable limits. If the CONTRACTOR's policy contains higher limits, the CONTRACTING AGENCY shall be entitled to coverage to the extent of such higher limits. Certificates of insurance must be furnished to the CONTRACTING AGENCY and incorporated into this Agreement with copies attached to this document. Certificates must provide for the CONTRACTING AGENCY to receive notice of any policy cancellation or reduction per AS 21.36 Sections 210-310. Failure to furnish certificates of insurance or lapse of the policy is a material breach and grounds for termination of the CONTRACTOR's services and may preclude other Agreements between the CONTRACTOR and the CONTRACTING AGENCY.

D2.1.1 Worker's Compensation Insurance: The CONTRACTOR shall provide and maintain, for all employees engaged in work under this Agreement, coverage as required by AS 23.30.045, and; where applicable, any other statutory obligations including but not limited to Federal USL&H and Jones Act requirements. The policy(s) must waive subrogation against the State of Alaska.

D2.1.2 Commercial General Liability Insurance: Such policy shall have **minimum** coverage limits of \$300,000 combined single limit per occurrence, covering all business premises and operations used by the Contractor in the performance of services under this agreement. The policy shall be written on an "occurrence" form and shall not be written as a "claims-made" form unless specifically reviewed and agreed to by the CONTRACTING AGENCY.

D2.1.3 Comprehensive Automobile Liability Insurance: Such policy shall have **minimum** coverage of \$300,000 combined single limit per occurrence covering all vehicles used by the Contractor in the performance of services under this agreement.

D2.1.4 Professional Liability (E&O) Insurance: Covering all negligent errors or omissions, and negligent acts, which the CONTRACTOR, Subcontractor or anyone directly or indirectly employed by them, make in the performance of this Agreement which result in financial loss to the State of Alaska. Limits required are per the following schedule:

**MINIMUM LIMITS OF E&O INSURANCE**

Contract Amount	Combined Single Limit, Per Occurrence & Annual Aggregate
Under \$25,000	As Available
\$25,000 to \$100,000	\$300,000
\$100,000 to \$499,999	\$500,000
\$500,000 to \$999,000	\$1,000,000
\$1,000,000 and over	Negotiable

D2.1.5 Professional Liability Insurance required for this Agreement is \$ 500,000

**ARTICLE D3  
MODIFICATION OF INSURANCE REQUIREMENTS**

(Article D3 is completed only when some of the standard insurance coverages are not applicable.)

**CONTRACTOR RELATED MODIFICATIONS**

- D3.1  **Workers Compensation Insurance** is not required because the CONTRACTOR is an Independent Contractor, Sole Proprietor or Self-Employed Person having no employees in any sense of AS 23.30.045.
- D3.2  **Comprehensive or Commercial General Liability Insurance** is not required because the general public and clients do not have any business access to a place of business or home office maintained by the CONTRACTOR.
- D3.3  **Comprehensive Automobile Liability Insurance** is not required because only public transportation, or a rented passenger vehicle with business use insurance, will be used to accomplish requirements of this Agreement.

**PROJECT RELATED MODIFICATIONS FOR E&O COVERAGE**

***When services may apply to fire, life safety or structural aspects and/or wherever the services should safeguard life, limb, health or property, Professional Liability Insurance shall be required.***

(E&O Coverage may be waived only if it was specifically not required within the solicitation for proposals.)

- D3.4  **Professional Liability (E&O) Insurance** is not required because: 1) the CONTRACTING AGENCY's use of the services or Work products obtained from the CONTRACTOR will not result in significant exposure to any third party claims for loss or damage; and 2), the CONTRACTOR services will not apply to any construction, alteration, demolition, repair or direct use of any highway, airport, harbor, building or other structure.
- D3.5  **Professional Liability (E&O) Insurance** is not required because this Agreement is for one of the following applicable (*checked*) services for which E&O coverage is not needed:
  - Right-of-Way Fee Appraisals
  - Photogrammetric Mapping Services
  - Architectural/Engineering review of Construction Bid Documents wherein design responsibility clearly remains with the designer of record.

**OTHER BASIS FOR MODIFICATIONS**

(Requires written concurrence from Division of Risk Management)

- D3.6  Attached Exhibit D-1 identifies and provides justification for insurance modifications.

Above *checked* modifications of the insurance requirements specified in Article D2 are hereby approved:

**CONTRACTING OFFICER**

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Title: \_\_\_\_\_

# COMPENSATION

## APPENDIX C

Project No: 20028

Date Prepared: 11/5/2019

C1. Payments will be made on approved invoices submitted for months during which costs are incurred. Except for Fixed Price(s) and Fixed Fees, compensation shall be cost-based on actual costs to the Contractor for providing services. Provisions for Audit are contained in Appendix A.

C2. EXCEPT WHEN PAYMENT IS BY FIXED PRICE, PRIME CONTRACTOR'S LABOR AND ASSOCIATED INDIRECT COST SHALL BE INVOICED TO THE CONTRACTING AGENCY WITHIN 45 DAYS OF PERFORMANCE. SUBCONTRACTORS' LABOR AND ASSOCIATED INDIRECT COST SHALL BE INVOICED TO THE CONTRACTING AGENCY WITHIN 60 DAYS OF PERFORMANCE. ALL OF THE CONTRACTOR'S AND SUBCONTRACTORS' OTHER DIRECT COSTS (EXPENSES) SHALL BE INVOICED TO THE CONTRACTING AGENCY WITHIN 90 DAYS OF BEING INCURRED. **CHARGES SUBMITTED AFTER THE ABOVE STATED TIMES WILL, AT THE CONTRACTING AGENCY'S DISCRETION, NOT BE PAID.**

C3. Price proposals and Notices-to-Proceed (NTPs) for this Agreement must conform to the Labor Rates, Indirect Cost Rate(s), Unit Prices, Fee/Profit Arrangements, Estimated Costs, and Price Caps contained in the Exhibits attached to this Appendix C.

C4. Payments are limited to the amount(s) cited in each Notice-to-Proceed (NTP) issued for this Agreement. The Contractor expressly has no right to any payment in excess of each NTP amount.

C5. Final payment to the Contractor may be withheld until a Release from Agreement, on a form prescribed by the Contracting Agency, is executed by the Contractor.

C6. Payments for this Agreement and any Amendment, including Costs and Fee, will be adjusted to exclude any significant sums by which the Contracting Agency finds that payments are increased because the cost or pricing data furnished by the Contractor or prospective Contractor is inaccurate, incomplete, or not current on the date of the Agreement or subsequent submittal date of pricing data.

C7. The following terminology and explanations are applicable to this Agreement; any inconsistencies appearing in this Agreement must be resolved in accordance with the terminology in paragraphs C7.1-C7.6 and C8.

C7.1 Direct Costs of Direct Labor - Base salary and/or wages paid to employees charged directly to this Agreement exclusive of Fringe Benefits or other Indirect Costs and Fees (including profit).

C7.2 Other Direct Costs ("Expenses") - **PRE-APPROVED** unit priced items, actual costs for specific subcontracts identified in this Agreement, and actual costs for the following:

Transportation (economy rate/air-coach);  
Food and lodging (Generally, not to exceed agency per diem rates);  
Incidental travel expenses; and  
- If not recovered in the Indirect Cost Rate - the following:  
Equipment & computer use at **PRE-APPROVED** rates;  
Specific materials and supplies; and  
Other **PRE-APPROVED** direct expenses.

Each Expense is limited to reasonable costs which do not exceed that which would be incurred by an ordinarily prudent person in the conduct of competent business.

C7.3 Indirect Costs - Allowable expenses that, because of their incurrence for common or joint cost objectives, must be allocated to this Agreement using a specified Indirect Cost Rate. A cost objective is a function, organizational subdivision, contract, project or work unit for which cost data is accumulated under the Contractor's accounting system. Generally, the Contracting Agency requires Indirect Costs to be segregated into the following categories: Fringe Benefits, Overhead (General & Administrative Expenses - including Indirect Labor), and Allocated Home Office Overhead (if applicable).

C7.3.1 Fringe Benefits - Costs for items such as:

Vacation time, holidays and authorized leave;  
Group and Worker's Compensation Insurance;  
Deferred Compensation/Retirement plans;  
Social Security and Unemployment Taxes; and  
Group Medical plan and Life Insurance Premiums.

C7.3.2 Overhead - Costs for items such as the following, if they are not included in Direct Costs:

Indirect Labor (Supervisory, Administrative, etc., base salary or wages)  
Recruiting expenses, travel, food and lodging;  
Rent, heat, power, light and janitorial services;  
Office supplies, reproduction costs, communications;  
Upkeep and depreciation of equipment and computers;  
Rentals of equipment and computers; and,  
Business Insurance premiums not billed to clients;

C7.3.3 Allocated Home Office Overhead (if applicable) - Costs for management, supervisory, and administrative functions which benefit separate unit operations.

C7.3.4 Indirect Cost Rate - An established percentage of incurred expenses for Direct Costs of Direct Labor which is used as a basis of compensation for Indirect

Costs. Fees or Profit are not included in the Indirect Cost Rate.

C7.4.1 If this Agreement wholly or partially allocates Indirect Costs on other than a Direct Labor dollar basis, a description of the Indirect Cost pools or service centers used, and the Indirect Cost Rates(s) and base(s), shall be attached in an Exhibit to this Appendix C; otherwise, such an allocation shall not be allowed for this contract.

C7.4.2 Indirect Cost Rates may be fixed or provisional and will be established for the duration of the Agreement, fiscal year, or other time period.

C7.4.3 Provisional Indirect Cost Rates or "Fixed/Provisional" Rates require a Contracting Agency approved audit of accounting records after each of the Contractor's or Subcontractor's fiscal years during which they perform work under the Agreement.

C7.5 Non-allowable Costs - Payments for the following items and certain other costs defined in 48 CFR Part 31 and related regulations are not allowable. Such costs shall not be included as billable Direct or Indirect Costs or in the calculation of the Indirect Cost Rate.

Interest and other financial costs  
Contributions and donations  
Federal income taxes & tax return preparation fees  
Deferred state income taxes

Bad debts  
Fines and penalties  
Entertainment, social club memberships, etc.  
Goodwill  
Provisions for contingencies  
Losses on other contracts and related legal fees  
Legal fees, etc., related to contract claims

C7.6 Fee - Profit plus any costs not allocable to this contract. The amount of Fee may be fixed or variable, depending on the method of payment used. Non allocable costs shall not be considered by the Contracting Agency when negotiating Fee.

C8. Markup of any costs as compensation for administration, management or handling, etc., is prohibited. Costs of such efforts are included within the elements of Direct Labor and/or Indirect Labor. Compensation for any risk associated with incurring costs is included within Fee (Profit).

C9. The following Exhibits complete this Appendix C (Components of Appendix C - Compensation, shall stand and prevail in the following order: Exhibit C-1, Exhibit C-2, et al, in the order of their number):

Exhibit C-1 Method(s) of Payment  
Exhibit C-2 NTP & Invoice Summary