

REQUEST FOR PROPOSAL – FGICS2026

FOR

“FIDUCIARY GOVERNANCE & INVESTMENT CONSULTING SERVICES”

ASSOCIATION OF UNIVERSITIES FOR RESEARCH IN ASTRONOMY, INC.

Proposals **MUST BE RECEIVED BY**

April 10, 2026, 3:00 PM (MST)

Prepared by:

AURA/CAS

Procurement

Joel Yaccarino, Contracts Officer

950 N. Cherry Avenue

P. O. Box 26732

Tucson, AZ 85726-6732

March 3, 2026

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DOCUMENT ACCEPTANCE AND RELEASE NOTICE

This is a managed document. To identify changes, each page contains a release number and a page number. This document is authorized for release once all signatures have been obtained.

CHANGE RECORD

PURPOSE

AURA is soliciting proposals from qualified professional firms to perform fiduciary governance and investment consulting services for the 401(a), 403(b) and 457(b) plans for the initial term of three years renewable for two additional two-year terms. The selected firm will work closely with the Retirement Plan Administrator and Retirement Plan Oversight Committee. The initial term will begin in August 2026.

BACKGROUND

The Association of Universities for Research in Astronomy, Inc. (hereinafter referred to as “AURA”) is incorporated as a 501 (c) (3) tax-exempt not-for-profit corporation in the State of Arizona. AURA is a consortium of 49 US institutions and 2 international affiliates that manage world-class astronomical observatories for the National Science Foundation (NSF) and NASA. AURA’s mission is to provide innovative, open resources to enable discovery and excellence in research, to unify the astrophysics communities, and to promote public understanding of our universe and the benefits of scientific exploration.

AURA Corporate (Corporate) provides management oversight and services to its Centers. The office is headquartered in Washington, D.C. AURA-O represents and manages the juridical and institutional interests of AURA in Chile. AURA-O is recognized by the Chilean Government as an International Organization (OI), a semi-diplomatic juridical status on par with missions from the United Nations. The office is located in Santiago, Chile. Centralized business service units within Corporate include Human Resources, and Central Administrative Services. The units are distributed throughout Tucson, AZ, Boulder, CO, Hilo, HI, Maui, HI, Baltimore, MD and La Serena, Chile.

AURA is responsible for the successful management and operation of its three centers: NSF’s NOIRLab, the National Solar Observatory (**NSO**), and the Space Telescope Science Institute (**STScI**).

AURA maintains the AURA, Inc. Money Purchase Pension Plan and Trust (401a), The Association of Universities for Research in Astronomy, Inc. 403b Savings Plan (403b), and the Association of Universities for Research in Astronomy, Inc. Nonqualified 457b Plan (457b). All are defined contribution plans. Fidelity serves as sole retirement plan provider and recordkeeper. Historical balances are maintained at TIAA for all but the 457b plan. Contribution types by plan are employer contributions of 10% for the 401a plan and employee contributions for the 403b and 457b plans. The plans are intended to comply with all applicable laws and regulations, including the Internal Revenue Code of 1986, as amended and the Employee Retirement Income Security Act of 1974 (ERISA). The 457b plan is not subject to ERISA. As of December 31, 2024, unaudited plan assets and participants with account balances totaled approximately \$475,000,000, \$325,000,000, and \$7,000,000 and 3,000, 1,800, and 40, respectively.

The Retirement Plan Oversight Committee is comprised of up to nine individuals serving five-year terms. The Committee oversees administrative actions related to the Plans. The Committee meets quarterly and as necessary to accomplish its responsibilities and duties.

SECTION I. SCOPE OF SERVICES

The Retirement Plan Oversight Committee is seeking the services of an independent consulting firm to provide independent and unbiased research, information and advice to the Retirement Plan Administrator and Retirement Plan Oversight Committee. The general responsibilities of the fiduciary governance and investment consulting firm include, but are not limited to:

- A. Investment Performance Monitoring and Reporting – Provide, on at least a quarterly basis or as needed for issues requiring immediate action, timely, accurate and unbiased investment performance monitoring reports. Monitoring should include, but is not limited to, comparisons to market indices, risk/return analysis, investment recommendations, QDIA and expenses. Each report should include actionable recommendations such as the removal of underperforming investment products or the addition of others. Analysis of investments should ensure that AURA is compliant with the Investment Policy Statement and regulatory requirements.
- B. Fiduciary Training – Conduct fiduciary training of Retirement Plan Oversight Committee members at least once a year. The training should educate Committee members on how to fulfill their fiduciary obligations.
- C. Legal and Legislative Updates – Provide the Retirement Plan Administrator and Retirement Plan Oversight Committee members with relevant legal and legislative updates on a quarterly basis or more frequently if a matter requires immediate attention.
- D. Retirement Plan Oversight Committee Meetings – Participate and take meeting minutes for Retirement Plan Oversight Committee meetings either in person or via video conferencing/phone. Meetings are typically held on a quarterly basis but may occur more frequently depending on activities for the plan year. Meeting minutes are to be distributed to the Retirement Plan Oversight Committee for review and approval.
- E. Governance Document Review – Assist in the review process for documents such as, but not limited to, the Investment Policy Statement, Loan Policy and Plan Document when changes are made or at least on an annual basis. Provide recommendations to ensure that documents are up to date with regulatory requirements.
- F. Participant Education – Assist in the development of a comprehensive employee communication plan that is consistent across the organization.
- G. Fee Benchmarking – Prepare, if requested by the Committee, a vendor fee benchmarking report to determine if a vendor search or fee renegotiation is needed.
- H. Vendor Search and Selection – Assist in a vendor search and selection process. Responsibilities include, but are not limited to, identifying vendors that service similar plans, evaluating services and costs. A vendor search is to be conducted in plan year 2026.
- I. Vendor Service Contract Negotiations – Assist, as needed, with vendor service contract/agreement negotiations.

- J. Vendor Service Oversight – Assist with vendor service oversight, including serving as a liaison when issues arise.
- K. Consultation/Advice – Provide, on an as needed basis, consultation/advice to those involved in plan administration (e.g. Plan Administrator, Retirement Plan Oversight Committee).
- L. Current Trends and Issues – Provide Retirement Plan Oversight Committee members with information regarding current trends and issues impacting defined contribution plans.
- M. Regulatory Audit – Provide, on an as needed basis, assistance in responding to regulatory agency audits (e.g., DOL, IRS).
- N. Fiduciary Acknowledgement – Acknowledge services shall be performed as a fiduciary.

SECTION II. INSTRUCTIONS TO PROPOSERS

Article 1. Definitions

- 1.1. All definitions set forth in the General Provisions of the Sample / Draft Contract, attachments and appendices are applicable to these Proposal Instructions.
- 1.2. The “Request for Proposal Documents” (hereinafter RFP Documents) consist of the following:
 - a. Statement of Work
 - b. Requirements Document
 - c. Proposal Instructions (this Document)
 - I. Proposer’s Quote
 - II. Representations and Certifications
 - d. Proposer’s Form, Budget Spreadsheet Template and Budget Justification Template
 - e. Amendment(s) issued prior to receipt of Proposal (if any)
 - f. Sample / Draft Contract
- 1.3. “Amendments” means the written or graphic instruments issued prior to the execution of the Contract which modify or interpret the RFP Documents, including specifications, by additions, deletions, clarifications or corrections, answers to questions posted on the “AURA Bid Opportunities” webpage.
- 1.4. "Contract Documents" consist of the following:
 - a. Contract between AURA and the Contractor
 - b. Representations and Certifications
 - c. Terms and Conditions
 - d. Statement of Work
 - e. Reference Documents
 - f. Specifications
 - g. Amendments and all modifications incorporated in the Documents before their execution

- 1.5. "AURA" means the Association of Universities for Research in Astronomy, Inc., an Arizona non-profit corporation. The term "AURA" includes its authorized representatives.
- 1.6. "NSF" means the National Science Foundation, an agency of the United States of America created under the National Science Foundation Act of 1950. The term "Foundation" includes its authorized representatives.
- 1.7. "Proposer" means the person, authorized representative(s), or organization submitting a Proposal, and if awarded, shall perform the Work described in the Contract as the "Contractor."
- 1.8. "Contractor" means the person, authorized representative(s) or organization responsible for the completion of the Work. If a Proposal is submitted on behalf of multiple parties, the term "Contractor," shall apply to the party or parties responsible for completion of the Work.
- 1.9. "Work" means those tasks, requirements, and obligations described in the Statement of Work as included in the Contract Documents.
- 1.10. "Subcontractor" means a person or organization who/that has a direct agreement with the Contractor to furnish labor or labor and materials at the site of the work. The term also includes lower tier Contractors of a Subcontractor, but it does not include suppliers who / that furnish materials not worked to a special design according to the drawings and specifications. Nothing contained in the Contract shall be deemed or construed to create any contractual relation between AURA and any Subcontractor as defined above.
- 1.11. "Closing Date" means the specified date and time by when all RFP Documents must be received by AURA.

Article 2. Minimum Requirements

- Firm must have significant experience providing fiduciary governance and investment consulting services for not-for-profit organizations.
- Firm must not be suspended or debarred.
- Proposal cost must be in US Dollars.

Article 3. Proposal Procedures

3.1 Proposals shall include the following:

- **Completed "Contractor Proposal Documents":** Contractor must complete in its entirety the Contractor Proposal form which will set forth Contractor's Proposal on the project. AURA seeks a Proposal for an initial three year period, with two additional 2 year option periods. It is AURA's intent, subject to funding and to satisfactory performance by the Contractor, to renew the initial contract for two additional two-year periods.

- Complete Proposal meeting the requirements outlined in this RFP.
- Prices quoted in the Proposal are to include all applicable federal, state, and local taxes.
- All costs must be expressed in US Dollars (USD).
- Cost is to include all travel, materials, equipment, tools, supplies, labor, and services necessary or proper for the performance and completion of the work, except such as may be otherwise expressly provided for in the Proposal Documents. Due to rules and regulations of sponsoring agencies, travel costs included in the Proposal should be reasonable and adhere to standard commercial rate (coach or equivalent) and mileage, lodging and per diem amounts per the Federal Travel Regulations. Costs are not to include alcohol or entertainment.

3.2 In the event of a discrepancy between the prices quoted in the Proposal in words and those quoted in figures, the words shall control.

3.3 Submission of the Proposal. Subject to the following procedures and requirements, the Proposal shall be submitted electronically to the Contracts Officer.

- **Electronic Submission.** Proposals shall be submitted in an electronic version as a PDF (.pdf), not later than the scheduled Closing Date. Budgets, schedules, requirement matrix and work breakdown structure may be in spreadsheet format. Proposals must be no longer than 50 pages. Appendices are not included in the page limit. Proposals shall be doubled spaced, single column printing using no smaller than 10-point type, with no smaller than 0.75” margins. All graphics, tables and drawings must be high resolution and legible with text no smaller than 8-point font.
- A Proposal may be deemed non-compliant if the entire RFP submission package has not been received by the Closing Date. **Proposals must be submitted via e-mail to:**

Joel Yaccarino, Contracts Officer
Email: jyaccarino@aura-astronomy.org

3.4 No oral, telegraphic or telephonic modifications to Proposals will be considered. Modifications to Proposals submitted shall be made electronically to Joel Yaccarino. Any modified Proposal Documents are delivered to AURA in accordance with the rules set forth in 3.4 above on or before the 3:00 o'clock P.M. Mountain Standard Time on the Proposal due date.

3.5 A Contractor may withdraw its Proposal, either personally or by written request, to jyaccarino@aura-astronomy.org, at any time prior to the scheduled closing time for receipt of Proposals.

3.6 Unless otherwise provided for in any addendum to these Proposal Instructions, no Contractor may withdraw, modify or cancel its Proposal for a period of one hundred and twenty (120) days after the time designated for receipt of Proposals.

Article 4. Communication and Questions

Any questions or requests for clarification of this Proposal should be directed to:

Joel Yaccarino, Contracts Officer

Association of Universities for Research in Astronomy, Inc.

950 N. Cherry Avenue

Tucson, AZ 85719

Ph: 202-320-0087

Email: jyaccarino@aura-astronomy.org

Clarification or direction by other persons at AURA is not permitted during the RFP process.

General or procedural questions can be addressed by telephone. Technical or scientific questions must be submitted by email and must be received at least ten (10) business days before the due date for the Proposal. All questions and responses will be provided to all parties via the “AURA Bid Opportunities” webpage.

Article 5. Examination of Documents

5.1 AURA reserves the right to make additions, deletions, or modifications to the Proposal documents in writing by amendment at any time prior to the closing date. If, in the opinion of the Contracts Officer (hereinafter CO), any such change causes an increase in the time required for submission of Proposals, the CO may, at their sole discretion, adjust the closing date and time accordingly.

5.2 The Contractor shall examine the Proposal documents carefully and, not later than ten (10) days prior to the date for receipt of Proposals make a request for interpretation or correction of any ambiguity, inconsistency, or error which it may discover. All requests shall be made in writing; addressed to the AURA CO.

5.3 All interpretations and corrections shall be issued in writing by the AURA CO in the form of an Amendment. The Contractor shall not rely on any interpretation or correction given by any other method.

5.4 Prior to receipt of Proposals, addenda, if required, will be posted on the “AURA Bid Opportunities” webpage.

5.5 The failure of any Contractor to receive or examine any form, instrument, amendment or other document, or failure to acquaint itself with existing conditions shall not relieve the Contractor from obligations and responsibilities with respect to its Proposal. The submission of a Proposal shall be taken as prima facie evidence of compliance with this section.

Article 6. Representations

6.1 By submitting a Proposal, each Contractor represents that it is familiar with existing conditions under which the work will be performed.

6.2 The Contractor, by submitting its Proposal, represents that it has read and understands the RFP documents, and by submitting a Proposal acknowledges acceptance of the Terms and Conditions of the RFP Documents as defined in 1.2 of these Proposal Instructions.

Article 7. Evaluations of Proposals

7.1 Proposals will be evaluated privately after the deadline for receipt.

7.2 Proposals will be evaluated based on the following:

- Organization and Quality of the Proposal
- Firm's Qualifications and Experience (includes any outsourcing, if applicable).
- Projected schedule to complete the work
- Budgetary considerations of the proposed work
- References

7.3 The award of the Contract(s), if any, made by AURA, will be made to the Contractor(s) that presents the best value. AURA reserves the right to determine, at its sole and exclusive discretion, which Proposal, if any, best meets the "best value" requirement and whether it is in the best interests of AURA to accept the Proposal. Therefore, contractor shall ensure that all requested information is included in its Proposal.

7.4 A pre-proposal conference will not be held.

Article 8. Time Period for Evaluation of Proposals; Rejections; Irregularities

8.1 AURA reserves the right to hold any or all Proposals for a period of up to one hundred and twenty (120) calendar days for evaluation.

8.2 AURA reserves the right to accept or reject any or all Proposals or any combination thereof, to withhold an award for any reason it may determine, or to waive any irregularities or informalities in the Proposals or in the submission of the Proposals.

Article 9. Law

The laws of the State of Arizona shall govern the construction and interpretation of these Proposal and Contract Documents. The work performed by the Contractor must comply with all applicable state and federal laws.

Article 10. Contracting with Business

Contractor must comply with 2 CFR 200.321 Contracting with Small and Minority Businesses, Women's Business Enterprises, and Labor Surplus Area Firms.

SECTION III. INFORMATION REQUESTED

3.1 General Procedures

See Section II, Article 3 Proposal Procedures for general proposal procedures.

3.2 Specific information requested:

This Proposal must conform to the format specified below.

- **Title Page.** Each Proposal must contain a title page that identifies the RFP number and the subject and provides the firm's name, address, telephone number, name and title of a contact person and the date the Proposal was submitted.
- **Table of Contents.** The Proposal's table of content should include a clear and complete identification of the material submitted by section and page number.

3.3 Please provide a detailed description of the approach your firm plans to take to meet the scope of services described above. Include the following information:

- 1) **Overall scope of work tasks.**
- 2) **Provide the specific approach your firm plans to use to accomplish these tasks.**
- 3) **Provide the schedule and ability to complete the requested service within AURA's required time frame.**
- 4) **Assignment of work within your firm's team.**
- 5) **Assignment of work to other entities.**

Additionally, please include the following in your Proposal:

A. **Background information on your company.** Please, include the following:

- A short history of the firm
- Description of management and ownership structure, including private equity and foreign ownership
- Company's organizational chart
- Is your firm registered as an advisor with the SEC under the Investment Advisor Act of 1940?
- If you are hired, will you acknowledge, in writing, that you have a fiduciary obligation as an investment advisor to the plan while providing the consulting services we are seeking?
- What characteristics distinguish your firm from your competitors? Please describe key measures of your firm's strength, core competencies, market focus and how these existing capabilities will benefit AURA.

- B. Professional staff/client relations.** Please include the following:
- Total number of employees and employee counts, in units, who would be providing the desired services
 - The number of new hires in each of the last three years, and the number of terminations in each of the last three years
 - Organizational charts for units that would be providing the desired services
 - For the individuals directly involved in providing the desired services to AURA, please describe the level of experience these individuals possess in dealing with similar organizations.
- C. Expertise and understanding of Internal Revenue Code Sections 401(a), 403(b); 457(b); experience with Plans the size and complexity of AURA’s plans.** Please include the following:
- Number of investment consulting clients in the last three years – by client type (corporate, non-profit, governmental, etc.) and plan type (401(a), 403(b), 457(b), etc.).
 - Breakdown of investment consulting assets by client type (corporate, non-profit, governmental, etc.) and plan type (401(a), 403(b), 457(b), etc.) - based on the most recent data
 - The number and size of customer relationships gained and lost in each of the last three years.
 - A list of five references whom we may contact.
- D. Technology and Infrastructure.** Please include the following:
- General description of IT systems used in providing the desired services
 - Use of external providers of IT infrastructure/systems versus proprietary solutions
 - Describe practices and measures used to protect Information/data
 - Number of cybersecurity incidents and/or comprises in the last 3 years
- E. Experience with Fidelity and TIAA (historical balances at TIAA)**
- F. Fiduciary Liability Insurance**
- G. Cyber Insurance Policy**
- H. Potential conflicts of interest,** if any, which may arise while providing this service

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SECTION IV. CONTRACTOR'S PROPOSAL DOCUMENTS
(ALL DOCUMENTS LISTED BELOW MUST BE RETURNED TO AURA WITH PROPOSAL)

A. CONTRACTOR'S PROPOSAL FOR FIXED PRICE SERVICES AGREEMENT AWARD

DATE _____

TO: Joel Yaccarino,
Contracts Officer
AURA
950 N. Cherry Avenue
P. O. Box 26732
Tucson, AZ 85726-6732

- A. By submitting this Proposal, the Undersigned accepts all of the terms and conditions of the Proposal Documents as defined in 1.2 of the Instructions to Contractors.
- B. In compliance with AURA's Request for Proposal No. FGIS2025 and Instructions to Contractors, the Undersigned hereby proposes to furnish all labor, materials, equipment and supplies in accordance with the Scope of Services Documents.
- C. The Undersigned hereby proposes to accomplish the work described above for the total of (These amounts include all applicable federal, state and city taxes):

Year One: _____ Dollars

Year Two: _____ Dollars

Year Three: _____ Dollars

(Legal Name of individual, firm or Corporation)

(Complete Business Address)

(Signature)

(Title)

B. BUSINESS REFERENCES:

In this Proposal, please list five customers for whom your business is currently providing the same or similar services as those covered in the scope of work/technical specifications described in Section III of this RFP. Include all information requested below.

Name of Business
Contact information
Email, phone, fax
Physical Address

C. REPRESENTATIONS AND CERTIFICATIONS

The Contractor is requested to check the appropriate boxes making the Representations and Certifications of the project a formal part of its pre-qualification. Failure to provide this information will prevent your company from being pre-qualified.

- 1. Small Business and Small Disadvantaged Business Contracting Program.** Pursuant to the terms of our Agreement with the Government and applicable Federal Procurement Regulations 1-1.701, AURA is required to maintain a Small Business and Small Disadvantaged Business Subcontracting Program. Check Business Size as Small or Large as defined. Check as many that apply under the Business Classification. Check one under Business Status, for IRS reporting requirements.
- 2. Debarment/Suspension Status** Contractor is required to read and certify the understanding of the debarment procedure and process.
- 3. Qualification of Corporate Signature**
Signature of the qualified person authorized, empowered, and directed on behalf of the Contractor to make and execute proposals, offers, and contracts is required.
- 4. Qualification of Limited Liability Company Signature**
Signature of the qualified person authorized, empowered, and directed on behalf of the Contractor to make and execute proposals, offers, and contracts is required.
- 5. Certification that no Conflict of Interest Exists**
The Contractor is required to read and certify that no organizational conflict of interest exists as defined in the certification form.
- 6. Identification Numbers.** Enter appropriate UEI Number and Firms Tax ID Number.

7. Declarations

Signature and Date: Signature and Date of Contractor's officer to attest that the information contained in the Proposal Documents is true and correct and to confirm that the Contractor understands its statements in the Proposal Documents are subject to investigation and that dishonest answers may be grounds for disqualification and may subject the Contractor and its representative to criminal and civil liability.

1. CERTIFICATION OF SMALL BUSINESS/SMALL DISADVANTAGE BUSINESS CONTRACTING PROGRAM

AURA maintains a "Small Business" and a "Small Disadvantaged Business" Contracting Program. Please check the appropriate circles below.

Business Size (check one)

Small

A domestic concern that is independently owned and operated, is not dominant in the field of its operations, qualifies under the criteria covering annual receipts set forth in Section 3 of the Small Business Act and does not employ more than 500 employees.

Large

A domestic concern which, including domestic and foreign divisions and affiliates, normally employs 500 or more persons, is independently or publicly owned or controlled and operated, and which may be division of another domestic or foreign concern.

Business Classification (check as many as are applicable)

Minority

51% of business is owned by one or more socially and economically-disadvantaged individuals and whose management and daily business operations are controlled by one or more of such individuals.

Socially and economically disadvantaged individuals including, Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Asian-Indian Americans, and other minorities, or any other individual found to be disadvantages pursuant to Section 8(a) of the Small Business Act.

Native Americans include American Indians, Eskimos, Aleuts, and Native Hawaiians. Asian-Pacific Americans include United States citizens whose origins are Guam, the U.S. Trust Territories of the Pacific, Northern Marianas, Laos, Cambodia, and Taiwan.

For assistance in determining your business size and socially and economically disadvantaged status, contact the nearest office of the Small Business Administration.

- Women-Owned A business that is at least 51% owned, controlled and operated by a woman or women.
Note: “Controlled” is defined as exercising the power to make policy decisions. “Operated” is defined as actively involved in the day-to-day management.
- Non-Profit A business or organization that has received non-profit status under IRS Regulation 501(c)(3).
- Public An agency of the Federal or State Government Sector or a municipality.
- Sheltered A sheltered workshop or other equivalent business basically employing the handicapped.
- Handicapped A business that is owned, controlled, and operated by a handicapped person(s).
- Foreign A concern which is not incorporated in the United States or an unincorporated concern having its principal place of business outside the United States.

Business Status (check one) – For IRS Reporting Requirements

- Corporation A business entity that is registered with a state in the United States as a corporation, including non-profit corporations but excluding professional corporations
- Other An individual or other business entity, that is not a registered corporation. This includes limited liability companies, partnerships, limited partnerships, limited liability partnerships, independent contractors, and the like.

2. CERTIFICATION OF DEBARMENT/SUSPENSION STATUS

Contractor certifies to the best of its knowledge and belief that it and its principals:

- A. are not presently debarred, suspended proposed for debarment, declared ineligible, or voluntarily excluded from a covered transaction by any Federal department or agency;
- B. have not within a three year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state or local) transaction or contract under a public transaction; violation of Federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- C. are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, State or local) with commission of any of the offenses enumerated in paragraph b of this certification; and
- D. have not within a three-year period preceding this proposal had one or more public transactions (Federal, state or local) terminated for cause or default.

The Contractor agrees to provide immediate notice to the AURA Contracting Officer in the event of being suspended, debarred, or declared ineligible by any department or Federal Agency, or upon receipt of a notice of proposed debarment that is received after the submission of the proposal or offer, but prior to the award of the purchase order or contract.

CERTIFICATION

The Contractor hereby certifies that he or she has read the above Debarment/Suspension Status requirements and that he or she understands and will comply with these requirements.

Please advise this facility as soon as possible when the status of your company changes from that indicated above.

SIGNATURE OF AUTHORIZED REPRESENTATIVE: _____

DATE SIGNED: _____

NAME AND TITLE OF SIGNER (PRINT OR TYPE): _____

ADDRESS: _____

3. QUALIFICATION OF CORPORATE SIGNATURE

(To be completed if Contractor is a corporation.)

[INSERT CORPORATION NAME] incorporated in the state (country) of [INSERT STATE AND COUNTRY], RESOLVE THAT: [INSERT NAME AND TITLE] of this corporation is hereby authorized, empowered and directed, for and on behalf of this corporation and its corporate name, to make and execute proposals, offers and contracts binding upon this corporation for supplies and services required or rendered by this corporation in the course of this business in an amount up to: [INSERT ALFA DOLLAR AMOUNT] DOLLARS (\$INSERT NUMERICAL DOLLAR AMOUNT).

CERTIFICATION

I hereby certify that I am a duly elected and qualified [INSERT TITLE], of the corporation, that the foregoing is a true and correct statement of a resolution adopted at a meeting of the Board of Directors of said corporation, and that the foregoing resolution is in full force and effect and has not been repealed, amended, or canceled.

CERTIFICATION

I hereby certify that I am a/the duly elected and qualified _____, of the above named corporation, that the foregoing is a true and correct statement of a resolution adopted at a meeting of the Board of Directors of said corporation, and that the foregoing resolution is in full force and effect, and has not been withdrawn, repealed, amended, or canceled.

IN WITNESS WHEREOF I have hereto set my hand on behalf of said corporation.

SIGNATURE OF OFFICER: _____

DATE SIGNED: _____

NAME AND TITLE OF SIGNER (PRINT OR TYPE): _____

ADDRESS: _____

4. QUALIFICATION OF LIMITED LIABILITY COMPANY SIGNATURE

(To be completed if Contractor is a limited liability company.)

[INSERT LIMITED LIABILITY NAME] organized in the state (country) of [INSERT STATE AND COUNTRY], RESOLVE THAT: [INSERT NAME AND TITLE], of this limited liability company is hereby authorized, empowered and directed, for and on behalf of this corporation and this limited liability company and its limited liability name, to make and execute proposals, offers and contracts binding upon this limited liability company for supplies and services required or rendered by this limited liability company in the course of this business in an amount up to: [INSERT ALFA DOLLAR AMOUNT] DOLLARS (\$[INSERT NUMERICAL DOLLAR AMOUNT]).

CERTIFICATION

I hereby certify that I am (i) a member or (ii) a/the duly elected and qualified/appointed _____, of the above named limited liability company, that the forgoing is a true and correct statement of a resolution adopted at a meeting of the members/managers of said limited liability company, and that the foregoing resolution is in full force and effect, and has not been withdrawn, repealed, amended, or canceled.

IN WITNESS WHEREOF, I have hereto set my hand on behalf of said limited liability company.

SIGNATURE OF AUTHORIZED OFFICER/MEMBER/REPRESENTATIVE

PRINTED NAME AND TITLE

DATE

ADDRESS

5. CONFLICTS OF INTEREST CERTIFICATION

(a) Contractor warrants that to the best of its knowledge and belief, and except as otherwise disclosed, it does not have any organizational conflict of interest which is defined as a situation in which the nature of work under a proposed contract and the prospective contractor's organizational, financial, contractual or other interest are such that:

- (i) award of the contract may result in or be the result of an unfair competitive advantage;
- (ii) the Contractor's objectivity in performing the contract work may be impaired; or
- (iii) that the Contractor has disclosed all relevant information and requested AURA to make a determination with respect to this Contract.

(b) Contractor agrees that if, after award, it discovers an organizational conflict of interest with respect to this Contract, it shall make an immediate and full disclosure in writing to the AURA Contracts Officer which shall include a description of the action which the Contractor has taken or intends to take to eliminate or neutralize the conflict. The AURA Contracts Officer may, however, terminate the contract for the convenience of AURA, if it would be in the best interests of AURA to do so.

(c) In the event the Contractor was aware of an organizational conflict of interest before the award of this contract and intentionally did not disclose the conflict to the AURA Contracts Officer, the Contracts Officer may terminate the Contract for default.

(d) Contractor shall require a conflict of interest disclosure or representation from subcontractors and consultants who may be in a position to influence the advice or assistance rendered to AURA and shall include any necessary provisions to eliminate or neutralize conflicts of interest in such consultant agreements or subcontracts involving performance or work under this Contract.

I declare under penalty of perjury that all statements and information contained in this document and any accompanying documents are true and correct, with full knowledge that all statements made in this document and any accompanying documents are subject to investigation and that any false or dishonest answer to any question may be grounds for disqualification from this solicitation or termination of any award and expose me and the represented organization to both civil and criminal liability.

SIGNATURE OF AUTHORIZED OFFICER/MEMBER/REPRESENTATIVE

PRINTED NAME AND TITLE

DATE

6. IDENTIFICATION NUMBERS:

UEI No. _____

Tax ID No. _____

Failure to provide this information will prevent Firm from being considered for the work covered by this RFP.

7. DECLARATION

I declare under penalty of perjury that all statements and information contained in this document and any accompanying documents are true and correct, with full knowledge that all statements made in this document any accompanying documents are subject to investigation and that any false or dishonest answer to any question may be grounds for disqualification from this solicitation and expose me and the represented organization to both civil and criminal liability.

SIGNATURE OF AUTHORIZED OFFICER/MEMBER/REPRESENTATIVE

PRINTED NAME AND TITLE

DATE