

January 17, 2014

**REQUEST FOR PROPOSAL**

**Contact Center Infrastructure Solution for Arizona State University**

**RFP 221403**

**DUE: 3:00 P.M., MST, 02/17/14**

Time and Date of Pre-Proposal Conference 9:00 A.M., MST, 01/27/14

Deadline for Inquiries 3:00 P.M., MST, 02/07/14

Time and Date Set for Closing 3:00 P.M., MST, 02/17/14

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# SECTION I – REQUEST FOR PROPOSAL

**RFP 221403**

Arizona State University is requesting sealed proposals from qualified firms or individuals for a **Contact Center Infrastructure Solution to support Arizona State University.**

Proposals are to be addressed and delivered to the receptionist area, first floor, University Services Building, Purchasing and Business Services, Arizona State University, 1551 S. Rural Road, (located on the east side of Rural Road between Apache Road & Broadway Road) Tempe, Arizona 85281 **on or before 3:00 P.M., MST, Monday, February 17, 2014** at which time a representative of Purchasing and Business Services will announce publicly the names of those firms or individuals submitting proposals**. No proposals will be accepted after this time.**  No other public disclosure will be made until after award of the contract.

Arizona State University’s Overnight Delivery (FedEx, Airborne, and UPS) address is:

Purchasing and Business Services

University Services Building

Arizona State University

1551 S. Rural Rd

Tempe, AZ 85281

Arizona State University’s U.S. Postal Service Mail address is:

Purchasing and Business Services

Arizona State University

P.O. Box 875212

Tempe, AZ 85287-5212

ARIZONA STATE UNIVERSITY

Megan Becka, CPSM

Strategic Sourcing Specialist

MB/krg

# SECTION II – PURPOSE OF THE RFP

1. **INTENT**

The purpose of Arizona State University’s Shared Services Contact Center (SSCC) is to provide a single point of contact and service for the ASU community. The intent of this RFP is to solicit proposals for the purpose of contracting with a qualified firm for the technology components that will be integrated within the ASU network. A hosted/CCaaS and comprehensive unified contact center solution is the long term end goal. ASU is constructing the SSCC in phases and is interested in a partnership with the right company that offers the right infrastructure, software, tools and professional services support to further guide the project team through each phase, to completion.

The first phase should include an automatic call distribution system (ACD), IVR, call processing, CTI - including multiple database integration, chat, WFO, reporting, training and security. The solution for ASU’s SSCC should be a catalyst between the customer and the service, with the result of connecting people to the right place the first time.

1. **BACKGROUND INFORMATION**

One of the largest institutions in the nation, Arizona State University (ASU) spans four metropolitan campuses, including a diverse extended campus with over 76,000 on campus students and a rapidly growing online population. Across the academy, support for students, faculty and staff is conducted through a combination of centralized and decentralized businesses, with an outsourced enterprise university help desk serving the general needs of the university, including information technology, financial aid and human resources.

In 2008 ASU outsourced the help desk to a third party fully hosted solution. After implementation some deficiencies were discovered. As a result, several components were brought back in-house to be managed by the University Technology Office. In addition, on February 14, 2011, ASU established a concierge-like phone service called ASU Information to further enhance the support experience and further fill in where the contracted vendor could not meet customer expectations.

Today ASU is rethinking how it provides service and is ready to design its own enterprise solution with the long term goal of supporting the university from a single point of contact. In its vision ASU will partner with an established provider for a comprehensive solution that includes a fully hosted unified communications software solution, consultation and related services.

1. **TERM OF CONTRACT**

The initial term will be for two (2) year(s) with the possibility of three (3) successive one (1) year renewals, for a total term not to exceed five (5) years. The contract will be extendable to and available for use by other University departments during this term.

# SECTION III – PRE-PROPOSAL CONFERENCE

A pre-proposal conference will be held on January 27, 2014 at 9:00 AM MST in CPCOM 120 on the Tempe Campus. Map available at: <http://www.asu.edu/map/interactive/?campus=tempe&building=CPCOM>.

The purpose of this conference will be to clarify the contents of this Request for Proposal in order to prevent any misunderstanding of the University's intention and desires, and/or to give prospective suppliers an opportunity to review the site of the work. Any doubt as to the requirements of this Request for Proposal, or any apparent omission or discrepancy should be presented to the University representative at this conference. The University representative will then determine the appropriate action. If necessary, the University representative will issue a written amendment to the Request for Proposal. Oral statements or instructions shall not constitute an amendment to this Request for Proposal.

You do not have to send a representative to this pre-proposal conference. However, if you decide to not send a representative, then we may not know of your intent to participate in this solicitation, and so may not send you any written amendments to this Request for Proposal. Further, we will assume that your failure to attend the pre-proposal conference is an indication that you expect us to review your proposal as if you had taken advantage of the pre-proposal conference.

# SECTION IV – INSTRUCTIONS TO PROPOSERS

1. You must address and deliver your proposal to the receptionist area, first floor, University Services Building, Purchasing and Business Services, Arizona State University, 1551 S. Rural Road, Tempe, Arizona 85281, **on or before the time and date set for closing.** **No proposal will be accepted after this time.** The University Services Building is located on the east side of Rural Road between Apache Road and Broadway Road. **PROPOSALS MUST BE IN A MARKED SEALED CONTAINER** (i.e., envelope, box):

Name of Proposer

Title of Proposal

RFP Number

Date and Time Proposal is Due

No telephone, electronic or facsimile proposals will be considered. **Proposals received after the time and date for closing will be returned to the proposer unopened.**

1. **DIRECTIONS TO USB VISITOR PARKING**. Purchasing and Business Services is in the University Services Building (USB) 1551 S. Rural Road, Tempe, AZ, 85281 (located on the east side of Rural between Broadway Ave and Apache Boulevard). The meter will be located near the main entry to USB, to allow visitors to park their vehicles and easily access the machine on their way into the building.

All visitors to USB are to obtain a visitor’s badge from the USB Reception Desk to wear while in the building, please check in at the USB Reception Desk. The receptionist will call to have you escorted to your meeting.

1. Proposals must be submitted as a complete document set as follows:

* **One (1)** clearly marked hardcopy original in 8.5” x 11” double-sided, non-binding form. No metal or plastic binding – may use folder or clip for easy removal of proposal. And
* **One (1)** electronic copy (CD, FLASH Drive, etc.), PC readable, labeled, no passwords, and ***less than 10 MB***. ***One single*** continuous document, no folders.
* Any “confidential and/or proprietary” documents **must** be submitted as a separate hard copy and separate CD and labeled per item 10. **All other confidential markings will be disregarded as boilerplate.**

Proposer must check and play all flash drives or CDs before submitting. Company marketing materials should not be included unless the RFP specifically requests them. All photos must be compressed to small size formats.

1. Proposer should use recycled paper and double-sided copying for the production of all printed and photocopied proposal documents. Furthermore, the documents should be clearly marked to indicate that they are printed on recycled content (minimum 30% post-consumer waste paper).
2. You may withdraw your proposal at any time prior to the time and date set for closing.
3. No department, school, or office at the University has the authority to solicit or receive official proposals other than Purchasing and Business Services. All solicitation is performed under the direct supervision of the Executive Director of Purchasing and Business Services and in complete accordance with University policies and procedures.
4. The University reserves the right to conduct discussions with proposers, and to accept revisions of proposals, and to negotiate price changes. During this discussion period, the University will not disclose any information derived from proposals submitted, or from discussions with other proposers. Once a contract is executed, the solicitation file, and the proposals contained therein, are in the public record and will be disclosed upon request.
5. Proposers submitting proposals which meet the selection criteria and which are deemed to be the most advantageous to the University may be requested to give an oral presentation to a selection committee. Purchasing and Business Services will do the scheduling of these oral presentations.
6. The award shall be made to the responsible proposer whose proposal is determined to be the most advantageous to the University based on the evaluation factors set forth in this Request for Proposal. Price, although a consideration, will not be the sole determining factor.
7. If you are submitting any information you consider to be proprietary, you must place it in a separate envelope and mark it "Proprietary Information". If the Executive Director of Purchasing and Business Services concurs, this information will not be considered public information. The Executive Director of Purchasing and Business Services is the final authority as to the extent of material, which is considered proprietary or confidential. Pricing information cannot be considered proprietary.
8. **The University is committed to the development of Small Business and Small Disadvantaged Business (SB & SDB) suppliers. If subcontracting (Tier 2 and higher) is necessary, the successful proposer (Tier 1) will make every effort to use SB & SDB in the performance of any contract resulting from this proposal. A report may be required at each annual anniversary date and at the completion of the contract indicating the extent of SB & SDB participation. A description of the Proposers expected efforts to solicit SB & SDB participation should be enclosed with your Proposal.**
9. Your proposal should be submitted in the format shown in Section X. Proposals in any other format will be considered informal and may be rejected. Conditional proposals will not be considered. An individual authorized to extend a formal proposal must sign all proposals. Proposals that are not signed may be rejected.
10. The University reserves the right to reject any or all proposals or any part thereof, or to accept any proposal, or any part thereof, or to withhold the award and to waive or decline to waive irregularities in any proposal when it determines that it is in its best interest to do so. The University also reserves the right to hold all proposals for a period of 60 days after the opening date and the right to accept a proposal not withdrawn before the scheduled proposal opening date.
11. **EXCEPTIONS:** The successful proposer is expected to enter into a standard form of agreement approved by the Arizona Board of Regents. The Arizona State University contract terms and conditions are included in this Request for Proposal in Section XII. These terms and conditions are intended to be incorporated into the agreement between the University and the successful proposer. **Proposals that are contingent upon any changes to these mandatory contract terms and conditions may be deemed nonresponsive and may be rejected.**
12. Unless specifically stated to the contrary, any manufacturer's names, trade names, brand names or catalog numbers used in the specifications of this Request for Proposal are for the purpose of describing and/or establishing the quality, design and performance required. Any such reference is not intended to limit or restrict an offer by any proposer and is included in order to advise the potential proposer of the requirements for the University. Any offer, which proposes like quality, design or performance, will be considered.
13. Days: Calendar days

May: Indicates something that is not mandatory but permissible/ desirable.

Shall, Must, Will: Indicates mandatory requirement. Failure to meet these mandatory requirements will result in rejection of your proposal as non-responsive.

Should: Indicates something that is recommended but not mandatory. If the proposer fails to provide recommended information, the University may, at its sole option, ask the proposer to provide the information or evaluate the proposal without the information.

1. Any person, firm, corporation or association submitting a proposal shall be deemed to have read and understood all the terms, conditions and requirements in the specifications/scope of work.
2. All responses and accompanying documentation will become the property of the University at the time the proposals are opened. **It will be the proposer’s responsibility to request that samples be returned to the proposer and provide a method for doing so at the expense of the proposer. If a request is not received and a method of return is not provided, all samples shall become the property of the University 45 days from the date of the award**.
3. All required performance and payment bonds shall be held by the University in a secure location until the performance of the Agreement and the payment of all obligations rising there under have been 100% fulfilled. Upon completion of the project and all obligations being fulfilled, it shall be the proposer’s responsibility to request the surety bonding company to submit to the University the necessary documents to approve the release the bonds. Until such time the bonds shall remain in full force and effect.
4. The University of Arizona, Northern Arizona University, and Arizona State University are all state universities governed by the Arizona Board of Regents. **Unless reasonable objection is made in writing as part of your response to this solicitation, the Board or either of the other two Universities may purchase goods and/or services from any agreement resulting from this solicitation.**
5. The University has entered into Cooperative Purchasing Agreements with The Maricopa County Community College District and with Maricopa County, in accordance with A.R.S. Sections 11-952 and 41-2632. Under these Cooperative Purchasing Agreements, and with the concurrence of the successful proposer, the Community College District and/or Maricopa County may access an Agreement resulting from a solicitation done by the University. If you do not want to grant such access to the Maricopa County Community College District and or Maricopa County, **please state so** in your proposal. In the absence of a statement to the contrary, the University will assume that you do wish to grant access to any Agreement that may result from this Request for Proposal.
6. Arizona State University is also a member of the Strategic Alliance for Volume Expenditures ($AVE) cooperative purchasing group. $AVE includes the State of Arizona, many Phoenix metropolitan area municipalities, and many K-12 unified school districts. Under the $AVE Cooperative Purchasing Agreement, and with the concurrence of the successful contractor under this solicitation, a member of $AVE may access an Agreement resulting from a solicitation done by the University. If you **do not** want to grant such access to a member of $AVE, **please state so** in your proposal. In the absence of a statement to the contrary, the University will assume that you do wish to grant access to any Agreement that may result from this Request for Proposal.
7. All formal inquiries or requests for significant or material clarification or interpretation, or notification to the University of errors or omissions relating to this Request for Proposal must be directed, in writing or by facsimile, to:

Megan Becka, CPSM

Purchasing and Business Services

University Services Building

Arizona State University

PO Box 875212

Tempe, AZ 85287-5212

Tel: 480-965-4370

E-mail: [Megan.Becka@asu.edu](mailto:Megan.Becka@asu.edu)

Requests must be submitted on a copy of the Proposer Inquiry Form included in Section XI of this Request for Proposal. All formal inquiries must be submitted at least ten (10) calendar days before the time and date set for closing this Request for Proposal. Failure to submit inquiries by this deadline may result in the inquiry not being answered.

Note that the University will answer informal questions orally. The University makes no warranty of any kind as to the correctness of any oral answers and uses this process solely to provide minor clarifications rapidly. Oral statements or instructions shall not constitute an amendment to this Request for Proposal. Proposers shall not rely on any verbal responses from the University.

1. The University shall not reimburse any proposer the cost of responding to a Request for Proposal.
2. In accordance with an executive order titled “Air Pollution Emergency Proclamation” modified by the Governor of Arizona on July 16, 1996, the University formally requests that all products used in the performance of any contract that results from this solicitation be of low- or no-content of reactive organic compounds, to the maximum extent possible.
3. Arizona requires that we purchase ENERGY STAR® products or those certified by the Federal Energy Management Program as energy efficient in all categories available. If this solicitation is for a product in a category for which ENERGY STAR® or certified products are available, please submit evidence of the ENERGY STAR® status or certification for the products you are bidding. Please note that if you fail to submit this information but a competitor does, we will select your competitor’s product as meeting specifications and deem your product as not meeting specifications. See A.R.S. §34-451.
4. The University requires that all desktop computers, notebooks, and monitors purchased must meet Electronic Product Environmental Assessment Tool (EPEAT) Gold status as contained in the IEEE 1680 Standard for the Environmental Assessment of Personal Computer Products. The registration criteria and a list of all registered equipment are at <http://www.epeat.net> on the Web.
5. To the extent applicable to any agreement resulting from this solicitation, the proposer shall comply with the Standards for Privacy of Individually Identifiable Information under the Health Insurance Portability and Accountability Act of 1996 contained in 45 CFR Parts 160 and 164 (the “HIPAA Privacy Standards”) as of the effective date of the HIPAA Privacy Standards on April 14, 2003 or as later determined. Proposer will use all security and privacy safeguards necessary to protect Protected Health Information (PHI), as defined by HIPPA, and shall immediately report to University all improper use or disclosure of PHI of which it becomes aware. Proposer agrees to ensure that its agents and subcontractors agree to and abide by these requirements. Proposer agrees to indemnify the State of Arizona, the Arizona Board of Regents, Arizona State University and their regents, employees and agents against all harm or damage caused or contributed to by Proposer’s breach of its obligations under this paragraph.
6. All systems containing ASU data must be designed, managed and operated in accordance with information security best practices and in compliance with all applicable federal and state laws, regulations and policies. In addition, systems must be managed in such a way that they are in compliance or are consistent with ASU's policies and standards regarding data usage and information security. In an effort to diminish information security threats, Successful Proposer will (or will require the third party host appointee to):
   * 1. Complete SSAE 16 or substantially equivalent reviews in accordance with ASU policies, as the same may be amended from time to time, which reviews are subject to review and approval by ASU. At the present time no more than two reviews per year are required.
     2. Perform periodic scans, including penetration tests, for unauthorized applications, services, code and system vulnerabilities on the delegated services network and systems at regular intervals in accordance with ASU's policies and standards. Weaknesses must be corrected within a specified period of time as defined in ASU's policies and standards as amended from time to time.
     3. Use secure development and coding standards including secure change management procedures in accordance with ASU's policies and standards as the same may be amended from time to time. Internal standards and procedures are to be provided to ASU for review and approval a minimum of one time annually.
     4. Carry out updates and patch management in a timely manner and to the satisfaction of ASU. Updates and patch management must be deployed using an auditable process that can be reviewed by ASU upon request.
     5. Control access to ASU's resources, including sensitive data, limiting access to legitimate business need based on an individual’s job-related assignment. Access should be approved and tracked by the system owner to ensure proper usage and accountability and shall be subject to review by ASU upon request.
     6. Report information security incidents immediately (including, but not limited to those that involve information disclosure incidents, network intrusions, successful virus attacks, unauthorized access or modifications, and threats and vulnerabilities).
7. The University believes that it can best maintain its reputation for treating suppliers in a fair, honest, and consistent manner by conducting solicitations in good faith and by granting competitors an equal opportunity to win an award. If you feel that we have fallen short of these goals, you may submit a protest pursuant to the Arizona Board of Regents procurement procedures, section 3-809, in particular section 3-809C. This paragraph does not include all of the provisions of the Regents procedures, but it does tell you what you have to do to initiate a protest. First, you have to be an "interested party." An "interested party" is an actual or prospective proposer whose direct economic interest may be affected by the issuance of a solicitation, the award of a contract, or by the failure to award a contract. Whether an actual prospective bidder or offeror has a *direct* economic interest will depend upon the circumstances in each case. At a minimum, the interest must be substantial and must be tangibly affected by the administrative action or proposed action concerned in the case. For instance, a bidder or proposer who is fourth in line for award does not have a sufficient economic interest to protest the proposed award of a contract to the low bidder. Second, you must submit the protest in a timely manner. In procurements inviting bids, protests based upon alleged errors, irregularities or, improprieties in a solicitation that are apparent before the bid opening shall be filed before the bid opening. In procurements requesting proposals, protests based upon alleged errors, irregularities or improprieties in a solicitation that are apparent before the closing date for receipt of initial proposals shall be filed before the closing date for receipt of initial proposals. Protests concerning improprieties that do not exist in the initial solicitation, but that are subsequently incorporated into the solicitation, shall be filed by the next closing date for receipt of proposals following the incorporation. In cases other than those just covered, protests shall be filed no later than ten days after a contract is awarded in connection with the procurement action. Failure to timely protest shall be deemed a waiver of all rights. Third, and finally, your protest shall be in writing and shall include the following information: (1) The name, address, telephone number, and fax number of the protestor; (2) The signature of the protestor or its representative; (3) Identification of the solicitation or contract number; (4) A detailed statement of the legal and factual grounds of the protest including copies of relevant documents; and (5) The form of relief requested.

Protests should be directed to:

Nichol Luoma

Director of Purchasing and Business Services

Arizona State University

PO Box 875212

Tempe AZ 85287-5212

Fax: (480) 965-2234

Please note that as the University takes protests very seriously; we expect you to do so as well. Frivolous protests will not result in gain for your firm.

1. Other Opportunities with Arizona State University **not** related to this solicitation.

**The ASU Alumni Advantage**

Connect your business with an affluent, educated audience through a business partnership with the ASU Alumni Association. The Association is the touchstone for ASU’s 300,000 alumni and provides valuable connections between them and a wide variety of businesses. By doing business with ASU, the largest university in the United States, your company can stand above the competition.

ASU alumni represent a responsive target market for your product or service.

* Alumni live worldwide.
* 70 percent of alumni reside in Arizona.
* More than 190,000 alumni live in Maricopa County.
* 11 percent of alumni reside in California.
* 75% of ASU alumni are under the age of 45.
* More than 64% of ASU alums graduated since 1984.
* More than one-third hold post-graduate degrees.
* More than 70 percent of ASU alumni are actively employed.
* 30 percent of alumni earn between $60,000 and $90,000 annually.
* 25 percent of ASU alumni earn more than $90,000 annually.

Specific partnership opportunities exist in a variety of areas.

* Advertise in the quarterly ASU Magazine, mailed to more than 260,000 homes around the world. ASU Magazine is the largest circulation magazine in the Southwest. Our [rate card](http://www.asu.edu/alumni/magazine/images/asumag_rates.pdf) is available for download. <http://www.asu.edu/alumni/>
* Sponsor one of the Association’s many programs and events and receive recognition and access to targeted audiences. Events include: Founder’s Day in March, Senior Send off in April, Homecoming in the Fall, Travel shows, Career Fairs and many more! Costs from $500 to $2500.
* Create a unique partnership with us to suit your needs.
* Establish benefits for ASU alumni by offering targeted discounts and services.
* Advertise on this Web site or on our 55 Chapter/Club websites or in our electronic newsletters, sent out to more than 80,000 people monthly. Cost is $1000 per mo. per each advertising venue.

Your business partnership contact is [Rhonda McClintock](mailto:rhonda.mcclintock@asu.edu). Contact her today to start doing business with the Sun Devil nation. (480) 965-5051.

**Sun Devil Sports Marketing**

Sun Devil Sports Marketing is the exclusive marketing and corporate sponsorship partner for Arizona State University Athletics and manages all corporate marketing opportunities surrounding Sun Devil Athletics, including on-premise signage, TV, radio, print, internet, premium hospitality, event marketing and promotions. If you are interested in partnering with ASU Athletics, please contact Steve Hank at 480-727-0104 or at [steven.hank@asu.edu](mailto:steven.hank@asu.edu).

**Arizona PBS Delivers…**

Eight, Arizona PBS, delivers award-winning, educational, cultural and current events programming to approximately 1.5 million viewers each week. Become an Eight sponsor.

* **Eight delivers – reach.**   Comparable to other TV channels, well beyond cable channels and way beyond the top local radio stations and print media.  Eight / KAET reaches 85 percent of the people of Arizona.
* **Eight delivers – quality audience.**  Business leaders, decision makers, high income households, educated citizens & boomers and spenders with disposable income.
* **Eight delivers – marketing  benefits:**
  + Build brand awareness by linking your business with high-quality programs
  + Generate community goodwill through support of public television
  + Promote your offerings to a broad audience at an affordable price
  + Market your brand in an environment free of commercial clutter
* **Eight delivers – multiple media platforms:**
  + 3 TV Channels – Eight HD, Eight Life & Eight World
  + Eight Magazine – 50,000 households each month
  + Web views – [www.azpbs.org](http://www.azpbs.org)  (100,000 unique visitors a month)
  + E-Marketing – 40,000 email addresses … and more.

Contact:  Janine Haley, Eight Corporate Support at 602-496-6202 or [Janine.Haley@asu.edu](mailto:Janine.Haley@asu.edu)

# SECTION V – SPECIFICATIONS/SCOPE OF WORK

1. **Mandatory Response Requirements: Attachment “A” Questionnaire must be completed and submitted with your proposal to be considered for Phase II review.**
2. **Business Solution Proposal: Your proposal shall provide a narrative for each item and sub-item, presented in the order as given herein. IMPORTANT NOTE: No pricing information is to be included in this section of your proposal.**
3. **Specifications / Scope**

Respondents are invited to bid for all services as defined in this RFP. The scope of the response should be determined by the respondent’s ability to meet the functional and technical requirements as defined.

**1.1 Project Overview**

ASU currently utilizes a third party provider and also a couple internal small, non-robust ACD software installations. ASU needs to move to a comprehensive contact center fully hosted solution that includes ACD, IVR, CTI, WFO, analytics, and quality functionality. The Contractor will be responsible for all tasks related to initial setup, installation and maintenance of the hosted solution for each group represented, including technical support.

ASU desires a web-based feature application that permits changes to be made by ASU staff to the system configuration, including changing messages and agent management.

ASU plans to have approximately 40 agents initially. The services shall be capable of scaling to larger configurations that are capable of supporting up to 700 agents.

Agents typically log in to the contact center from within the ASU voice network. ASU desires a service capable of supporting the ability to securely log in remotely from any telephone type and location.

ASU will only pay for the amount of service actually used and not capacity set aside for growth or emergency use.

**1.2 Objective**

ASU’s objective is to obtain a reliable fully hosted contact center solution with sophisticated call routing and comprehensive contact management capabilities capable of providing support to ASU Contact Center support staff located at multiple sites in the ASU infrastructure, as well as teleworkers or other employees remotely located.

The service shall also be capable of scaling in near real time to include employees who have not previously been associated with any contact center group in the past. The ability to scale will also be used in case of peak loads and in the event of an emergency that would dictate a need to immediately increase agent capacity using employees not previously associated with contact center work, such as non-IT staff, outside vendor contracted staff, clerical staff and management.

**1.3 Project Timeline**

ASU may have additional entities within the ASU infrastructure that will express an interest in these services. ASU – University Technology Office (UTO) will determine the order in which the agencies will migrate to the SSCC’s hosted solution. Installations shall begin as soon as practical following the award of a contract. **Initial installation must be completed no later than May 30th, 2014**. Other contact center migrations and associated installations will follow at ASU’s discretion.

**1.4 Scope of Products and Services**

The Contractor shall be responsible for all activities related to initial setup, installation and maintenance of the fully hosted contact center solution including meeting with ASU support stakeholders to interpret their business functions and requirements relating to the overall application design to meet the unit’s specifications.

The Contractor shall provide individual consultation for both initial design and managing agent contractor activity with individuals well versed in the Contractor’s offering and in all areas of contact center operation, to be included in the pricing based on a flat rate and/or hourly rates. This means we rely on the Contractor to recognize that wealso expect the contractor will help us achieve our objectives, and not simply provide the delineative tangibles in product and hosted services. In practice, the contractoris expected to enter a joint venture with ASU to provide a seamless Contact Center solution including expert advice, strategy, design, works, and management of the total solution.

ASU currently has two communications systems in place. One system is CISCO UCCX, a system with 3 clusters licensed for 300 concurrent agents/login sessions each. Hundreds of agents are configured on these clusters, but the capacity does not exceed 600 concurrent login sessions. In addition, ASU has other units on campus with very small contact centers utilizing an old Avaya Communications Manager system (for basic queuing). The total user estimate is 100 agents on the Avaya system. Some of these ASU groups operate providing service to ASU’s constituency 24 X 7, others only during regular business hours. Each existing group replaced by the hosted service shall retain, at a minimum, the existing capacity and capabilities. To assure this, the Contractor shall meet with an ASU UTO representative and an ASU Telecom group representative to support and guide ASU through contact center (CTI/ACD/IVR) design utilizing industry best practices. Phase one standing up the new Contact Center will utilize only a small subset of these total agents to begin with, however the new Contact Center solution must provision for ability to scale to an equal need for capacity. ASU may request a calculating tool, either web based or Excel based so it can calculate the cost of adding additional contact centers to the hosted services in the future.

The fully hosted solution must have robust integration with multiple products. ASU is in the process of implementing two enterprise systems that will require integration by the contact center solution. Salesforce CRM Enterprise system will be utilized for related non-IT business issues to be entered by agents into its case management system. Also, ASU will use ServiceNow Service Management platform to handle all IT and HR related issues and requests. The SSCC staff will be expected to enter and track all support issues and retrieve knowledge base information out of both enterprise systems. The hosted solution proposal must include recommendations and solutions to handle the communication processes required to operate in both systems with minimum risk. The call center agent desktop must be able to integrate with enterprise systems as well as future solutions. Candidates must show integration examples with APIs and submit with their response to this RFP.

**1.5 Hosted Contact Center Infrastructure Solution Deliverables**

During the course of the Contact Center Infrastructure installation in conjunction with ASU, the Contractor must provide the following services and documentation:

* Test Plan and specific Test Cases for use in the Acceptance process
* Operations Support Plan, including security, backup and recovery strategy
* Training Plan, Training Material and Training Sessions for agents and supervisors
* Provide the ability to integrate Oracle PeopleSoft Identity management database.
* Provide Integration with multiple Knowledge Bases (Parature, ServiceNow, Salesforce) for agent access and workflow.
* Provide a fallback plan and process in the event awarded vendor fails to **meet the May 30th 2014 implementation deadline**.

1. **Scope Criteria**
   1. **Architecture / Business Continuity**
      1. Contractor must provide a diagram of the system architecture.
      2. Is the Hosted solution fully based on IP telephony?
      3. Is your solution a dedicated hosted or multi-tenanted solution? Is the core service a dedicated instance of the system, or is the service provided strictly as a service where all users are tenants of a single shared platform?
      4. Core hardware such as processors, power supplies, hard drive systems, network interface cards, etc. must be redundant and fault tolerant to avoid single points of failure.
      5. Describe any events that would result in a “failure” of the system and require a restart, reregistration, database load, etc., to return to a fully operational state. How long does the recovery take?
      6. Contractor must provide a disaster recovery plan (DRP) for hosted solution.
      7. Please describe the IP telephony call control protocol used by the system. How does the system provide for fault tolerance? Fully describe the systems redundancy capability. Is it "hot standby redundancy", "shared redundancy", etc.?
      8. The system must provide call preservation, that is, the ability to retain calls in event of component failure.
      9. Preference is that the solution provider should provide connectivity to the ASU campus from the cloud. What type of network interconnection from the data center to the ASU sites is included in the proposal? Describe, including if it is point-to-point, via Multiprotocol Label Switching (MPLS), or via a VPN on a standard Internet link? Please describe in detail.
      10. Hosted solution system must support Native SIP (Session Initiation Protocol).
      11. Can the solution function as a gateway, or is a separate SIP gateway required?
      12. Please describe the bandwidth requirements for your various hosted models, specific to how they are calculated.
      13. In distributed CC architecture, the CC technology can be located in 2 data centers. Are there any limits of your solution for distance between these data centers and or between the localities with contact center agents?
      14. Integration: The system must integrate and access data from third-party databases, servers, and other external customer database sources. Does the system provide an interface to integrate with third-party contact center applications and devices?
      15. What development languages does your solution support?
   2. **System Maintenance Upgrades and Diagnostics**
      1. The service must be provided so that routine maintenance procedures, troubleshooting, loading hardware and software revisions, patches, etc., will be performed without disrupting the ASU service.
      2. Must provide an example of root cause analysis and corrective action template for cases.
      3. When the system detects a fault, notification must be provided to ASU.
      4. How often do you provide new releases and maintenance to your solution? Maintenance schedules must be provided and agreed upon in advance by ASU in order to avoid peak performance periods.
   3. **Systems Management/Administration**

A web-browser interface makes it easier to add agents to the system. Instead of installing a computer with contact center software on every desktop, all that is required is a computer with a standard web browser.

* + 1. The solution must provide web-based interface and administration of agents, skill groups, and routing with flexible profile setup, maintenance, and support tools. Describe how this is achieved.
    2. The system(s) shall be easily accessible and easy to query, modify, and manage using a GUI.
    3. The system must allow concurrent administrative sessions.
    4. An access method is required so that trained ASU personnel can perform administration changes to the solution systems.
    5. ASU system administrator(s) must be able to “build” and modify station programming, routing rules, user groups, and other system features, and to print reports concerning such database information.
    6. The system(s) must be capable of providing multiple administrative levels, based on user profiles.
    7. The system must provide line-side caller information to the IVR, specifically DNIS, Caller Entered Digits (CED), and ANI.
    8. Preprogramming of tasks that can be scheduled to execute later (typically during off-hours) must be supported.
  1. **Security**
     1. You must provide a written Service Level Agreement that covers security concerns, risks, and liability coverage.
     2. What security is in place, which ensures secure connectivity for all voice and data passed by the hosted solution to any and all endpoints?
     3. Describe the security related to the user interface?
     4. Describe the security integration with multiple firewalls.
     5. What type of password authentication do you support?
     6. Can your solution provide secure connections to our customers and business partners?
     7. How is physical access to the data center(s) controlled?
     8. Do you provide encryption of all stored data in the data center?
     9. Do customers share the same data servers? Describe the written policies, procedures, and methods for ensuring security that ensure customer data is not available to other customers and/or internal employees?
     10. Is the SaaS offering SAS70 compliant? If not, what level of compliance is the offering contractor solution?
     11. Explain how you maintain compliance with applicable rules & regulations such as: PII, PCI, HIPPA, FERPA?
     12. Can all media packets (voice, video, IM, etc.) in transport be encrypted? Who has access to the de-encryption keys?
     13. How do you protect the services from standard IP vulnerabilities, including denial-of-service attacks?
     14. What types of operating systems are running on the servers and how do you secure them from exploits?
     15. What is in place to prevent device-level exploits? This should include any locally installed gateways, data-storage devices, and phones?
     16. What type of security exists within the applications to prevent abuse and malicious activities?
     17. What security measures are in place to grant access to authorized ASU staff that need to access the system’s management tools?
  2. **Mobility**
     1. The solution must extend office telephone system features to mobile employees, both onsite and offsite.
     2. The solution must support virtual call center/telecommuting as an option for some employees.
     3. The system should allow the telecommuting employee to have full functionality at the remote contact center location.
     4. At a minimum, the proposal should include the integration of desk phones with cell phones (single number) and the ability to bridge calls (simultaneous ring) while maintaining only one (system) mailbox.
     5. The system should also allow for a mobile client for the various client devices, including cell phones, tablets, etc. Please define what mobile operating systems you support with a mobile client and identify what costs exist (if any) to obtain or use such apps.
  3. **Phone and Video Conferencing**
     1. ASU currently utilizes 3 systems for phone conferencing Cisco, Meet Me and Movius utilizing easy scheduling via the desktop Outlook with ability for self-service by individual departments / users. The Contact Center solution should be configured in order to support what is already in place but not replace it.
     2. Do you offer a Video Contact Center?
     3. Although all capabilities may not be implemented immediately, ASU desires to include desktop video as part of the future proposed solution. Please provide details for your solution.
     4. How would your solution solve for video interaction within the contact center?
     5. Although all capabilities may not be implemented immediately, the solution should include the following:
     6. a) Escalating a voice call to a video call at any time during the call, provided endpoints are video-capable.
     7. b) Support for “virtual meeting rooms” or video bridges with pre-defined maximum number of participants that can be used by multiple users across ASU by ‘booking’ the virtual meeting room in advance.
     8. The system must allow for point-point video calls between users.
     9. The system must allow for multi-point video calls between users. Ideally there would be options for ad-hoc, rendezvous or “meet me” video conferences, and scheduled conferences.
  4. **Contact Center System Capabilities**
     1. **Multimedia Routing (Voice/Chat/Email/IM/Fax/Social)**
        1. The system must support third-party software integration to enable applications such as Screen Pop from databases including but not limited to Oracle PeopleSoft, Salesforce, ServiceNow, Parature databases.
        2. Agents must be able to log in from a remote location, with the same suite of tools that is available to onsite agents.
        3. The system must provide flexible, innovative and easy to manage, **both** skills-based and rules-based routing logic to fine-tune queuing and call routing, all easily customizable by ASU.
        4. Agents need to be able to service multiple queues, with a clear indication of queue status.
        5. Solution must provide queuing with the ability for customized on-hold messages.
        6. Calls delivered to a logged out agent should be re-routable with priority to front of queue.
        7. Authorized users must have the ability to make changes “on the fly” to call routing schemes, including announcements, without requiring IT or Vendor involvement and without impacting current calls or core system functionality.
        8. The system must be able to allow users to easily transfer active calls directly to another user’s voicemail box, bypassing the user’s telephone, when appropriate.
        9. Once a voice message is left by a caller, is the message stored in a file format that can easily be attached to a customer database or call record?
        10. When a voice message is left, can all options selected by the caller and attributes about the caller be attached to the voice message for agent processing information?
        11. Calls transferred from a remote office or other ASU site should be identified as such, including the name of the remote site. This information should also be captured for reports.
        12. If part of the manufacturer’s product line, the contractor should propose an Instant Messaging solution that is capable of logging, recording, and archiving messages.
        13. Please describe how your system integrates into popular CRM applications from a voice, web chat, social media and email perspective.
        14. Describe your systems’ ability to offer customers a call-back should queue times be too long.
        15. Can skills be assigned to other queue objects such as e-mail requests, Internet text chat requests, and voice messages based on their attributes as well?
        16. ASU requires the ability to engage in social networks with students, faculty, and prospective students. Can your solution integrate with social media, and which types?
        17. In future, ASU will require the ability to actively listen and filter social comments that directly or indirectly apply to ASU. Please describe your solution’s ability to provide this filtering. ASU requires ranking or prioritizing certain social mentions based upon the identity or range of influence of the individual making the social comment.
     2. **Agent /Supervisor Desktop:** Agent desktop consolidation. In the course of communication, agents often must refer to information from several systems. One of the important features of contact center systems is to consolidate all of the required information for an agent onto a single view of the desktop. This requires very powerful integration capabilities. We strongly desire a web-deployed call center agent desktop able to integrate with enterprise systems as well as future solutions. The solution must directly serve the user interface pages to the Internet, requiring no middleware to be web-enabled and requiring no client workstation installations other than a standard web browser, preferably without browser add-ons.
        1. The Agent PC client must be customizable for the group where it is deployed.
        2. The display must provide real-time individual and group statistics, queue status and threshold alerts.
        3. Agents should be provided a drop-down window with descriptions rather than numeric codes for transaction or wrap-up codes.
        4. Supervisors must have the ability to create, edit, or delete agent accounts/profiles.
        5. The Supervisor desktop must provide real-time individual and group statistics, queue status and threshold alerts.
        6. Supervisor views should incorporate data from multiple sources including the various modules and tools used to process and manage calls.
        7. Supervisors must be able to react to events, log agents in/out and re-allocate resources, including send alerts via the on-screen tool in real time.
        8. Announcements must be easy to change, allow for pre-recording of scripts and be administrable by authorized managers..
        9. The proposed system must have the ability to automatically log agents out under user defined conditions.
     3. **Real Time Dashboards & Historical Reporting**
        1. The solution must provide both real time dashboards and historical view reporting.
        2. The system must provide a unified reporting interface into a centralized, standardized repository of all data from the Call Center infrastructure. How is that managed by your system?
        3. Reporting should include the ability to create and add new reporting fields that show calculations of raw call data based on user entered formulas.
        4. Data must be accessible with different time intervals – year, quarter month, week, day, hour, ad-hoc – including changing the week start day (e.g. ASU’s week starts on Monday). How is that managed by your system?
        5. Instantaneous peaks must be tracked for relevant metrics and reportable for any of the above time intervals. (e.g. What was the maximum number of calls waiting in a queue last week?)
        6. As a separate attachment, please provide a sample schema and data dictionary.
        7. Is the reporting engine and database for non-voice media the same as voice media? If different engines or databases, please provide a brief description of the architecture and how combined reports are achieved.
        8. Does your system have an open reporting architecture? Please describe.
        9. How does the system’s reporting feature set compare to Excel in terms of ease of use, graphs, charts, pivot tables, and other advanced features?
        10. Is the report log information stored in an open database format?
        11. Are up-to-the-minute, ‘live’, reports available for queues, stations, agents, and lines without interference with the real-time processing of calls?
        12. At a minimum, the system must capture and report current industry-standard real-time and historical metrics on agents, calls, skill groups, call types, multi-media non-call types, and services. The system should be able to report on these metrics at all levels of the business, including agent, agent group, skill, queue and enterprise. Provide a list of metrics collected.
        13. ASU should have the ability to define pre-set 'thresholds' for monitoring of specific metrics, and have reporting – real-time and historical – reflect threshold adherence through color variances. Alerts should be sent to the appropriate monitors when those thresholds are triggered.
        14. Can your reporting system handle multi-year enterprise-wide queries with many custom calculations rapidly, sans crashing? Provide examples.
        15. Where is the data stored? If the data is stored remote from the reporting system and/or enterprise, does that slow down reporting, and how much?
        16. In addition to the above requirements and preferences, reporting will be judged on ease of use, speed, flexibility to meet reporting needs, breadth and power of the feature set, and openness of the architecture to access by outside reporting systems.
     4. **IVR Capabilities:** ASU wishes to implement an Integrated Voice Response (IVR) system to provide call handling functions that span multiple departments as well as serving as a “front door” to the contact center. Departments outside of the contact center may also utilize the IVR for self service options.
        1. Is the IVR part of the core contact center platform or a separate system?
        2. The system must be capable of voice recognition for basic commands such as Yes, No and other simple words or pre-determined phrases and also accept touchtone responses in the prompt (i.e. “Please say or press 1”).
        3. Describe the speech capabilities of your IVR platform. Does it support advanced self-service technologies such as automatic speech recognition (ASR), Text-to-Speech (TTS), and Voice Extensible Markup Language (VoiceXML)?
        4. The system should be capable of adding natural language speech recognition.
        5. The system must be easy to administer by ASU and provide GUI front-end tools for scripts and configuration changes.
        6. The system must be capable of collecting ANI information used for routing rules.
        7. The system must provide touch-tone (DTMF) and Natural Language Voice information to the IVR.
        8. The system must be capable of providing callers with an accurate Estimated Wait Time.
        9. Can the caller hit a DTMF digit at any time while in queue to hear other options without being removed from the queue?
        10. Please provide a high level description of your IVR platform and discuss how it meets requirements, including any CTI interfaces. Please provide a map.
        11. Describe how the system is administered including scripts and configuration changes.
        12. Can you provide a Customer Survey function?
        13. Does the System support handling all data attached with an interaction from IVR to agent? How is that managed?
        14. Does the system provide a graphical IVR design tool to build new interaction pathways?
     5. **Quality Monitoring and Recording**
        1. The proposed system must be capable of scheduled call recording for quality monitoring purposes or recording all calls.
        2. The contact center and quality monitoring capability of the system must include a synchronized screen capture of the agent’s PC activity, including the ability to screen scrape over multiple monitors. Playback of voice and screen scrape must be fully synchronized and automatically linked in playback through a single supervisor/review tool.
        3. The system must provide the ability to retrieve calls by user defined parameters such as by agent, for defined intervals, or by specific queues, caller’s ID number etc.
        4. Supervisors and/or agents must be able to view a detailed list of agents by workgroup or team and view their present status.
        5. Supervisors must be able to create real time alerts based on Contact Center Stats.
        6. The proposed system should capture and store recordings at the hosted equipment site.
        7. Does the system allow agents to record calls to confirm transactions in case there are difficulties with an order at a later time-frame?
        8. Can the solution be configured to record calls automatically without agent or supervisor intervention? What are the options for recording calls?
        9. The system should be capable of providing evaluation and coaching tools.
        10. Describe the proposed system. Is it part of the core contact center platform or a separate system?
     6. **Workforce Management/Optimization**
        1. Must provide an interface with the proposed contact center solution to extract data required to build forecasts.
        2. Must provide forecasts that include annually, quarterly, monthly, daily, and specified intervals.
        3. Must include customer defined underlying factors such as historical data, seasonal trends, etc.
        4. Must include ability to create shift-based schedules.
        5. Must include ability to create demand-based schedules (time assigned to fit workload).
        6. Must provide Real Time Adherence viewing tool.
        7. Must adjust schedules based on real-time changes.
        8. Must provide ability to track and compare adherence to schedules (actual vs. scheduled).
        9. Must provide alarms/alerts when agents do not adhere to schedules.
        10. Must provide agent scorecards to measure performance against metrics.
        11. How does the system determine peak staffing requirements? For startup can historical data be imported? If so how?
        12. Provide an overview of the proposed WFM solution, and discuss how it meets the requirements.
     7. **Outbound Dialing**
        1. Does the solution provide an integrated predictive dialer or is that a separate product?
        2. If it is integrated, how does the predictive dialer connect to the ACD for accurate outbound prediction?
        3. If it is not integrated, what product would you provide and what is its interface to the ACD? Please include all associated costs for integration by line item in the Pricing Schedule (section IX).
        4. Is it possible for your solution to integrate the ACD and outbound dialer to provide rules-based call-blending?
        5. The system must be able to support multiple phone numbers for each contact.
        6. The system must be able to support unique CLIDs for each campaign.
        7. The system must provide callbacks.
        8. The system must provide full call-progress analysis.
        9. The system must support the following outbound dialer modes- Predictive dialing, Preview dialing and Progressive-power dialing.
        10. Provide details of the supervisor functions of your dialer.
        11. Provide explanation on how the predictive dialer’s algorithm works.
        12. Describe how Answering Machine Detection works.
        13. Does your dialer system allow for automated/IVR campaigns?
        14. The system outbound dialer must provide flexible pacing and throttling mechanisms to over-dial or under-dial, depending on active metrics.
        15. The system outbound dialer must provide support for federal, state, and call center-maintained Do-Not-Call Lists where appropriate. Additionally, the system outbound dialer should provide the ability to maintain exclusion lists.

# SECTION VI – GREEN PURCHASING REQUIREMENTS/SPECIFICATIONS

In order to reduce the adverse environmental impact of our purchasing decisions we are committed to buy goods and services from manufacturers and suppliers who share our environmental concern and commitment. Green purchasing is the method wherein environmental and social considerations are taken with equal weight to the price, availability and performance criteria that we use to make purchasing decisions.

Proposer shall use environmentally preferable products, materials and companies where economically feasible. Environmentally preferable products have a less or reduced effect on human health and the environment when compared to other products and companies that serve the same purpose. If two products are equal in performance characteristics and the pricing is within 5%, the University will favor the more environmentally preferable product and company.

If you are citing environmentally preferred product claims, you must provide proper certification or detailed information on environmental benefits, durability and recyclable properties.

The University and the supplier may negotiate during the contract term to permit the substitution or addition of Environmentally Preferable Products (EPPs) when such products are readily available at a competitive cost and satisfy the university’s performance needs.

Unless otherwise specified, proposers and contractors should use recycled paper and double-sided copying for the production of all printed and photocopied documents. Furthermore, the documents shall be clearly marked to indicate that they are printed on recycled content (minimum 30% post-consumer waste) paper.

Proposer shall minimize packaging and any packaging/ packing materials that are provided must meet at least one of, and preferably all, of the following criteria:

Made from 100% post-consumer recycled materials

Be recyclable

Reusable

Non-toxic

Biodegradable

Further, proposer is expected to pick up packaging and either reuse it or recycle it. For major projects, this will be a requirement of the contract or purchase order.

# SECTION VII – PROPOSER QUALIFICATIONS

The University is soliciting proposals from firms, which are in the business of providing services as listed in this Request for Proposal. Your proposal shall include, at a minimum, the following information. Failure to include these items may be grounds for rejection of your proposal.

1. The proposer shall present evidence that the firm or its officers have been engaged for at least the past five (5) years in providing services as listed in this Request for Proposal.
2. The Proposer selected should be able to show that they have provided similar products and services to other educational institutions, government agencies or organizations of comparable size and complexity to Arizona State University for at least three (3) years.
3. Financial Statements:

Option A. Proposers who have audited financial statements provide the following:

Audited financial statements for the two (2) most recent available years. If the financial statements are intended to be confidential, please submit one (1) copy in a separate sealed envelope and mark as follows:

Firm’s Name

Confidential – Financial Statements

Option B. Proposers who might not have audited financial statements provide the following:

It is preferred that audited financial statements for the two (2) most recent available years be submitted. However, if not available, provide a copy of firm’s two (2) most recent tax returns or compiled financial statements by an independent CPA. If the financial statements or tax returns are intended to be confidential, please submit one (1) copy in a separate sealed envelope and mark as follows:

Firm’s Name

Confidential – Financial Statements

1. The Proposer should be able to prove its ability and experience to install, maintain, and support systems of equivalent size as those proposed for Arizona State University in a comparable environment.
2. The Proposer should be able to provide the University with a summary of at least three (3) client references, along with contact information for each, for which the proposer has implemented systems comparable in complexity, use, and size to the system described in this RFP. Preference is for higher education references and then large endeavors.

# SECTION VIII – EVALUATION CRITERIA

Proposals will be evaluated on the following criteria, listed in order of their relative priority with most important listed first:

**Phase I:**

* + - 1. Response to the Attachment “A”, **Mandatory** questionnaire.

**Phase II:**

|  |  |
| --- | --- |
| **Priority** | **Criteria** |
| 1 | General quality, completeness, accuracy, clarity, and adequacy of response to requirements as requested in Specifications and Scope of Work (Section V) |
| 2 | Vendors ability to meet Deliverables |
| 3 | System Functionality |
| 4 | CTI Integrations / Configuration / Interface with ASU Systems |
| 5 | User Friendly UIs |
| 6 | Regulatory Compliance |
| 7 | Risk Assessment |
| 8 | Pricing (section IX) |
| 9 | Reporting Analytics |
| 10 | Support Process and Availability /SLAs |
| 11 | Implementation Support / Plan |
| 12 | Vendor Qualifications/ References: 1) Quality and 2) Level of satisfaction of clients |
| 13 | Architecture |
| 14 | Exceptions to ASU’s terms and conditions |
| 15 | Sustainability Questionnaire  (Section XIII) |

# SECTION IX – PRICING SCHEDULE

See attached excel file: Attachment B Contact Center Pricing Schedule.xls

# SECTION X – FORM OF PROPOSAL/SPECIAL INSTRUCTIONS

**Format of Submittal**

To facilitate direct comparisons, your proposal must be submitted in the following format:

* **One (1)** clearly marked hardcopy original in 8.5” x 11” double-sided, non-binding form. No metal or plastic binding – may use folder or clip for easy removal of proposal. And
* **One (1)** electronic copy (CD, FLASH Drive, etc.), PC readable, labeled, no passwords, and ***less than 10 MB***. ***One single*** continuous document, no folders.

* Any “confidential and/or proprietary” documents **must** be submitted as a separate hard copy and separate CD and labeled per item 10 in the Instructions to Proposers. **All other confidential markings will be disregarded as boilerplate.**

Proposer must check and play all flash drives or CDs before submitting. Company marketing materials should not be included unless the RFP specifically requests them. All photos must be compressed to small size formats.

**Content of Submittal**

If proposer fails to provide any of the following information, with the exception of the mandatory proposal certifications, the University may, at its sole option, ask the proposer to provide the missing information or evaluate the proposal without the missing information.

* + - 1. RFP Checklist/Cover page per Appendix 1, and Mandatory certifications, Substitute W-9, and Sustainability Questionnaire per Section XIII
      2. Attachment A Mandatory Questionnaire
      3. Detailed response to Section V Scope of Work
      4. Detailed response to Section VII Proposer Qualifications
      5. Pricing Schedule per Section IX and Attachment B
      6. Any additional information

# SECTION XI – PROPOSER INQUIRY FORM

Pre-Proposal Questions, General Clarifications, etc.

PROJECT NAME: Unified Communications Solution for Arizona State University’s shared Service Contact Center

PROPOSAL NUMBER: 221403

INQUIRY DEADLINE: 3:00 P.M., MST, February 7, 2014

QUESTIONS ON: ORIGINAL PROPOSAL or \_\_\_\_\_ ADDENDUM NO.

DATE:

WRITER:

COMPANY:

E-MAIL ADDRESS:

PHONE:

QUESTIONS:

# SECTION XII – TERMS & CONDITIONS

1. **PAYMENT.** Payment shall be subject to the provisions of Title 35 of Arizona Revised Statutes relating to time and manner of submission of claims. The University's obligation is payable only and solely from funds appropriated for the purpose of this Agreement. The payment terms for this Agreement are Net 30 days. An invoice shall be submitted directly to the University's Payables and Reimbursements Department, unless otherwise directed. Any delays in payment are usually attributable to one of the following: failure of the supplier to submit an invoice to Payables and Reimbursements, dissatisfaction of the requesting department with the order delivered by the supplier, and a variance of the dollar amounts on the purchase order, the receiver, and the invoice. The interest rate on overdue payments is eighteen (18) percent APR. Such interest will begin accruing on the thirty-first (31st) day after the latest date of: the date of a valid purchase order, the date a correct supplier invoice is received at Payables and Reimbursements, and the date of delivery of an order that is satisfactory to the requesting department. Any claims for interest must be substantiated by copies of documents that show the date of the valid purchase order, the date a correct invoice was delivered to Payables and Reimbursements, and the date an order was delivered to the requesting department. The University may adjust the interest period, or deny the interest claim, based upon their documentation that there was no valid purchase order, that an incorrect invoice was submitted, that the order delivered was not satisfactory, or that the dates of any event were other than as claimed.
2. **REMEDIES AND APPLICABLE LAW.** This Agreement shall be governed by and construed in accordance with the laws of the State of Arizona. The University and Contractor shall have all remedies afforded each by said law.
3. **FORCE MAJEURE.** Neither party shall be held responsible for any losses resulting if the fulfillment of any terms or provisions of this Agreement are delayed or prevented by any cause not within the control of the party whose performance is interfered with, and which by the exercise of reasonable diligence, said party is unable to prevent.
4. **ANTI-KICKBACK.** In compliance with FAR 52.203-7, the University has in place and follows procedures designed to prevent and detect violations of the Anti-Kickback Act of 1986 in its operations and direct business relationships.
5. **GRATUITIES.** The University may, by written notice to the Contractor, cancel this Agreement if it is found by the University that gratuities, in the form of entertainment, gifts or otherwise, were offered or given by the Contractor, or any agent or representative of the Contractor, to any officer or employee of the State of Arizona with a view toward securing a contract or securing favorable treatment with respect to the awarding or amending, or the making of any determinations with respect to the performing of such contract. In the event this Agreement is canceled by University pursuant to this provision, the University shall be entitled, in addition to any other rights and remedies, to recover or withhold the amount of the cost incurred by Contractor in providing such gratuities.
6. **MODIFICATIONS.** This Agreement can be modified or rescinded only by a writing signed by both parties or their duly authorized agents.
7. **ASSIGNMENT-DELEGATION.** No right or interest in this Agreement shall be assigned, or any obligation delegated, by Contractor without the written permission of the University. Any attempted assignment or delegation by Contractor shall be wholly void and totally ineffective for all purposes unless made in conformity with this paragraph.
8. **INTERPRETATION-PAROL EVIDENCE**. This writing is intended by the parties as a final expression of their Agreement and is intended also as a complete and exclusive statement of the terms of their Agreement. No course of prior dealings between the parties and no usage of the trade shall be relevant to supplement or explain any term used in this Agreement. Acceptance or acquiescence in a course of performance rendered under this Agreement shall not be relevant to determine the meaning of this Agreement even though the accepting or acquiescing party has knowledge of the nature of the performance and opportunity for objection. Whenever a term defined by the Uniform Commercial Code is used in this Agreement, the definition contained in the Code is to control.
9. **EQUAL OPPORTUNITY CLAUSE.** The Provisions of Section 202 of Executive Order 11246.41, C.F.R. §60-1.4.41, C.F.R. §60-250.4 and 41, and C.F.R. §60-741.4 are incorporated herein by reference and shall be applicable to this Agreement unless this Agreement is exempted under the rules, regulations or orders of the Secretary of Labor.
10. **TERMINATION FOR DEFAULT.** In the event that the Contractor shall fail to maintain or keep in force any of the terms and conditions of this Agreement, the University may notify the Contractor in writing of such failure and demand that the same be remedied within 10 days. Should the Contractor fail to remedy the same within said period, the University shall then have the right to terminate this Agreement.
11. **NO WAIVER.** No waiver by University of any breach of the provisions of this Agreement by the Contractor shall in any way be construed to be a waiver of any future breach or bar the University's right to insist on strict performance of the provisions of the Agreement.
12. **TERMINATION.** The University may by written notice, stating the extent and effective date terminate this order for convenience in whole or in part, at any time. University shall pay the Contractor as full compensation for performance until such termination: (1) the unit or pro rata order price for the delivered and accepted portion; and (2) a reasonable amount, not otherwise recoverable from other sources by the Contractor as approved by the University, with respect to the undelivered or unacceptable portion of this order, provided compensation hereunder shall in no event exceed the total order price.
13. **CANCELLATION OF STATE CONTRACT.** In accordance with A.R.S. §38-511, this Agreement may be canceled without penalty or further obligation if any person significantly involved in initiating, negotiating, securing, drafting or creating the Agreement on behalf of the University is, at any time while the Agreement or any extension of the Agreement is in effect, an employee of any other party to the Agreement in any capacity or a consultant to any other party of the Agreement with respect to the subject matter of the Agreement.
14. **LABOR DISPUTES.** Contractor shall give prompt notice to the University of any actual or potential labor dispute which delays or may delay performance under this Agreement.
15. **CONTRACT CLAIMS AND CONTROVERSIES.** All contract claims and controversies arising under this Agreement shall be resolved pursuant to the Arizona Board of Regents procurement procedures, section 3-809, in particular section 3-809C.
16. **CANCELLATION FOR LACK OF FUNDING.** This Agreement may be canceled without any further obligation on the part of the Arizona Board of Regents and Arizona State University in the event that sufficient appropriated funding is unavailable to assure full performance of its terms. The Contractor shall be notified in writing of such non-appropriation at the earliest opportunity.
17. **ASSIGNMENT OF ANTI-TRUST OVERCHARGE CLAIMS.** The parties recognize that in actual economic practice overcharges resulting from anti-trust violations are in fact borne by the ultimate purchaser; therefore, the Contractor hereby assigns to the Arizona Board of Regents for and on behalf of the University any and all claims for such overcharges.
18. **INSPECTION AND AUDIT.** All books, accounts, reports, files and other records relating to this Agreement shall be subject at all reasonable times to inspection and audit by the Arizona Board of Regents, Arizona State University or the Auditor General of the State of Arizona, or their agents for five (5) years after completion of this Agreement. Such records shall be produced at Arizona State University, or such other location as designated by Arizona State University, upon reasonable notice to the Contractor.
19. **INSOLVENCY.** The University shall have the right to terminate this Agreement at any time in the event Contractor files a petition in bankruptcy, or is adjudicated bankrupt; or if a petition in bankruptcy is filed against Contractor and not discharged within thirty (30) days; or if Contractor becomes insolvent or makes an assignment for the benefit of its creditors or an arrangement pursuant to any bankruptcy law; or if a receiver is appointed for Contractor or its business.
20. **ADVERTISING.** Contractor agrees that it will not use Arizona State University or any of its names or trademarks in any Contractor advertising.
21. **INDEMNIFICATION.** Contractor shall indemnify, defend, save and hold harmless the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees (hereinafter referred to as “Indemnitee”) from and against any and all claims, actions, liabilities, damages, losses, or expenses (including court costs, attorneys’ fees, and costs of claim processing, investigation and litigation) (hereinafter referred to as “Claims”) for bodily injury or personal injury (including death), or loss or damage to tangible or intangible property caused, or alleged to be caused, in whole or in part, by the negligent or willful acts or omissions of Contractor or any of its owners, officers, directors, agents, employees or subcontractors. This indemnity includes any claim or amount arising out of or recovered under the Workers’ Compensation Law or arising out of the failure of such contractor to conform to any federal, state or local law, statute, ordinance, rule, regulation or court decree. It is the specific intention of the parties that the Indemnitee shall, in all instances, except for Claims arising solely from the negligent or willful acts or omissions of the Indemnitee, be indemnified by Contractor from and against any and all claims. It is agreed that Contractor will be responsible for primary loss investigation, defense and judgment costs where this indemnification is applicable. In consideration of the award of this contract, the Contractor agrees to waive all rights of subrogation against the State of Arizona, its officers, officials, agents and employees for losses arising from the work performed by the Contractor for the State of Arizona.
22. **PARKING.** The Contractor shall obtain all parking permits and/or decals required while performing work on University premises. The Contractor should contact Parking and Transit, <http://cfo.asu.edu/pts>.
23. **OFFSHORE PERFORMANCE OF WORK PROHIBITED.** Due to security and identity protection concerns, direct services under this contract shall be performed within the borders of the United States. Any services that are described in the specifications or scope of work that directly serve Arizona State University and may involve access to secure or sensitive data or personal client data or development or modification of software for the University shall be performed within the borders of the United States. Unless specifically stated otherwise in the specifications, this definition does not apply to indirect or "overhead" services, redundant back-up services or services that are incidental to the performance of the contract. This provision applies to work performed by Subcontractors at all tiers.
24. **NON-DISCRIMINATION.** The successful contractor or supplier shall comply with all applicable state and federal statutes and regulations governing Equal Employment Opportunity, Non – Discrimination, and Immigration.
25. **UNIVERSITY WEAPONS POLICY.** The university prohibits the use, possession, display, or storage of any weapon, explosive device, or fireworks on all land and buildings owned, leased, or under the control of the university or its affiliated or related entities, in all university residential facilities (whether managed by the university or another entity), in all university vehicles, and at all university or university-affiliate sponsored events and activities, except as provided in §12-781 of the *Arizona Revised Statutes* or unless written permission is given by the ASU Police Department (ASU PD). Notification by vendors to all persons or entities who are employees, officers, subcontractors, consultants, agents, guests, invitees, or licensees of vendor (Vendor Parties) of this policy is a condition and requirement of the contract. Vendor further agrees to enforce this contractual requirement against all Vendor Parties.
26. **PAYMENT CARD INDUSTRY DATA SECURITY STANDARD.** For e-commerce business and/or credit card transactions, Contractor agrees to be bound by the requirements and terms of the Rules of all applicable Card Associations, as amended from time to time, and be solely responsible for security and maintaining confidentiality of Card transactions processed by means of electronic commerce up to the point of receipt of such transactions by Bank.

Contractor is required to be in compliance with the requisites of the SAS 70 and/or Payment Card Industry Data Security Standard and provide written attestation of compliance annually.

1. **BYRD ANTI-LOBBYING AMENDMENT (31 U.S.C. 1352).** Contractors who apply or bid for an award of $100,000 or more shall file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant, or any other award covered by 31 U.S.C. 1352. Each tier shall also disclose any lobbying with non-Federal funds that takes place in connection with obtaining and Federal award. Such disclosures are forwarded from tier to tier up to the recipient.
2. **DEBARMENT AND SUSPENSION.** Recipients shall fully comply with the requirements stipulated in Subpart C of 45 CFR 620, entitled “Responsibilities of Participants Regarding Transactions”. The recipient is responsible for ensuring that any lower tier covered transaction, as described in Subpart B of 45 CFR 620, entitled “Covered Transactions”, includes a term or condition requiring compliance with Subpart C. The recipient also is responsible for further requiring the inclusion of a similar term or condition in any subsequent lower tier covered transaction. The recipient acknowledges that failing to disclose the information required under 45 CFR 620.335 may result in the termination of the award, or pursuance of other available remedies, including suspension and debarment. Recipients may access the Excluded Parties List System at <http://epls.arnet.gov>.
3. **RIGHTS TO INVENTIONS MADE UNDER A CONTRACT OR AGREEMENT.** Contracts or agreements for the performance of experimental, developmental, or research work shall provide for the rights of the Federal Government and the recipient in any resulting invention in accordance with 37 CFR part 401, “Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements,” and any implementing regulations issued by the awarding agency.
4. **CONTRACTOR TO PACKAGE GOODS.** Contractor will package goods in accordance with good commercial practice. Each shipping container shall be clearly and permanently marked with the following: (a) Contractor's name and address; (b) University department's name, address and purchase order number; (c) Container number and total number of containers, e.g. box 1 of 4 boxes and (d) the number of the container bearing the packing slip. Contractor shall bear cost of packaging unless specifically otherwise provided.
5. **SHIPMENT UNDER RESERVATION PROHIBITED.** Contractor is not authorized to ship the goods under reservation and no tender of a bill of lading will operate as a tender of the goods.
6. **TITLE AND RISK OF LOSS.** The title and risk of loss of the goods shall not pass to the University until the University actually receives the goods at the point or points of delivery.
7. **RIGHT OF INSPECTION.** The University shall have the right to inspect the goods at delivery before accepting them.
8. **NO REPLACEMENT OF DEFECTIVE TENDER.** Every tender of goods must fully comply with all provisions of this Agreement as to time of delivery, quantity, quality, and the like. If a tender is made which does not fully conform, this shall constitute a breach and Contractor shall not have the right to substitute a conforming tender.
9. **WARRANTIES.** In addition to any implied warranties, Contractor warrants that the goods furnished will conform to the specifications, drawings, and descriptions listed herein, and to the sample or samples, if any, furnished by the Contractor. In the event of a conflict between the specifications, drawings, and descriptions, the specifications shall govern.
10. **COPYRIGHT OWNERSHIP.** Contractor’s work under this agreement is “work for hire” for purposes of the copyright laws of the United States and any foreign countries, and title to any subject copyright will vest with the University.

If for any reason the Work would not be considered a work made for hire under applicable law, Contractor sells, assigns, and transfers to University all rights and title to the copyright in the Work, related registrations and copyright applications, and any related renewals and extensions. This grant of rights and assignment extends to all works based upon, derived from, or incorporating the Work, to all income, royalties, damages, claims and payments payable now or later, to all causes of action, either in law or in equity for past, present, or future infringement based on the copyrights, and to all corresponding rights throughout the world.

If the Work is one to which the provisions of 17 U.S.C. 106A apply, the Author waives and appoints University to assert on the Contractor’s behalf the Contractor’s moral rights or any equivalent rights regarding the form or extent of any alteration to the Work (including removal or destruction) or the making of any derivative works based on the Work, including photographs, drawings or other visual reproductions or the Work, in any medium, for university purposes.

Contractor agrees to execute all papers and to perform other proper acts as University may deem necessary to secure these rights for University or its designee.

1. **INSURANCE REQUIREMENTS.** Without limiting any liabilities or any other obligation of the Contractor, the Contractor shall purchase and maintain (and cause its subcontractors to purchase and maintain), in a company or companies lawfully authorized to do business in the State of Arizona, and rated at least A- VII in the current A.M. Best’s, the minimum insurance coverage below. **Minimum requirements are subject to change based on scope of work and contract awarded.**

Contractor and subcontractors shall procure and maintain until all of their obligations have been discharged, including any warranty periods under this Contract, are satisfied, insurance against claims for injury to persons or damage to property which may arise from or in connection with the performance of the work hereunder by the Contractor, his agents, representatives, employees or subcontractors.

The *insurance requirements* herein are minimum requirements for this Contract and in no way limit the indemnity covenants contained in this Contract. The University in no way warrants that the minimum limits contained herein are sufficient to protect the Contractor from liabilities that might arise out of the performance of the work under this contract by the Contractor, its agents, representatives, employees or subcontractors, and Contractor is free to purchase additional insurance.

1. **MINIMUM SCOPE AND LIMITS OF INSURANCE:** Contractor shall provide coverage with limits of liability not less than those stated below.
   1. **Commercial General Liability – Occurrence Form**

Policy shall include bodily injury, property damage, personal injury and broad form contractual liability coverage.

* General Aggregate$2,000,000
* Products Completed Operations Aggregate $1,000,000
* Personal and Advertising Injury $1,000,000
* Blanket Contractual Liability – Written and Oral $1,000,000
* Fire Legal Liability $50,000
* Each Occurrence $1,000,000
  + 1. The policy shall be endorsed to include the following additional insured language: **“The State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees shall be named as additional insureds with respect to liability arising out of the activities performed by or on behalf of the Contractor".**
    2. Policy shall contain a waiver of subrogation against the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Contractor.
  1. **Business Automobile Liability**

Bodily Injury and Property Damage for any owned, hired, and/or non-owned vehicles used in the performance of this Contract.

* Combined Single Limit (CSL) $1,000,000
  + 1. The policy shall be endorsed to include the following additional insured language: **“The State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees shall be named as additional insureds with respect to liability arising out of the activities performed by or on behalf of the Contractor, involving automobiles owned, leased, hired or borrowed by the Contractor".**
    2. Policy shall contain a waiver of subrogation against the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Contractor.
  1. **Worker's Compensation and Employers' Liability**
* Workers' Compensation Statutory
* Employers' Liability
* Each Accident $500,000
* Disease – Each Employee $500,000
* Disease – Policy Limit $1,000,000
  + 1. Policy shall contain a waiver of subrogation against the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Contractor.
    2. This requirement shall not apply to: Separately, EACH contractor or subcontractor exempt under A.R.S. 23-901, AND when such contractor or subcontractor executes the appropriate waiver (Sole Proprietor/Independent Contractor) form.
  1. **Professional Liability (Errors and Omissions Liability)**
* Each Claim $1,000,000
* Annual Aggregate $2,000,000
  + 1. In the event that the professional liability insurance required by this Contract is written on a claims-made basis, Contractor warrants that any retroactive date under the policy shall precede the effective date of this Contract; and that either continuous coverage will be maintained or an extended discovery period will be exercised for a period of two (2) years beginning at the time work under this Contract is completed.
    2. The policy shall cover professional misconduct or lack of ordinary skill for those positions defined in the Scope of Work of this contract.

1. **ADDITIONAL INSURANCE REQUIREMENTS:** The policies shall include, or be endorsed to include, the following provisions:
   1. The Contractor's insurance coverage shall be primary insurance with respect to all other available sources.
   2. Coverage provided by the Contractor shall not be limited to the liability assumed under the indemnification provisions of this Contract.
2. **NOTICE OF CANCELLATION:** Each insurance policy required by the insurance provisions of this Contract shall provide the required coverage and shall not be suspended, voided, canceled, or reduced in coverage or in limits except after thirty (30) days prior written notice has been given to the State of Arizona. Such notice shall be sent directly to Arizona State University, Purchasing and Business Services, PO Box 875212, Tempe, Arizona 85287 and shall be sent by certified mail, return receipt requested.
3. **VERIFICATION OF COVERAGE:** Contractor shall furnish the University with certificates of insurance (ACORD form or equivalent approved by the State of Arizona) as required by this Contract. The certificates for each insurance policy are to be signed by a person authorized by that insurer to bind coverage on its behalf*.*

All certificates and endorsements are to be received and approved by the University before work commences. Each insurance policy required by this Contract must be in effect at or prior to commencement of work under this Contract and remain in effect for the duration of the project. Failure to maintain the insurance policies as required by this Contract, or to provide evidence of renewal, is a material breach of contract.

All certificates required by this Contract shall be sent directly to Arizona State University, Purchasing and Business Services, PO Box 875212, Tempe, Arizona 85287. The University project/contract number and project description shall be noted on the certificate of insurance. The University reserves the right to require complete, certified copies of all insurance policies required by this Contract at any time.

1. **SUBCONTRACTORS:** Contractors’ certificate(s) shall include all subcontractors as insureds under its policies **or** Contractor shall furnish to the University separate certificates and endorsements for each subcontractor. All coverages for subcontractors shall be subject to the minimum requirements identified above.
2. **PERFORMANCE AND PAYMENT BONDS.** The Contractor shall provide and pay for performance and payment bonds. Bonds shall cover the faithful performance (100%) of this Agreement and the payment of all obligations (100%) rising thereunder, in such form as the University may prescribe and with approved sureties. The successful Contractor shall deliver the required bonds to the University not later than the date of executing this Agreement. The Contractor shall require the attorney in fact who executes the required bonds on behalf of the surety to affix thereto a certified and current copy of his power of attorney indicating the monetary limit of such power. Surety shall be a company licensed to do business in the State of Arizona and shall be acceptable to the University. The bond amount shall be increased to include any change order added to this Agreement to one hundred percent (100%) of the total value amount of each change order.
3. **SALES AND USE TAX.** The Contractor agrees to comply with and to require all of his subcontractors to comply with all the provisions of applicable state sales excise tax law and compensation use tax law and all amendments to same. The Contractor further agrees to indemnify and save harmless the University, of and from any and all claims and demands made against it by virtue of the failure of the Contractor or any subcontractor to comply with the provisions of any or all said laws and amendments. The University is not exempt from state sales excise tax and compensation use tax, except for equipment purchased for research or development under the provisions of A.R.S. §42-5159 (B) (14). Any equipment ordered as tax exempt shall be invoiced separately from taxable systems, even if purchased on the same purchase order from the University.
4. **PERSONNEL.** Employees of the Contractor assigned to the project and identified by name in the proposal shall remain dedicated to this project. Personnel changes shall be permitted only with prior notification and approval of the University.
5. **LIQUIDATED DAMAGES.** The University and the Contractor agree that in the event that the Contractor fails to perform under this Agreement, the University will be damaged. The extent of the damage is very difficult to calculate. Therefore, the Contractor agrees to pay the University liquidated damages if the agreed upon delivery and installation dates are not met. These liquidated damages shall be $ 176,857.63 per month.
6. **INSTALLMENT PAYMENT AGREEMENT.** The University is precluded from entering into an installment payment agreement unless such agreement can be canceled for non-allocation of funds at the end of any fiscal year, at no penalty to the University. If funds are not allocated for this Agreement for periodic payment in any future annual fiscal period, following the University's formal request for funds, the University is not obligated to pay the net remainder of agreed to consecutive periodic payments remaining unpaid beyond the end of the then current fiscal year. The University agrees to notify the Contractor of such non-allocation at the earliest possible time. No penalty shall accrue to the University in the event this provision shall be exercised. This provision shall not be construed so as to permit the University to terminate this Agreement in order to acquire similar equipment from another party.
7. **PRICE ADJUSTMENT.** Price changes will normally only be considered at the end of one Agreement period and the beginning of another. Price change requests shall be supported by evidence of increased costs to the Contractor. The University will not approve price increases that will merely increase the gross profitability of the Contractor at the expense of the University. Price change requests shall be a factor in the Agreement extension review process. The University shall determine whether the requested price increase or an alternate option is in the best interest of the University. Similarly, Contractor agrees that the costs of any maintenance agreements beyond the warranty period will increase a maximum 5 percent per year and a total of 20 percent over the term of the contract.
8. **FURNISH AND INSTALL.** The items in this proposal will be provided on a Contractor furnish and install basis. The successful Contractor shall have complete responsibility for the items or system until it is in place and working. Any special installation preparation and requirements must be submitted to the University. All transportation and coordination arrangements will be the responsibility of the successful Contractor. Delivery of equipment will be coordinated so that items will be delivered direct to the installation site. This will minimize risk of damage and avoid double handling.
9. **THE ARIZONA STATE UNIVERSITY CONFIDENTIAL FINANCIAL INFORMATION AGREEMENT IS REQUIRED.** This agreement is necessary to comply with the requirements of the “Gramm Leach Bliley Act” dealing with the confidentiality of customer information and the Safeguarding Rule.
10. **The University and Contractor recognize that student educational records are protected by the federal Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. 1232g).** FERPA permits disclosure of student record information to “other school officials” who have a legitimate educational interest in the information. The federal Family Compliance Office has recognized that institutions can designate other entities, including vendors and consultants, as “other school officials”. Designated representatives of Contractor will be designated as “other school officials” for purposes of this Agreement. No designated representative of the Contractor shall disclose information it receives under this agreement to any third party, except with the consent of the student or as required by law. Any disclosures made by the Contractor should comply with the University’s definition of legitimate educational purpose. If any designated representative discloses or misuses any educational record, the University will take appropriate action against the designated representative that is similar to action ASU would take against one of its employees who disclosed or misused the educational records of its students.

# SECTION XIII – MANDATORY CERTIFICATIONS & SUBSTITUTE W-9

**(Fillable PDF versions of mandatory certifications are located on-line under Supplier Forms:** [**http://cfo.asu.edu/purchasing-forms**](http://cfo.asu.edu/purchasing-forms)**. ORIGINAL signatures are REQUIRED for either version.)**

**CONFLICT OF INTEREST CERTIFICATION**

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Date)

Purchasing and Business Services

Arizona State University

PO Box 875212

Tempe, AZ 85287-5212

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

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

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

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(Print title) (Federal Taxpayer ID Number)

(Purchasing 01-31-2007. Previous editions are obsolete and cannot be used.)

**FEDERAL DEBARRED LIST CERTIFICATION**

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

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Date)

Purchasing and Business Services

Arizona State University

PO Box 875212

Tempe, AZ 85287-5212

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

(a) (1) The Offeror certifies, to the best of its knowledge and belief, that—

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

(A) (check one) **Are ( )** or **are not ( )** presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any Federal agency; (The debarred list (List of Parties Excluded from Federal Procurement and Nonprocurement Programs) is at <http://epls.arnet.gov> on the Web.)

(B) (check one) **Have ( )** or **have not ( )**, within a three-year period preceding this offer, been convicted of or had a civil judgment rendered against them for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state, or local) contract or subcontract; violation of Federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, or receiving stolen property; and

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

(ii) The Offeror (check one) **has ( )** or **has not ( )**, within a three-year period preceding this offer, had one or more contracts terminated for default by any Federal agency.

(2) “Principals,” for the purposes of this certification, means officers; directors; owners; partners; and, persons having primary management or supervisory responsibilities within a business entity (*e.g.,* general manager; plant manager; head of a subsidiary, division, or business segment, and similar positions).

This Certification Concerns a Matter Within the Jurisdiction of an Agency of the United States and the Making of a False, Fictitious, or Fraudulent Certification May Render the Maker Subject to Prosecution Under Section 1001, Title 18, United States Code.

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

(c) A certification that any of the items in paragraph (a) of this provision exists will not necessarily result in withholding of an award under this solicitation. However, the certification will be considered in connection with a determination of the Offeror’s responsibility. Failure of the Offeror to furnish a certification or provide such additional information as requested by the Contracting Officer may render the Offeror non-responsible.

(d) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required by paragraph (a) of this provision. The knowledge and information of an Offeror is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

(e) The certification in paragraph (a) of this provision is a material representation of fact upon which reliance was placed when making award. If it is later determined that the Offeror knowingly rendered an erroneous certification, in addition to other remedies available to the Government, the Contracting Officer may terminate the contract resulting from this solicitation for default.

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(Signature required) (Phone)

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(Print title) (Federal Taxpayer ID Number)

(Purchasing 01-31-2007)

**ANTI-LOBBYING CERTIFICATION**

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

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Date)

Purchasing and Business Services

Arizona State University

PO Box 875212

Tempe, AZ 85287-5212

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

(a) The definitions and prohibitions contained in the clause, at FAR 52.203-12, Limitation on Payments to Influence Certain Federal Transactions, included in this solicitation, are hereby incorporated by reference in paragraph (b) of this certification.

(b) The offeror, by signing its offer, hereby certifies to the best of his or her knowledge and belief that on or after December 23, 1989—

(1) No Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with the awarding of this contract;

(2) If any funds other than Federal appropriated funds (including profit or fee received under a covered Federal transaction) have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with this solicitation, the offeror shall complete and submit, with its offer, OMB standard form LLL, Disclosure of Lobbying Activities, to the Contracting Officer; and

(3) He or she will include the language of this certification in all subcontract awards at any tier and require that all recipients of subcontract awards in excess of $100,000 shall certify and disclose accordingly.

(c) Submission of this certification and disclosure is a prerequisite for making or entering into this contract imposed by Section 1352, Title 31, United States Code. Any person who makes an expenditure prohibited under this provision or who fails to file or amend the disclosure form to be filed or amended by this provision, shall be subject to a civil penalty of not less than $10,000, and not more than $100,000, for each such failure.

(Signature page follows)

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(Signature required) (Phone)

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(Print name) (Fax)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Print title) (Federal Taxpayer ID Number)

(Purchasing 01-31-2007)

**LEGAL WORKER CERTIFICATION**

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Date)

Purchasing and Business Services

Arizona State University

PO Box 875212

Tempe, AZ 85287-5212

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

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

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Firm) (Address)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Email address)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Signature required) (Phone)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Print name) (Fax)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Print title) (Federal Taxpayer ID Number)

(Purchasing 09-23-2008)

**SUPPLIER SUSTAINABILITY QUESTIONNAIRE**

Company Name: Date:

The Supplier Sustainability Questionnaire must be completed and returned with your Proposal unless you have previously submitted a completed form and have no change. This questionnaire is applicable to firms that provide only services as well as those that provide goods.

1. What policies are in place to monitor and manage your supply chain regarding environmental issues? Please check the items that apply.

|  |  |
| --- | --- |
|  | We apply environmental criteria when making purchasing decisions. |
|  | We purchase “green” (recyclable, reusable, non-toxic, bio-degradable, and made from 100% post-consumer recycled materials) supplies, products and materials. |
|  | We specify sustainable products and or locally manufactured products |
|  | We specify products using Electronic Products Environmental Assessment Tool (EPEAT) standards |
|  | We partner with sustainable suppliers or utilize suppliers who share in the sustainability commitment |
|  | Our Director of Sustainability is researching industry best procurement practices |
|  | Other – describe other ways your company monitors and manages your supply chain regarding environmental issues: |
|  | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

2. What type of sustainable packaging/shipping materials do you use? Please check the items that apply.

|  |  |
| --- | --- |
|  | Our packaging/shipping materials are recyclable |
|  | Our packaging/shipping materials are reusable |
|  | Our packaging/shipping materials are bio-degradable |
|  | Our packaging/shipping materials are made from 100% post-consumer recycled materials |
|  | Other – describe other types of sustainable packaging/shipping materials you use: |
|  | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

3. Does your company have a Green Transportation Plan for your operation? Please check the items that apply.

|  |  |
| --- | --- |
|  | We encourage carpooling, public transportation, and using other alternative modes of transportation |
|  | We subsidize public transportation for employees |
|  | We are developing a Green Transportation Plan |
|  | We have an established Green Transportation Plan (describe below) |
|  | We offer flexible hours, telecommuting or a compressed work week |
|  | We utilize teleconference, video conference, WebEx or GoTo Meetings |
|  | We purchase carbon offsets |
|  | We own electric, hybrid, or E-85 fueled vehicles |
|  | We rent hybrid vehicles |
|  | Other – describe your company’s Green Transportation Plan for your operation: |
|  | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

4. What does your company do to minimize the environmental costs associated with shipping? Please check the items that apply.

|  |  |
| --- | --- |
|  | We are evaluating what the company can do to minimize the environmental costs associated with shipping |
|  | We combine deliveries with customer visits |
|  | We consolidate deliveries |
|  | We use bike couriers for local delivery |
|  | We utilize electronic communications and electronic transfer of documents. E-mail, fax and Portable Document Format (PDF) |
|  | We use eco-friendly courier’s packaging/shipping materials that include post-consumer waste recycled materials and are recyclable |
|  | Our packaging and shipping materials are reused until they eventually get recycled |
|  | We have established a sustainability plan that minimizes the need for shipping (describe below) |
|  | We update mailing lists to minimize unwanted mailings |
|  | We specify products that can be purchased within a 500 mile radius of the delivery location |
|  | Other – describe what your company does to minimize the environmental costs associated with shipping |
|  | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

5. Does your company have an environmental policy statement? Please check the items that apply.

|  |  |
| --- | --- |
|  | We are developing an environmental policy statement |
|  | Our environmental policy statement consists of a commitment to promote environmental stewardship |
|  | Our environmental policy statement describes our company’s Sustainability Initiative |
|  | We have formed an oversight committee to ensure the success of our environmental policy |
|  | Our environmental policy statement describes how our company explores opportunities to work with communities, governments and non-governmental and professional organizations to help articulate, teach and advance the principles of sustainability |
|  | Other - Provide (or supply a link) your company’s environmental policy statement |
|  | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

6. Has your company ever been cited for non-compliance of an environmental or safety issue? Please check the item that applies.

|  |  |
| --- | --- |
|  | No, my company HAS NOT been cited for non-compliance of an environmental or safety issue. |
|  | Yes, my company HAS been cited for non-compliance of an environmental or safety issue. |
|  | State the reason, date and outcome of the citation |
|  | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

7. What programs do you have in place, or planned for promoting resource efficiency? (i.e. an environmental or waste audit)? Please check the items that apply.

|  |  |
| --- | --- |
|  | We recycle consumables, reduce waste and practice energy reduction when possible |
|  | We are developing a recycling program |
|  | We utilize a formal energy management system |
|  | We are a member of various environmental organizations |
|  | We have formed a Sustainability Committee to identify sustainable solutions for our company |
|  | We have a company-wide Recycling Program |
|  | Our Director of Sustainability initiates and supports sustainability efforts |
|  | We have performed an environmental or waste audit |
|  | We are recognized by peers and environmental organizations for providing leadership in sustainability |
|  | We are a carbon-neutral company |
|  | Other - what other programs do you have in place, or planned for promoting resource efficiency |
|  | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

8. Does your company have web-based materials available documenting your “Green” initiatives? Please check the items that apply.

|  |  |
| --- | --- |
|  | We are developing web-based documentation of “Green” initiatives (provide link) |
|  | Our website includes “Green” reference information (provide link) |
|  | Our website contains an environmental policy statement (provide link) |
|  | Our website includes materials that document company’s “Green” initiatives (provide link) |
|  | Our website contains our company’s Sustainability Report (provide link) |
|  | Other – Does your company have other web-based materials available documenting your “Green” initiatives? (provide link) |
|  | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

9. If you are providing a product, does the manufacturer of the product that you are proposing have an environmental policy statement? Please check the item that applies.

|  |  |
| --- | --- |
|  | No, the manufacturer of the product that I am proposing DOES NOT have an environmental policy statement |
|  | Yes, the manufacturer of the product that I am proposing HAS an environmental policy statement |
|  | Provide Environmental Policy Statement |
|  | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

10. If you are providing a product, has the manufacturer of the product that you are proposing ever been cited for non-compliance of an environmental or safety issue? Please check the item that applies.

|  |  |
| --- | --- |
|  | No, the manufacturer of the product that I am proposing HAS NOT been cited for non-compliance of an environmental or safety issue |
|  | Yes, the manufacturer of the product that I am proposing HAS been cited for non-compliance of an environmental or safety issue |
|  | Provide reason, date and outcome of the citation |
|  | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

11. Has an environmental life-cycle analysis of the product that you are proposing been conducted by a certified testing organization, such as Green Seal? Please check the item that applies.

|  |  |
| --- | --- |
|  | No, an environmental life-cycle analysis of the product that I am proposing HAS NOT been conducted by a certified testing organization, such as Green Seal |
|  | Yes, an environmental life-cycle analysis of the product that I am proposing HAS been conducted by a certified testing organization, such as Green Seal. |
|  | Provide certification |
|  | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

12. If selected pursuant to this solicitation, what are your plans for continuing your operations and services to ASU if there is a major and/or catastrophic pandemic influenza outbreak?

|  |  |
| --- | --- |
|  | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **RETURN TO ASU** | | **ARIZONA STATE UNIVERSITY**  SUBSTITUTE W-9 & VENDOR AUTHORIZATION FORM – Page 1 of 2 | | | | | | | | | | | | | | | **DO NOT SEND TO IRS** |
| **Foreign persons who are non-residents for US Tax purposes do not complete the ASU Substitute W-9 form. Instead, complete IRS Form W-8 BEN** **available at** <http://www.irs.gov/pub/irs-pdf/fw8ben.pdf> | | | | | | | | | | | | | | | | | |
| **► Taxpayer Identification Number (TIN)** | | | | | | |  | | | | | | Employer ID Number (EIN)  Social Security Number (SSN) | | | | |
| **► LEGAL NAME:**  (must match TIN above) | | | | |  | | | | | | | | | | | | |
| Are you doing business in Arizona for purposes of sales/use tax collection and remittance? Yes  No  If “Yes” please provide Arizona License #      and sales/use tax rate charged      % DUNS# | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | |
| **►LEGAL MAILING ADDRESS:** | | | | | (Where tax information and general correspondence is to be sent) | | | | | | | | | | | | |
| **DBA/Branch/Location:** | | | | |  | | | | | | | | | | | | |
| **ADDRESS:** | | | | |  | | | | | | | | | | | | |
| **ADDRESS LINE 2:** | | | | |  | | | | | | | | | | | | |
| **CITY:** |  | | | | | | | **ST:** |  | | | **ZIP:** | |  | | | |
|  | | | | | | | | | | | | | | | | | |
| **► REMIT TO ADDRESS:** | | | | | **Same as Legal Mailing Address** | | | | | | | | | | | | |
| **DBA/Branch/Location:** | | | | |  | | | | | | | | | | | | |
| **ADDRESS:** | | | | |  | | | | | | | | | | | | |
| **ADDRESS LINE 2:** | | | | |  | | | | | | | | | | | | |
| **CITY:** |  | | | | | | | **ST:** |  | | | **ZIP:** | |  | | | |
| **► ENTITY TYPE** | | | | | | | | | | | | | | | | | |
| Individual (not a business) | | | Sole proprietor (individually owned business) or sole proprietor organized as LLC or PLLC | | | Corporation (NOT providing health care, medical or legal services) | | | | Corporation (providing health care, medical or legal services) | | | | | Partnership, LLP or partnership organized as LLC or PLLC | | |
| The US or any of its political subdivisions or instrumentalities | | | | A state, a possession of the US, or any of their political subdivisions or instrumentalities) | | | Tax-exempt organizations under IRC §501 | | | | An international organization or any of its agencies or instrumentalities | | | | | State of Arizona Employee | | |
| **► CERTIFICATION** | | | | | | | | | | | | | | | | | |
| Under penalties of perjury, I certify that:   1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), 2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me I am no longer subject to backup withholding, 3. I am a U.S. person (including a resident alien).   Certification instructions: You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return.  **The Internal Revenue Service does not require your consent to any provision of this document other than the certification required to avoid backup withholding** | | | | | | | | | | | | | | | | | |
| Signature of U.S. Individual | | | | | | | | | | | Date: | | | | | | |

NOTE: *IF BOTH PAGES OF THIS FORM ARE NOT COMPLETED THE FORM WILL BE RETURNED TO YOU*. **Arizona State University (ASU) is fulfilling a mandate associated with state agencies increasing procurements from Arizona Small and Diverse Businesses.**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **RETURN TO ASU** | **ARIZONA STATE UNIVERSITY**  SUBSTITUTE W-9 & VENDOR AUTHORIZATION FORM – Page 2 of 2 | | | | | | | | | | **DO NOT SEND TO IRS** |
|  | | | | | |  | | | | | |
| **► Legal Name:** | | | | | | **TIN:** | | | | | |
| **SECTION 1 - FEDERAL INFORMATION *- REQUIRED*** | | | | | | | | | | | |
| **What is the Federal classification type of your business?** - See definitions on link below. (S.B.A. Small Business definition FAR 19.001 and size standards FAR 19.102) <http://www.sba.gov/size>  **LARGE Business?** YES  NO  **SMALL Business?** YES  NO | | | | | | | | | | | | |
| **Please check all that apply to your business for Federal Supplier Type:** | | | | | | | | | | | | |
| Service Disabled Veteran Owned (VD) | | | | Small Disadvantaged (SD) | | | Women Owned (WO) | | | | | |
| Veteran Owned (VO) | | | | Minority Institution (MI) | | | HUB Zone (HZ) | | | | | |
| **SECTION 2 - STATE OF ARIZONA SMALL BUSINESS INFORMATION *- REQUIRED*** | | | | | | | | | | | |
| **Are you self-certified according to this State of Arizona definition?**  *“100 full-time employees or less* OR *$4 million in volume or less in the last fiscal year”* | | | | | | | | YES | | NO | |
| Per FAR 52.219-1 and under 15 U.S.C. 645(d), any person who misrepresents a firm’s status as a small, HUB Zone small, small disadvantaged, or women-owned small business concern in order to obtain a contract to be awarded under the preference programs established pursuant to section 8(a), 8(d), 9, or 15 of the Small Business Act or any other provision of Federal law that specifically references section 8(d) for a definition of program eligibility, shall be punished by imposition of fine, imprisonment, or both; be subject to administrative remedies, including suspension and debarment; and be ineligible for participation in programs conducted under the authority of the Act. | | | | | | | | | | | |
| Print Name: | |  | | | | | | | | | |
| Signature: | |  | | | | | | | | | |
| **PHONE:** | | | | | | **FAX:** | | | | | |
|  | | |  | | | | | | | | |
| **VENDOR – LIST PRODUCT or SERVICE PROVIDED** | | |  | | | | | | | | |
|  | | | | | | | | | | | |
| **IF BUYER NAME IS LISTED PLEASE RETURN TO BUYER** | | | Buyer: | | Phone: | | | | Fax: | | |

NOTE: *IF BOTH PAGES OF THIS FORM ARE NOT COMPLETED THE FORM WILL BE RETURNED TO YOU*. **Arizona State University (ASU) is fulfilling a mandate associated with state agencies increasing procurements from Arizona Small and Diverse Businesses.**

# APPENDIX 1 - RFP CHECKLIST/COVER PAGE

The following documents are required for this proposal (please mark off each document to acknowledge that you have submitted the document in the proper format):

|  |  |  |
| --- | --- | --- |
|  | **Section 1** | **RFP Checklist/Cover Page, Mandatory Certifications, Sub W-9, Supplier Sustainability Questionnaire per Section XIII** |
|  | **Section 2** | **Attachment A Mandatory Questionnaire** |
|  | **Section 3** | **Detailed response to Section V Scope of Work** |
|  | **Section 4** | **Detailed response to Section VII Proposer Qualifications** |
|  | **Section 5** | **Pricing schedule per Section IX and Attachment B** |
|  | **Section 6** | **Any additional information** |

Any “confidential and/or proprietary” documents **must** be submitted as a separate hard copy and separate CD and labeled per item 10 of the Instructions to Proposers. All other confidential markings will be disregarded as boilerplate.

After carefully reviewing all the terms and conditions, the authorized undersigned agrees to furnish such goods/services in accordance with the specifications/scope of work.

Firm Name By (print & sign) Date

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Phone # Email Address

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