



02/03/12

REQUEST FOR PROPOSAL

**ENTERPRISE RESEARCH ADMINISTRATION PROJECT
RFP NO. 111205**

DUE: 3:00 P.M., MST, 03/06/12

Time and Date of Pre-Proposal Conference	3:00 P.M., MST, 02/13/12
Deadline for Inquiries	3:00 P.M., MST, 02/28/12
Time and Date Set for Closing	3:00 P.M., MST, 03/06/12

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SECTION I – REQUEST FOR PROPOSAL

RFP NO. 111205

Arizona State University is requesting sealed proposals from qualified firms or individuals for Enterprise Research Administration Project.

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., M.S.T., Tuesday, March 6, 2012** 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

Megan Becka
Buyer

MB/kc

SECTION II – PURPOSE OF THE RFP

1. INTENT

The Research Operations team at ASU has defined a set of requirements for the research administration system that is outlined in this document. Our intent is to evaluate the available research administration systems against our requirements and choose the system or systems that can best address our needs. Ideally the ultimate solution will be one system from one vendor but depending on the fit with our requirements we may choose to integrate several solutions. We are interested in evaluating hosted applications as well as in-house applications.

2. BACKGROUND INFORMATION

Arizona State University is seeking a system that integrates the full life cycle of sponsored research administration (excluding project cost tracking and sponsor invoicing).

Research is a core activity of the university. It is part of ASU's mission to increase its competitiveness in research and discovery, continually improve its research and research support infrastructure, meet the demands of increased research growth, and ensure compliance with regulatory agencies. The university currently expends \$276,000,000 in sponsored research activity annually and supports 2,000 active research projects. In anticipation of continued growth, the proposed solution must accommodate a doubling of activity in the next 10 years.

The University seeks a solution that is customizable without requiring extensive programming or code modification. It seeks a comprehensive software and hardware architecture or outsourced solution that minimizes the number of vendors involved.

OBJECTIVES

The new system will replace the existing COEUS application which is used for proposal tracking and award management. It will help automate the manual process of creating and submitting a proposal and converting it into an award. This should result in significantly reduced administrative lead times. The new system should have these major characteristics:

1. Portal-like self service for investigators and support personnel.
2. A totally integrated database such that the same data is rarely (if ever) entered twice.
3. A configurable workflow for task tracking, routing and approval such that remaining tasks are easily identified.
4. Intelligent data checking and automation such that unnecessary data and tasks are not requested.
5. Automated electronic submission of proposals to sponsors.
6. Out of the box functions should support 80% of our business processes and the software should be easily modifiable or able to integrate with custom software to accommodate the other 20%.

The business processes to be automated include:

1. Development of proposals and budgets
2. Review, submission and negotiation of proposals
3. Research integrity and assurance processes (IRB, IACUC, Conflict of Interest, etc)
4. Award acceptance and setup

5. Award management, subaward processing and reporting
6. Interfaces with financial, payroll, and data warehousing systems.

3. TERM OF CONTRACT

The initial term will be a one (1) year period with the possibility of four (4) each successive one (1) year extensions, for a total possible term of five (5) years. The contract will be available for use by other University departments during this time period.

SECTION III – PRE-PROPOSAL CONFERENCE

No pre-proposal conference will be held.

A pre-proposal conference will be held at 3:00 PM MST, Monday 02/13/2012 in Room 310B, Centerpoint, 660 S. Mill Ave, Tempe, AZ.

The entrance to the office is at the corner of 6th Street and Maple Avenue. Parking is available in outside lots or in the Chase Parking Garage.

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. 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.**

2. **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). Visitors may park in the USB Lot 45, located directly behind the building, using the Pay by Space machine, which has a cost of \$1.00 per hour or any portion thereof. 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.

3. Proposals must be submitted as a complete document set as follows:
 - a. One (1) hardcopy clearly marked 'original' in 8.5" x 11" non-binding form. No metal or plastic binding – may use binder, folder, or clip for easy removal of proposal. Sections shall be index tabbed, reference Section X Form of Proposal for more specific instructions.
 - b. One (1) electronic copy on CD in PDF format, PC readable, labeled, and not password protected. **One single** document for main submittal on disk. Any confidential and/or proprietary documents must be on a separate CD and labeled appropriately.
 - c. Proposer must check and play all CDs before submitting. Company marketing materials are not recommended and all photos must be compressed to small size formats.
4. 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).
5. You may withdraw your proposal at any time prior to the time and date set for closing.

6. 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.
7. 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 an award is made, the solicitation file, and the proposals contained therein, are in the public record and will be disclosed upon request.
8. 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.
9. 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.
10. 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.
11. **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.**
12. 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.
13. 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.
14. **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.**

15. 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.
16. 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.
17. 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.
18. 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.**
19. 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.**
20. 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 so state** 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.

21. 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 so state** 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.
22. 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
Purchasing and Business Services
University Services Building
Arizona State University
PO Box 875212
Tempe, AZ 85287-5212

Tel: 480-965-4370
Fax: 480-965-2234
E-mail: 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 seven (7) 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.

23. The University shall not reimburse any proposer the cost of responding to a Request for Proposal.
24. 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.
25. 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.

26. 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.
27. 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 HIPAA, 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.
29. All systems containing sensitive 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, the successful proposer will (or will require the third party host appointee to):
 - i. Complete SAS70 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.
 - ii. 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.
 - iii. 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.
 - iv. 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.
 - v. 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.

- vi. 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).
30. 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:

John F. Riley, C.P.M.
Executive 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.

30. 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](#) 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](#). 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.

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:**
 - TV – Channel 8 and DTV 8.1, 8.2 & 8.3
 - Eight Magazine – 50,000 households each month
 - Web views – www.azpbs.org (100,000 unique visitors a month)
 - E-Marketing – 40,000 email addresses ... and more.

Contact: Morrie Puzzi, Corporate Support Manager at 602-496-8550 or mpuzzi@asu.edu.

SECTION V – SPECIFICATIONS/SCOPE OF WORK

ASU is seeking to replace its existing COEUS application which is used for proposal tracking and award management. The new system should have these major characteristics:

1. Portal-like self service for investigators and support personnel.
2. A totally integrated database such that the same data is rarely (if ever) entered twice.
3. A configurable workflow for task tracking, routing and approval such that remaining tasks are easily identified.
4. Intelligent data checking and automation such that unnecessary data and tasks are not requested.
5. Automated electronic submission of proposals to sponsors.
6. Out of the box functions should support 80% of our business processes and the software should be easily modifiable or able to integrate with custom software to accommodate the other 20%.

The business processes to be automated include:

1. Development of proposals and budgets
2. Review, submission and negotiation of proposals
3. Research integrity and assurance processes (IRB, IACUC, Conflict of Interest, etc)
4. Award acceptance and setup
5. Award management, subaward processing and reporting
6. Interfaces to financial, payroll, and data warehousing systems.

The specific requirements can be found below and they are categorized by:

1. General requirements for all processes
2. Proposal development processes – performed at the unit/department level
3. Proposal review, submission and negotiation – performed by the Office of Research and Sponsored Project Administration
4. Award setup
5. Compliance processes
6. Award Management
7. Subawards
8. Finance Department processes
9. Training
10. Reporting
11. Technical Requirements

Common acronyms used throughout the document are:

ORSPA – Office of Research and Sponsored Project Administration

RA – Research Advancement staff in the units/departments

PI – Principal Investigator

ORIA – Office of Research Integrity and Assurance

F&A – Facilities and Administrative indirect costs

DETAILED REQUIREMENTS

Please review these requirements and respond for each requirement whether your system:

- a) Fully supports the requirement.

- b) Partially supports the requirement or accomplishes the intent but in a different way. Please explain how.
- c) Will support it in a future release, please provide the release number and timeframe.
- d) Could be customized to support it. Please categorize the effort into:
 - i) low (< 1 developer day),
 - ii) medium (2 to 5 developer days) or
 - iii) high (>5 developer days)
- e) Does not support it and it is not feasible to customize a solution.

DETAILED REQUIREMENTS

Number	Requirement
General Requirements For All Processes	
GR01	The system will support multiple simultaneous windows such that one user can work on multiple proposals, awards, or protocols at the same time.
GR02	The system will allow multiple users to edit the same data at the same time and report back if there are conflicting changes.
GR03	The system will support help functions at the field level as well as function level.
GR04	The system will allow the creation of custom forms/screens that can be integrated into the workflow to accommodate unique sponsor forms. The system should at least allow creating these forms from existing database tables and fields, but the ability to add custom fields is ideal.
GR05	The system will prompt for saving forms/screens which have been updated but not saved prior to exiting.
GR06	The system will support searching on major fields and related records. It will include advanced features such as having the ability to search for all proposals/awards/protocols on which an employee is a principal investigator and not a co-investigator.
GR07	The system will make certain fields and tasks required, using configurable rules based on such groupings as sponsor, sponsor type, specific opportunity, etc., and will show which fields or tasks have not yet been completed. Certain fields that are not required for a specific proposal will not be asked for or will be grayed out. The system will provide configurable validation and error checking before a proposal submission, award activation or change request is completed.
GR08	The system will require field data to be entered only once, and will automatically flow it through the system, forms, and tasks wherever that field is referenced. The system will allow modifications to data which will also flow through the system, forms, and tasks.
GR09	The system will support a configurable work flow routing and tracking system with dependent and non-dependent tasks. The system will track who is responsible (individual or group) and the due date for each task, and allow for dependencies on non-concurrent tasks such that new tasks will be opened automatically upon completion of prior dependent tasks. The system will have a list of tasks with groupings such that entire groups of tasks can be assigned to the same individual or all tasks could be assigned separately.
GR10	The system will have task views to segregate sponsor related tasks from internal requirements.
GR11	The system will support the ability to have selectable task templates based

Number	Requirement
	upon sponsor or sponsor type. These templates will automatically create the necessary tasks.
GR12	The system will have the ability to initiate reminder emails to the responsible person or group for a single task, or all late tasks.
GR13	The system will provide a portal view such that a user can see open tasks or change requests for themselves or their group or for one proposal, award, account or protocol. The view should be sortable by due date or by age (current date – date created).
GR14	When viewing an award the system should show the proposal(s) that funded the award and vice versa.
GR15	The system will store contact information for sponsors, employees, users, collaborators, sub recipients, and units.
GR16	The system will allow files to be attached to any form, task, process, award, etc., including appending miscellaneous documents to standard documentation at all points in the process (e.g., contractual notes and files can be attached to a proposal or negotiation task; signed forms, meeting minutes, etc. can be attached to protocols; miscellaneous documents can be attached to a proposal; notice of award can be attached to award).
GR17	The system will have the configurable ability to provide automatic alerts/e-mails to certain user roles and non-system e-mail addresses based on configurable events, statuses, or completion of tasks. Examples include: <ol style="list-style-type: none"> 1) E-mail project team members when accounts are activated or inactivated. 2) E-mail subawards team when budgets with subawards are loaded into the financial system. 3) E-mail effort-q@asu.edu when changes to cost sharing occur. 4) E-mail cashmanagement@asu.edu when a cost sharing companion account is created or revised. 5) An investigator is notified when a compliance application form is approved or denied. 6) Users receive automatic 30- and 60-day notification when periodic/yearly compliance reviews/certifications/training are required. 7) Project team members notified when a proposal is approved by ORSPA before submission. 8) Project team members notified when a proposal is submitted. 9) Project team members are alerted to status changes in a proposal. 10) The system will provide units and PIs email notice when subawards are fully executed.
GR18	The system will have configurable action item templates which can pull data into an email to request missing information from internal users or sponsors or link to approval workflows.
GR19	The system will have comment/note fields on most major tables/screens to accommodate entering notes that don't fit into defined fields. These fields will be searchable.
GR20	The system will have a well-defined and configurable archiving system for all documents and communication logs in the system. It will include appropriate data fields such as date archived, destruction date, file location, etc.
Proposal Development	
PD01	The system will track proposal information in a database that contains data

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	<p>such as:</p> <ol style="list-style-type: none"> 1) Proposal information – title, sponsor, sponsor principal investigator, ASU principal investigator (defaults to sponsor PI), opportunity data. 2) Dates – Date due to ORSPA office, proposal deadline, requested start and end dates, date submitted. 3) Proposal Type –New, Competing Continuation/Renewal, Non-competing Continuation/Renewal, Supplement, Pre-proposal, Revision, Limited Submission, Internal Grant, Void, Pre-proposal: Limited Submission. 4) Status – Pending, Denied, Funded or Withdrawn. 5) Proposal documents – sponsor specific forms, abstract, technical narrative, references, management plan, budget (see detailed requirements), budget justification, letters of support, subrecipient documents, resources and equipment, memoranda of understanding, IRB/IACUC plans, project summary or narrative, vertebrate animal use, preliminary studies, background and significance, white paper. All of these documents need to be specifically called out so that they can be updated to the sponsor in the correct section of the application. 6) Sponsors – type, address, hierarchy, contact information. 7) Investigators – name, address, department, division, phone, email, fax, biosketches, current and pending support, curriculum vitas. Investigators can be employees as well as non-employees. 8) Budgets – see budget requirements detail. 9) Site locations. 10) F&A Waiver data. 11) Cost Sharing data.
PD02	<p>The system will provide at least four ways to start a new proposal.</p> <ol style="list-style-type: none"> 1) Automatically by a PI or RA from an identified opportunity filling in as much information as possible, with the option to refresh information from the opportunity should it change. 2) Manually by a PI. 3) Manually by a Research Advancement staff member. 4) Copied from another proposal excluding some information based upon configurable business rules.
PD03	<p>The system will have the ability to import funding opportunities (funding.asu.edu, Community of Science, Grants.gov, etc.), facilities descriptions, curriculum vitas, and current and pending proposal and award amounts.</p>
PD04	<p>The system will provide and/or support sponsor-specific data forms that will only be required for certain sponsors or sponsor types. If the form is derived from database data, the system will export the forms into the proper format upon submission. If the form is an attachment, the system will audit the form for proper sponsor formatting requirements (e.g., fonts, length, PDF, Word, etc.) as it is attached. Examples include:</p> <ol style="list-style-type: none"> 1) NIH SF424. 2) NSF/NIH Current and Pending Support form. 3) Person months of effort. 4) Total Awards (NSF). 5) Total Direct Costs for current project year (NIH).

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	6) NIH PHS 398 Cover Page Supplement. 7) NIH 398 Research Plan.
PD05	The system will allow a PI to set up a list of favorite collaborators and their roles which can be pulled into the database. Or the system can collect a list of recently used collaborators and their roles.
PD06	The system will track a list of proposal development tasks that will at least include the following tasks and completion of the following documents: <ol style="list-style-type: none"> 1) Identify internal (ASU) team members - may include, but is not limited to: PI's and co-investigators, technical staff, students, administrative and support staff. <ol style="list-style-type: none"> a) An employee can be marked as an intra-university consultant; b) Intra-university consulting pay will require a separate routing process with a workflow of approvals 2) Determine recognition percents by investigator and unit. 3) Identify external (non-ASU) team members - may include, but not be limited to: co-investigators, consultants, subaward contacts and administrative personnel. If a consultant has already been identified, a letter of collaboration should be included that documents their role on the project as well as their hourly rate. 4) Filling out sponsor-specific forms. 5) Abstract. 6) Technical narrative/ research design. 7) References. 8) Management plan. 9) Budget. 10) Budget justification. 11) Letters of support. 12) Receiving subrecipient documents: <ol style="list-style-type: none"> a) Detailed budget and budget justification. b) Scope of work. c) Letter of support/collaboration. d) Any other sponsor required forms, such as current and pending support, biosketch, etc. e) Subrecipient Commitment Form. 13) Resources and equipment. 14) Memoranda of understanding. 15) IRB/IACUC plans. 16) Project summary or narrative. 17) Curriculum Vitae/biosketch. 18) Current and pending. 19) Vertebrate animal use. 20) Preliminary studies. 21) Background and significance. 22) White paper. 23) Sponsor-specific requirements such as number of copies, CD submittal or specific electronic file. 24) Special reviews: <ol style="list-style-type: none"> a) Cost Accounting Standard exceptions. b) Working with Native Americans.

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	<p>c) Certify Conflict of Interest. d) Intellectual property. e) All compliance reviews – laboratory animals, human subjects, radiation safety, participation by foreign nationals, publication restrictions, scientific diving, biological materials, lab bio safety level and hazards).</p> <p>25) Routing the entire proposal for approvals. All workflows will be routed in the following order: PI and all co-PIs sign first, then department chairs followed by deans. All PI and co-PI signatures must be obtained prior to routing for department chair and/or center director signatures. Once all department chairs and center directors have signed, the forms must then be signed by all required deans.</p>
PD07	The system will provide an override so that the proposal can be submitted and approvals obtained after the fact.
PD08	There will be a status associated with the proposal such that the PI or Unit can make changes to the proposal up to a point where it is turned over to ORSPA at which time they will be locked out from making changes.
PD09	The system will have the ability to generate electronic copies of proposals in PDF or Word format by combining all data and documents into one document.
PD10	The system will optionally import proposal subrecipient information for subawards electronically from Adobe files in grants.gov format, Excel spreadsheets or an e-portal.
Proposal Development - Budgeting	
BUD01	The system will allow budgets to be produced via a configurable matrix that encompasses the following: budget periods as columns; rows of individual people or groups of people; rows of direct costs entered as detailed lines with groupings; direct cost F&A base subtotal; direct cost non F&A subtotal; F&A or indirect costs automatically calculated; total.
BUD02	The system will allow budget periods to be configurable as either the entire project period or broken down by months or years or manually specified periods. The system should be able to show the detailed periods as columns to the right and/or the total budget.
BUD03	The system will provide the option to break a budget period into smaller periods using simple formulas if it is initially set to the entire period of performance (e.g., if the project is year-long and is budgeted as totals for that year, there should be a one-step process to create 12 monthly periods as 1/12 each).
BUD04	The system will provide a cross-reference table to define the University's fiscal year such that budgets can be displayed in a fiscal year format, if desired.
BUD05	The system will allow budget periods to be convertible into government fiscal year or calendar year.
BUD06	The system's employee budget section will have the ability to either pull employees, their salaries, roles and fringe rates individually and list them from the payroll system or manually enter detail or summary (such as 5 student workers). Even if the data is pulled automatically it should be overrideable and/or resettable to the automatic amount.
BUD07	The system will allow for optional inflation escalation by year.

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BUD08	A percent effort should be entered for each budget period with options to default the same effort to each period. The system will be able to convert the percent effort to academic or summer months of effort for viewing/reporting purposes.
BUD09	The fringe rates used will be initially set by type of employee and overrideable by individual. The system will provide an additional fringe rate field for tuition remission which should be optionally excludable from the F&A base. Tuition remission will be calculated either as a rate or as a fixed amount per academic or summer month.
BUD10	The system will have a defined process to handle salary caps such as the NIH cap. It will show the actual fiscal year salary and the capped salary and use the capped salary for the budget. Please define your process of handling salary caps.
BUD11	The system will prompt non-employee direct costs to be entered as detailed line items such as "microscope" with defined groupings such as "Materials and Supplies", "Capital Equipment", "Travel", "Subawards", etc. The grouping field should be associated as either included in the F&A base or not, based upon the sponsor setup. If the detail is left blank, the grouping title will be used instead.
BUD12	The system will allow entry of budget justification by line item, and then combine the detail into a total budget justification report.
BUD13	The system will allow F&A rates and cost groupings for which F&A is applied to be set by templates, by sponsor, and activity type, and will also be overrideable. Options will exist to handle most types of sponsors (e.g., the Gates Foundation limits F&A on subawards to \$5,000). An option will exist for F&A rates to escalate by year.
BUD14	The system will have an F&A rate (indirect costs) waiver process when a non-standard F&A rate is requested. This process should allow for a workflow of approvals and capture data such as the requested rate and a justification.
BUD15	The system will provide the option of task-based budgeting, required for some complex projects. Each task budget will be required to have a task number or identifier and will roll up into the project budget.
BUD16	The system will create subaward budgets separately for each subrecipient and "linked" to the correct line item. If the subrecipient uses standard subaward budgeting software the data will be importable electronically. The system will also provide a standard, customizable excel budget template that can be sent to subrecipients for completion; once it is returned, the system will import the completed information. The system will allow subaward budgets to be prepared according to the standard or task-based budgeting options.
BUD17	The system will support budgeting the various types of cost sharing and provide a field to capture the financial account number which will capture the cost sharing expenditures. Please describe how your system handles cost sharing.
BUD18	The system will be able to flag/highlight Cost Accounting Standards exception expense items in a budget, with the ability to notify appropriate team members that additional justification will be needed. The system will be able to incorporate a customizable hyperlink to ASU's Cost Accounting

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	Standards webpage into the flag/notification.
Review, Submit, Negotiate Process	
RSM01	The proposal workflow should allow for submission to ORSPA for review prior to sponsor submission. If problems are found, the proposal should be routed back to the project team with a standard reason why it is being returned.
RSM02	The system will validate the proposal package against sponsor requirements prior to submission and report back any errors.
RSM03	The system will validate the format of the attachments and convert to PDF format when necessary.
RSM04	The system will be able to export completed submission to FastLane, Grants.gov, NSPIRES, G5, etc.
RSM05	The system will report results of system-to-system transmissions.
RSM06	The system will allow manual entry of sponsor-assigned tracking numbers and other data fields when system-to-system transmission is not used. The tracking number field will be searchable.
RSM07	The system will monitor the proposal status for updates from the sponsor, if possible.
RSM08	The system will maintain proposal process outcomes (funded, withdrawn or voided, denied) and will allow outcomes to be changed while keeping a history of those changes.
RSM09	The system will have proposal contract tasks where appropriate. When a contract proposal status is changed to "Funded", it will generate a task for contract negotiation. The system will track negotiation status for contracts with "waiting on PI," "waiting on ORSPA," or "waiting on sponsor."
RSM10	The system will flag open contract type proposals that have not been touched in 14 days.
RSM11	The system will have the ability to track non-monetary agreements (non disclosure agreements, material transfer agreements, memorandums of understanding, etc.) as agreements which do not generate data to the financial interfaces.
RSM12	The system will provide a field on the sponsor form to indicate whether there is an e-business portal for proposal submissions (e.g., SRC online portal).
Setup Award	
SA01	The system will have the ability to set up an award into a multi-level hierarchy of parent award and financial accounts, including cost share companion accounts, based on business rules and the award details. It should include the ability to specify an account as a holding account only with no spending against it.
SA02	The system should be able to group awards from multiple sponsors into a project or initiative.
SA03	The system will pull forward all proposal information and budget detail from the proposal to the award without rekeying and then allow it to be changed if necessary.
SA04	The system will allow for proposal budget detail by financial system codes according to the ASU Chart of Accounts. The system will allow specification as to which codes are allowable for each individual account.
SA05	When a new account is created and the budget distributed to it, the budget

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	should be sent to the financial system through an interface.
SA06	The system will transfer budget changes on existing accounts to the financial system.
SA07	The system's award/account hierarchy should have the option to create multiple accounts per funding year or have one account represent multiple years.
SA08	The system should have a mechanism for handling consortiums by using management and administration accounts and supporting multiple sponsors.
SA09	The system will not allow subawards to be set up for a start date prior to the parent start date nor an end date after the parent end date. Unlike COEUS where subawards can be set up incorrectly independent of the parent, the budget amount of a subaward must be distributed from a parent award so that there can be no conflicting budget amounts.
SA10	The system will have selectable standard term and conditions that default by sponsor or sponsor type as well as unique terms and conditions. These will include things such as reporting requirements, carry over allowance, re-budgeting allowance, no cost extension allowance, etc.
SA11	The system will have the ability to check whether personnel on research recognition allocations and indicated as collaborators are still current employees. If they are not current employees it should retain the history but require changes before activation.
SA12	The system will be able to carry reporting requirements to any level child account under a holding account. It will optionally allow copying the requirements to any level account.
SA13	The system will have a spending hold status at the parent level and/or any child account which can be sent to the financial interface to stop spending on an account.
Compliance Processes	
General compliance requirements for all processes and committees	
COMP01	The system will have a Web Portal which integrates all electronic forms/protocols required by the Office of Research Integrity and Assurance into one place, such that an investigator can easily determine which forms are required, self complete, and then check on the status. Application/form types supported: <ol style="list-style-type: none"> 1) Conflict of Interest. 2) Human Subjects. 3) Institutional Animal Care and Use Committee (IACUC). 4) Biosafety. 5) Scientific Diving. 6) Export controls. 7) Responsible Conduct in Research.
COMP02	The system will automatically send users to the appropriate forms, prompt for missing information, provide help text and web links to answer reviewers' questions, and ensure completeness and accuracy with system-generated error checking.
COMP03	All forms should be connected to database tables and the data stored for use by subsequent processes.
COMP04	The system will have the ability to set up a committee.

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COMP05	The system will be able to route incoming protocol forms to appropriate individuals or the entire committee for review.
COMP06	The system will document the review process and the outcomes and notify the PI and Co-PIs by email of the outcome.
COMP07	The system will track training requirements on a protocol basis and will provide customizable alerts when re-training is required.
COMP08	The system will be able to generate meeting agendas based upon scheduled reviews.
COMP09	The system will optionally prevent activations until all necessary protocol actions are approved. It will also provide the ability to see all protocols associated with an award or all awards associated with a protocol. It will be interfaced with the awards workflow.
COMP10	The system will track noncompliance events, deviations and reporting.
COMP11	The system will track adverse event reporting.
COMP12	The system will have the ability to distinguish between confidential and non-confidential information, and will allow varying degrees of access based on defined user roles (e.g., IRB members will have access to confidential information).
COMP13	The system will have the ability to keep sequences/versions of a protocol as changes are made to it or to correct typing errors without calling it an administrative correction.
COMP14	The system will alert the Office of Research Integrity and Assurance when special review flags are set during proposal development.
COMP15	The system will track associated protocols when new ones replace expired ones.
COMP16	The system will have the ability to set annual review dates, notify investigators when the renewal materials are required and generate a report of these notifications.
COMP17	The system will notify the PI when a protocol is terminated;
IRB Unique Requirements	
IRB01	The system will provide electronic forms that will be entered directly into a database. The Institutional Review Board requires three types of forms: Social/Behavioral, Bioscience, and Exempt Research. The fields will include, at a minimum: protocol number; title; status; investigators; department; sponsor; funding method; type; area of research; actions; notes; special reviews; dates; amendments and renewals; and vulnerable subject populations.
IACUC Unique Requirements	
IA01	The system will allow the Committee Reviewer user role to track the status of the protocol review.
IA02	The system will track authorized animal users and training status by investigator.
IA03	The system will track laboratory locations and auditing data for periodic audits.
IA04	The system will track animal data by protocol and location: common name; species; pain level; original count; and current count.
IA05	The system will track: locations; maximum length of stay; transportation method; purpose; and whether location is a vivarium or not.

Number	Requirement
IA06	The system will track training Level III: who took it; type; date trained; species.
IA07	The system will track training Level I and II: who took it; type; date trained; species; whether the Health Surveillance Questionnaire was taken/status; certification date; whether certification sent or not; comments; and comment dates.
BIOSAFETY Unique Requirements	
BIO01	The system will track biosafety requirements by: protocol number; biosafety level; materials; LSCL (large scale classification level); whether Recombinant DNA is used; and NIH Section type.
BIO02	The system will have the ability for some protocols to be approved by the chairperson and some by the whole committee.
BIO03	The system will track biosafety relationship to other protocols including IACUC, IRB, and Material Transfer Agreements.
BIO04	The system will track locations used for inspections.
Export and Security Unique Requirements	
EXP01	The system will support the decision procedure for determination of export license requirements.
EXP02	The system will track the following for security and export controls: PI; investigators; sponsors; ITAR reference; ECCN Number; Country; type of control – travel, MTA #, nondisclosure agreements, foreign national information, research area type, I-129, contract review, shipment, technology control plan, and/or publication waiver.
EXP03	The system will track the following for Material Transfer Agreements: investigator, material, associated protocols, supplier or customer, export review required or not, EH&S review or not, incoming or outgoing, approval status, associated protocols, document attachments. It will be interfaced with the awards workflow.
Conflict of Interest Unique Requirements	
COI01	The system will provide an online "Conflict of Interest" questionnaire and disclosure with responses captured in a tracking database.
COI02	The system will provide conflict certifications for Faculty/Staff/Students.
COI03	The system will track submission of Part I and Part II disclosures, including amendments and updates.
COI04	The system will track disclosures, their review, and the respective decisions.
COI05	The system will track the list of financial entities with which there are conflicts. It will use the same id that is used for sponsors and subrecipients.
COI06	The system will have the ability to create and maintain management plans.
COI07	The system's conflict of interest process will have full integration with proposal and awards processes. The system will automatically check for conflicts of interest with the sponsor, vendor, or co-PIs and will automatically notify designated user groups (e.g., ORIA and ORSPA) OR when proposals/awards are being entered if a questionnaire has not been completed (in which case the system will prevent proposal submission/award setup) OR when conflict entities are being added.
COI08	The system will search all proposals, awards, and subawards when a new conflict of interest is identified, and will report identified relationships.
Award Management Processes	

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AM01	<p>The system will support a process for unit personnel and PIs to submit change requests to an award. Examples of change requests are:</p> <ol style="list-style-type: none"> 1) Re-budget requests 2) Change of PI 3) No cost extension 4) Change in key personnel 5) Requesting pre award funding 6) Purchasing overrides 7) Etc <p>There should be standard change requests that can be selected with fields to enter standard data and also free form requests. All change requests should require a justification.</p>
AM02	<p>The change request process should be integrated with the workflow routing and approval process. The change request processor will have the option to approve, deny or request additional information for that change and to generate tasks associated with it. The system will allow changes to these requests and will keep a history of the original request. Once completed or denied, the requestor will be notified via email.</p>
AM03	<p>The system will provide routine task workflows for managing awards that are not initiated by a change request and that include at least the following:</p> <ol style="list-style-type: none"> 1) Creating progress reports and reporting them to the sponsor 2) Creating technical reports and reporting them to the sponsor 3) Processing cash advances 4) Creating invoices and obtaining internal approvals 5) Creating financial reports and obtaining internal approvals
AM04	<p>The system will have the ability to keep sequences/versions of an award as changes are made to it or to correct typing errors without calling it an administrative correction.</p>
AM05	<p>The system will process electronic re-budget requests upon appropriate approval (ASU or sponsor) and will feed budget changes to ASU's financial system.</p>
AM06	<p>The system will keep audit trails for project changes made under expanded authorities' request and approval process.</p>
AM07	<p>The system will allow PI's to submit items such as progress or technical reports to a sponsor by electronic submission or email and will save a frozen version of the copy submitted.</p>
AM08	<p>The system will assign progress and technical reports (or any other report the PI needs to complete) to the PI/RA (or RA group). Prior to the due date (< 90 days) an alert will be sent to PI/RA about the upcoming due date. Notifications will be sent for late progress and technical reports.</p>
AM09	<p>The system will route invoices from subrecipients for necessary approvals.</p>
Award Management – Closeout Requirements	
CL01	<p>The system will provide a closeout task workflow that encompasses the following:</p> <ol style="list-style-type: none"> 1) 30 days before the grant end date, email the PI & ORSPA team notifying them that the account will close unless it is extended and ask whether the account will be extended; 2) Provide workflow to extend the grant if desired; 3) If the grant is not being extended, process the following tasks:

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	<p>a) The day after the end date, via the financial interface, set the account status to "terminated" so that no more financial transactions can be received.</p> <p>b) Assign task to PI to issue reports to Sponsor.</p> <p>c) Assign task to ORSPA to reconcile expenditures.</p> <p>d) Assign task to ORSPA to issue final invoice.</p>
CL02	The system will provide a detailed budget review task for PI/Unit approval along with a due date by which final expenses/reconciliations must occur based upon the due date of the final invoice and/or report to the sponsor;
CL03	The system's interface to the financial system (Advantage) will automatically inactivate the account a configurable number of days after the end date, unless the award is in the process of being extended.
CL04	The system will allow reactivation of accounts, such as in the event of an extension or correction.
Subawards	
SC01	The system will maintain a database of research-specific information about vendors that serve as subrecipients, such as name, addresses (for billing, A-133 contact), contacts, and applicable F&A rate.
SC02	The system will automate yearly requests for A-133 audit reports from subrecipients, and track subrecipient responses.
SC03	The system will document subrecipient A-133 audit findings determined from review of A-133 audit responses, such as type and number of findings.
SC04	The system will check for audit findings for subrecipient prior to allowing subaward execution and activation.
SC05	The system will track subaward invoicing and accounting comments, including processing approval task workflows. It will track the obligated dollar amount "released" to the purchase order and also track the invoice amounts approved for payment by the financial system.
SC06	The system will have a field to capture the level of risk assessment associated with the subaward and subrecipient - low, medium, high, etc.
SC07	The system will link the type of subaward task created (e.g., New Subaward, Subaward Modification, Closeout of Subaward) to distinct tasks and distinct documents required for the type of subaward task.
SC08	The system will track when certain required documents (e.g., Subrecipient Commitment Form, Statement of Work, Budget, Budget Justification) are received.
SC09	The system will track when certain required tasks for processing of a subaward/subaward modification/subaward closeout have occurred (e.g., receipt of PI approval, receipt of subrecipient signature on agreement).
Research Finance Department Requirements	
FIN01	There must be a dual recognition methodology where an investigator's sponsored project recognition percent on a proposal or award is assigned to a department/unit and optionally also to a center/institute. The splits should default for future fiscal years but be changeable by year. Recognition for an award must sum to 100% and there must always be a unit. The unit and center should default from the employee table. Ideally this system will be flexible and customizable such that ASU can add other recognition types.
FIN02	When entering investigator research recognition, there should also be 2

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	more columns labeled RID and IIA. Each column must sum to 100%. RID is Research Incentive Distribution and allocates a portion of F&A funds received back to the unit but this is done in our financial system (see interface document). IIA is Investigator Incentive Award and is a portion of F&A received which goes to the investigator (also done in financial system).
FIN03	The unit/department screens and tables must be customizable for ASU to have at least 30 fields which will be used either in the interface to our financial system or for custom reporting. These fields should have related code tables that limit entry to a list of values and also have the description of the code.
FIN04	The system should have a unit/department hierarchy that groups departments into colleges and institutes. It should be flexible to allow multiple reporting levels.
Training Requirements	
TR01	The vendor will supply, at a minimum, comprehensive written instructional materials which can be used for training purposes. Optimally, online training modules will be provided. Materials should be in a format that can be modified so the user can adapt to any institution-specific modifications.
TR02	The vendor will provide contact information for a suitable (ideally, peer level) user institution that can be visited/queried about their implementation process, experience and best practices and that can serve as a mentor/partner during our implementation process.
TR03	The vendor will provide a user group distribution list/shared workspace/FAQ where updates/troubleshooting information can be readily disseminated and integrated into user's instruction materials.
TR04	Significant changes to the system will be integrated into the vendor's instructional materials and those updated materials will be provided to the user.
TR05	The vendor will provide onsite "train the trainer" session(s) before rollout is launched.
TR06	The vendor will provide onsite, hands-on training for key end users in reasonable class sizes.
Computerized Report Requirements	
R01	The system will provide an online query tool for simple queries such as: find all proposals for a sponsor; for a PI; in a certain status, etc.
R02	The vendor will provide samples of all standard reports. There should be a method for creating customized reports against real-time data and also against a data warehouse or copy of the real-time database.
R03	The system will track the workflow timestamps and allow reporting of average time to complete workflows and provide reports on single workflows (e.g., time to gather institutional approvals, time to activate accounts). Capability to report by PI, department, and RA the average amount of time it took to submit each specific required piece of documentation (e.g., Subrecipient Commitment Form, Statement of Work, Budget, Budget Justification).
R04	The system will have the reporting capability to capture/report key performance characteristics of the organization. This will include, at a minimum, the number of proposals, awards, subawards fully executed,

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	modified or closed out by certain major fields such as PI, unit, sponsor, subrecipient during a particular time period (i.e. monthly/yearly), and will include some detail data elements (i.e. proposal number, award number, subaward number; account number).
R05	<p>The system will have customizable reports and charts/graphs that are sortable by every field. Examples include:</p> <ol style="list-style-type: none"> 1) A list of awards in closeout status sorted by ascending end date. 2) Graph number of awards 30/60/90/120 or > days past end date. 3) Report the amount of time for a subawards task spent from pending subrecipient signature to receipt of fully executed agreement. 4) Calculate average time of negotiation for a certain time period (monthly). 5) List unsubmitted proposals by ascending due date and graph the number of proposals by due date so that work load capacity can be forecasted.
R06	The system will support monthly FFATA (Federal Funding Accountability and Transparency Act) reporting process (may be a field designating Yes or No as to whether a subaward should be included in monthly FFATA reporting).
Technical Requirements	
Tech01	ASU prefers a totally outsourced system where ASU does not have to support the hardware or application software except for customizations and interfaces. A secure environment with reliable backup and disaster recovery capabilities must exist and ASU would like to have the ability to access the database directly or via suitable API for reporting, integration, and research analysis purposes. The vendor will explain the technical architecture of proposed hosted solutions to include: Shared resources with other clients; Client/environment security measures; Disaster Recovery and/or High availability solutions; Database accessibility; Performance monitoring and problem management procedure; Change Control and maintenance procedures.
Tech02	ASU prefers that the underlying database be Microsoft SQL Server or Oracle, configured for redundancy, high availability and quick response time. Vendor will explain database configuration.
Tech03	The system will be able to run within the university's enterprise computing environments (XEN VM - Windows/Linux OS, Apache/Tomcat web host) if not hosted.
Tech04	The system's user interface will be web based and support CAS single sign-on authentication. All major client platforms and browsers to be supported.
Tech05	The system will support APIs or another method to allow controlled customization.
Tech06	The system's security access to screens, fields and update capability will be established by role and/or individual user integrated with ASU's single sign-on authentication.
Tech07	The system will have a communication log and workflow associated with a proposal, award, or protocol which will be integrated with the ASU Exchange email system. It will allow sending to individuals and distribution lists. If an email is initiated by an individual, the reply to address will be coded to that individual so that they will receive out of office messages, errors, etc. The system will record and track sent email communications (e.g., the system will be able to email proposals and supplemental material to sponsors).

Number	Requirement
Tech08	The system will include in-depth technical documentation including installation manuals, configuration guides, technical architecture and system flow charts for batch processes.
Tech09	The system will include in-depth user documentation including a system overview, overviews by module, and in depth screen / program documentation that explains how individual fields are to be used and how they affect program logic.
Tech10	Single table transactions (adding or updating one proposal, one award) should take less than one second to process.
Tech11	The vendor will ensure that a database Schematic/ERD and data dictionary are available and well documented in order for ASU to export all data to a data warehouse for business intelligence and reporting.
Tech12	The system should have conversion routines to load data from ASU's existing system – a highly customized COEUS version 4.2.4.0 – as well as from other data sources. The vendor will explain their conversion methodology and how they will handle custom fields.
Tech13	The system supports at least 100 concurrent users and will be scalable.
Tech14	The system supports SSL data encryption.
Tech15	The system allows multiple encryption standards to support international users.
Tech16	The system supports LDAP integration.
Tech17	The vendor will provide vendor support SLA description. ASU seeks 24x7 technical support availability within 2 hour response for critical issues.
Tech18	The vendor will describe the availability of load testing tools used to assure application readiness for client usage.
Tech19	ASU desires a vendor-provisioned, searchable online database of reported problems and fixes.
Tech20	ASU desires vendor-provisioned, aggregated bundles of updates, patches, and service packs to simplify maintenance.
Tech21	ASU desires that vendor-provided application release and version upgrades can be applied selectively by module.
Tech22	ASU desires vendor provisioning of upgrade paths that will enable the University to choose to skip release and version upgrades.
Tech23	Desire vendor provisioning of application performance management tools, tuning tools and diagnostic tools.
Tech24	ASU desires vendor provisioning of test scripts to certify proper product installation.
Tech25	ASU desires vendor provisioning of demo environment with sample data for training. If the application is hosted, then describe availability of additional environments for Dev/QA/Reporting purposes.
Tech26	The system will interface with PeopleSoft 9.X HCM system to obtain employee information. ASU currently exports employee information from Peoplesoft to COEUS via flat files. Vendor will describe how their system can integrate employee data.
Tech27	The system will interface with ASU's financial system. The vendor will describe standard financial system integrations already supported as well as the process to include additional functionality. Following are financial system integrations in place that will be required to be immediately

Number	Requirement
	adaptable to the new system upon installation. Existing financial general ledger integrations: 1) Account setup data - the *GDES/ORG2 table with account data, 2) Sponsor data - the *GTOR table, 3) Fund agency data - the *FAGY table, 4) Research incentive distribution data - RIDT table.
Tech28	The vendor will describe any other system interfaces that are readily available.
Tech29	The system will track change history, showing who made the change and when.

Services to be provided by Vendor

- Provide system consultants for installation, technical configuration and application use configuration.
- Provide technical advisors for integration with ASU’s single sign on product and email system.
- Provide consulting help with interface design and programming.
- Training:
 - Provide on-site, hands-on, training for key end-users in reasonable class sizes
 - Provide on-site “train the trainer” sessions
- Legacy data conversion: provide consulting help to bring forward data from the current system of record (Coeus) into the proposed system.

Value Add: Include any special resources, skills or services which can be provided by the firm in addition to the required scope.

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 provide packaging/packing materials that 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

This information will be used as part of the evaluation criteria for Supplier/Proposer Sustainability efforts for the RFP process.

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.

- 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.
- Provide complete contact information of at least **three** Universities/Colleges currently using the proposed system. References **must** include the account company name, contact name, position or title, telephone number, fax number, and the email or internet address of the contact person.
- The proposer **must** provide a management summary which includes the names, resumes and technical or business qualifications of personnel, including principals, who will be involved in fulfilling any portion of this agreement
- A dedicated principle point of contact **must** be assigned to ASU for the term of the contract.

SECTION VIII – EVALUATION CRITERIA

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

1. Ability to Meet Requirement Specifications: Please review the requirements and respond for each requirement whether your system:
 - a. Fully supports the requirement (we will arrange demonstrations to verify this).
 - b. Partially supports the requirement or accomplishes the intent but in a different way. Please explain how.
 - c. Will support it in a future release, please provide the release number and timeframe.
 - d. Could be customized to support it. Please categorize the effort into:
 1. low (< 1 developer day),
 2. medium (2 to 5 developer days) or
 3. high (>5 developer days)
 - e. Does not support it and it is not feasible to customize a solution.
2. Demonstration of how the software works and how it supports ASU's requirements.
3. Ability of the professional services team and their direct experience with similar system implementations in terms of institution size, number of users and system interfaces. This includes the ability to demonstrate access to technical experts with extensive and direct product knowledge.
4. Project Cost: Provide total detailed cost to purchase, implement and maintain the application system. Include hourly consulting cost rates for custom programming and interface design.
5. Timeline: Provide a timeline for implementation and a proposed method of accomplishing the work outlined in the Scope of Work.
6. Supplier Sustainability Questionnaire, Section XIII.
7. Value Add: Include any special resources, skills or services which can be provided by the firm in addition to the required scope.

SECTION IX – PRICING SCHEDULE

The objective of the cost proposal is to enable the University to evaluate the overall cost of ownership of the proposed solution over a 5-year period. As outlined below, the overall cost of ownership includes the following items:

Include:

- Complete, detailed pricing schedule broken down by the categories listed below. Add additional categories for costs that cannot be appropriately included in the categories provided. All costs must be identified in this document.
- Use **Cost Summary Form – Attachment A** to present the sub-total amounts in each category for 5 years.

Pricing schedule categories:

- Base system
- Additional modules (if applicable)
- Licensing requirements
- Standard supplied Interface options
- Estimated implementation costs without custom programming
- Training costs
- Annual maintenance fees
- Other
- Separately list cost per hour of custom design and programming services. ASU will determine customization after a system is selected.

All pricing shall include all applicable taxes and shipping fees as a separate line item.

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. Submittal shall be in order as listed below and index tabbed to match. No metal or plastic binding – may use binder, folder, or clip for easy removal of proposal.
- **One (1)** additional electronic copy (CD, FLASH Drive, etc.), PC readable, labeled, no passwords, and **less than 10 MB**. **One single** document for main submittal on disk. Any confidential and/or proprietary documents must be on a separate CD and labeled appropriately.
- Check and play all CDs before submitting. Company marketing materials are not recommended; compress photos or other similar document types into smaller size formats as necessary.

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. Response to Section V, Scope of Work
2. Total Cost of Ownership, Section IX
3. Response to Section VII, Proposer Qualifications
 - A. Quality of references.
 - B. Level of satisfaction of clients
 - C. Demonstrated successful past implementation
4. Exceptions to Terms and Conditions
5. Value Add: Special resources, skills or services which can be provided by the firm irrespective as to whether addressed as part of this RFP.
6. Supplier Sustainability Questionnaire
7. Confidential and/or Proprietary Information **must** be submitting per the instructions in Section IV, item 10. Any watermarks, footnotes or reference to Confidential and/or Proprietary throughout the submitted proposal will be disregarded as boilerplate markings.

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 Proposer 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 Proposer, 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 Proposer, or any agent or representative of the Proposer, 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 Proposer 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 Proposer without the written permission of the University. Any

attempted assignment or delegation by Proposer 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 Proposer shall fail to maintain or keep in force any of the terms and conditions of this Agreement, the University may notify the Proposer in writing of such failure and demand that the same be remedied within 10 days. Should the Proposer 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 Proposer 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 Proposer 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 Proposer 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 anytime 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.** Proposer 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 Proposer 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 Proposer 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 Proposer.
19. **INSOLVENCY.** The University shall have the right to terminate this Agreement at any time in the event Proposer files a petition in bankruptcy, or is adjudicated bankrupt; or if a petition in bankruptcy is filed against Proposer and not discharged within thirty (30) days; or if Proposer 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 Proposer or its business.
20. **ADVERTISING.** Proposer agrees that it will not use Arizona State University or any of its names or trademarks in any Proposer 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 Proposer shall obtain all parking permits and/or decals required while performing work on University premises. The Proposer should contact the Parking and Transit Department, Administration Division at 480-965-6406.

- 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. SUSTAINABILITY REQUIREMENTS. Arizona State University is dedicated to acquiring products and services that meet Sustainability requirements.** Indicate any business practices or technology that meets the following criteria.

For the purpose of judging Sustainability the following description applies: A process of current or developing business practices and technologies that restore and enhance the environment by supplying products and services that have a lesser or reduced effect on human health and the environment when compared with competing products or services that serve the same purpose. This comparison may consider raw materials acquisition, production, manufacturing, packaging, distribution, reuse, operation, maintenance or disposal of the product or service.

- 27. PAYMENT CARD INDUSTRY DATA SECURITY STANDARD.** For e-commerce business and/or credit card transactions, Proposer 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.

Proposer 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.

- 28. 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.

- 29. 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>.
- 30. 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.

SPECIAL TERMS AND CONDITIONS

- 31. E-COMMERCE.** Arizona State University has adopted a Visa Card from JP Morgan Chase Bank as its Purchasing Card. The University is very interested in adopting electronic methods of ordering from suppliers and in making associated payments with its Purchasing Card. If your firm has an electronic method of ordering, please describe it. These electronic methods of ordering could range from your firm distributing a paper catalog and accepting fax orders, to your firm has a Web site in which users can configure and order products. Please also advise if your firm can accept payment with a Visa Card.
- 32. PROPOSER TO PACKAGE GOODS.** Proposer will package goods in accordance with good commercial practice. Each shipping container shall be clearly and permanently marked with the following: (a) Proposer'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. Proposer shall bear cost of packaging unless specifically otherwise provided.
- 33. SHIPMENT UNDER RESERVATION PROHIBITED.** Proposer 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.
- 34. 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.
- 35. RIGHT OF INSPECTION.** The University shall have the right to inspect the goods at delivery before accepting them.

- 36. WARRANTIES.** In addition to any implied warranties, Proposer 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 Proposer. In the event of a conflict between the specifications, drawings, and descriptions, the specifications shall govern.
- 37. COPYRIGHT OWNERSHIP.** Proposer'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, Proposer 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 Proposer's behalf the Proposer'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 of the Work, in any medium, for university purposes.

Proposer 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.

- 38. INSURANCE REQUIREMENTS.** Without limiting any liabilities or any other obligation of the Proposer, the Proposer 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.

- A. 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

- a. 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”.**
- b. 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. **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

- a. 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”.**
- b. 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.

3. **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

- a. 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.

- b. 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.

4. Professional Liability (Errors and Omissions Liability)

Each Claim	\$1,000,000
Annual Aggregate	\$2,000,000

- a. 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.
- b. The policy shall cover professional misconduct or lack of ordinary skill for those positions defined in the Scope of Work of this contract.

5. Technology Errors and Omissions Insurance

Each Claim	\$1,000,000
Annual Aggregate	\$1,000,000

Coverage to include:

- Systems analysis;
- Software design;
- Systems programming;
- Data processing;
- Systems integration;
- Outsourcing including outsourcing development and design;
- Systems design, consulting, development and modification;
- Training services relating to computer software or hardware;
- Management, repair and maintenance of computer products, networks and systems;
- Marketing, selling, servicing, distributing, installing and maintaining computer hardware or software; and
- Data entry, modification, verification, maintenance, storage, retrieval or preparation of data output.

- a. 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.
- b. The policy shall cover professional misconduct or lack of ordinary skill for those positions defined in the Scope of Work of this contract.

B. 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.

C. 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.

D. 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.

E. 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.

39. SALES AND USE TAX. The Proposer 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 Proposer 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 Proposer 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.

- 40. PERSONNEL.** Employees of the Proposer 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.
- 41. 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 Proposer 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.
- 42. 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 Proposer. The University will not approve price increases that will merely increase the gross profitability of the Proposer 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, Proposer agrees that the costs of any maintenance agreements beyond the warranty period will increase a maximum of 5 percent per year and a total of 20 percent over a 5 year period.
- 43. FURNISH AND INSTALL.** The items in this proposal will be provided on a Proposer furnish and install basis. The successful Proposer 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 Proposer. 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.
- 44. 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.
- 45. 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

CONFLICT OF INTEREST CERTIFICATION

(Date)

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

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

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

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

(Firm)

(Address)

(Email Address)

(Signature required)

(Phone)

(Print name)

(Fax)

(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 nonresponsible.

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

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

(Firm)

(Address)

(Email Address)

(Signature required)

(Phone)

(Print name)

(Fax)

(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)

(Firm)

(Address)

(Email Address)

(Signature required)

(Phone)

(Print name)

(Fax)

(Print title)

(Federal Taxpayer ID Number)

(Purchasing 01-31-2007)

SUDAN OR IRAN BUSINESS OPERATIONS CERTIFICATION

(Date)

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

The undersigned certifies that pursuant to Arizona Revised Statutes § 35-391 and 35-393, the below entity does not have a scrutinized business operation in either Sudan or Iran.

(Firm)

(Address)

(Email address)

(Signature required)

(Phone)

(Print name)

(Fax)

(Print title)

(Federal Taxpayer ID Number)

(Purchasing 02-18-2009)

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 bidding/proposing have an environmental policy statement? Please check the item that applies.

- No, the manufacturer of the product that I am bidding/proposing DOES NOT have an environmental policy statement
- Yes, the manufacturer of the product that I am bidding/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 bidding/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 bidding/proposing HAS NOT been cited for non-compliance of an environmental or safety issue
- Yes, the manufacturer of the product that I am bidding/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 bidding/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 bidding/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 bidding/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?

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)		<input type="checkbox"/> Employer ID Number (EIN) <input type="checkbox"/> Social Security Number (SSN)
---	--	--

► LEGAL NAME: <i>(must match TIN above)</i>	
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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:	<i>(Where tax information and general correspondence is to be sent)</i>			
DBA/Branch/Location:				
ADDRESS:				
ADDRESS LINE 2:				
CITY:		ST:		ZIP:

► REMIT TO ADDRESS:	<input type="checkbox"/> Same as Legal Mailing Address			
DBA/Branch/Location:				
ADDRESS:				
ADDRESS LINE 2:				
CITY:		ST:		ZIP:

► ENTITY TYPE				
<input type="checkbox"/> Individual (not a business)	<input type="checkbox"/> Sole proprietor (individually owned business) or sole proprietor organized as LLC or PLLC	<input type="checkbox"/> Corporation (NOT providing health care, medical or legal services)	<input type="checkbox"/> Corporation (providing health care, medical or legal services)	<input type="checkbox"/> Partnership, LLP or partnership organized as LLC or PLLC
<input type="checkbox"/> The US or any of its political subdivisions or instrumentalities	<input type="checkbox"/> A state, a possession of the US, or any of their political subdivisions or instrumentalities)	<input type="checkbox"/> Tax-exempt organizations under IRC §501	<input type="checkbox"/> An international organization or any of its agencies or instrumentalities	<input type="checkbox"/> State of Arizona Employee

► CERTIFICATION

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me),
- 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,
- 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:
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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 - <i>REQUIRED</i>			
What is the <u>Federal</u> 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 <input type="checkbox"/> NO <input type="checkbox"/> SMALL Business? YES <input type="checkbox"/> NO <input type="checkbox"/>			
Please check <u>all that apply</u> to your business for Federal Supplier Type:			
Service Disabled Veteran Owned (VD) <input type="checkbox"/>	Small Disadvantaged (SD) <input type="checkbox"/>	Women Owned (WO) <input type="checkbox"/>	
Veteran Owned (VO) <input type="checkbox"/>	Minority Institution (MI) <input type="checkbox"/>	HUB Zone (HZ) <input type="checkbox"/>	
SECTION 2 - STATE OF ARIZONA SMALL BUSINESS INFORMATION - <i>REQUIRED</i>			
Are you self-certified according to this State of Arizona definition? <i>"100 full-time employees or less <u>OR</u> \$4 million in volume or less in the last fiscal year"</i>		YES <input type="checkbox"/>	NO <input type="checkbox"/>
<p>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.</p>			
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.