



**ANNUAL REQUEST FOR QUALIFICATIONS
DESIGN PROFESSIONAL SERVICES**

Date Issued: September 16, 2011

THE ARIZONA BOARD OF REGENTS

for and on behalf of

ARIZONA STATE UNIVERSITY

2012 ANNUAL REQUEST FOR QUALIFICATIONS

for

DESIGN-RELATED CONSULTING & SUPPORT SERVICES

Time and Date of Pre-Submittal Conference	9:30 AM, MST, Tuesday Wednesday, 9/28/11
Deadline for Inquiries	5:00 PM, MST, Tuesday, 10/7/11
Time and Date Set for Submittal	2:00 PM, MST, Thursday Tuesday, 10/18/11

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This Request for Qualifications is separated in two parts: Part I - General Requirements, and Part II - Attachments. The Attachments of Part II are part of the Request for Qualifications and the terms, conditions, and criteria therein must be met by any proposer.

**ARIZONA BOARD OF REGENTS
2012 ANNUAL REQUEST FOR QUALIFICATIONS (ARFQ)**

Section I: Annual Request for Qualifications' Submittals Process

PART 1: Consultant Data Sheet

Purpose

1. To provide the prospective consultants with the opportunity to indicate interest in being considered for University work and to establish areas of interest, expertise and experience UNDER Arizona Board of Regents (ABOR) Policy.
2. To provide the University with a consultant database (by interest and qualification) that will be used to develop shortlists with no further advertisement related to design consulting services. A complement of consultants that are shortlisted may be approached for negotiation of "open-end contracts" for these services. **Individual project fees will not exceed \$250,000 for Professional Services by an Architect or Architect Firm. Individual project fees will not exceed \$500,000 for Engineering Services and other Professional Services by a person or firm other than an architect or architect firm.**

Consulting services with fees near or over the above limits are generally procured by a separately advertised Request For Qualifications (RFQ) pertaining to the particular project. It is the university's intent to have the option to have this ARFQ apply to projects for amounts up to the maximum permitted under ABOR Policy. **At present time the maximum fee for a single project for these services is \$250,000 for Professional Services by an Architect or Architect firm, and \$500,000 for Engineering Services and other professional services.** If these amounts are amended under future ABOR Policy, the amounts will automatically be likewise amended in the existing ARFQ.

The University reserves the right to reject any or all submittals for any reason it may determine and to waive or decline to waive any irregularities therein.

Qualifications on file will expire December 31st of each year. Either a letter on company letterhead signed by an authorized signatory of your firm stating that there are "NO CHANGES" for the next year must be submitted, or a revised submittal for the next year must be submitted identifying any changes. A firm must take one of these two actions to be on the Annual RFQ in the subsequent year.

Consultant Data Sheets are to be submitted as a part of the 2012 ARFQ Submittal Package. All ARFQ submittals will be reviewed for completeness.

Respondents will be notified by email when ASU begins using the 2012 Annual RFQ. Information from the Consultant Data Sheets will be entered into a database and each vendor's entire submittal will be uploaded to a SharePoint site. ASU's acceptance of your submittal does not guarantee selection for negotiation of a contract. University architects and project managers will run a query against the database and will conduct individual evaluations as a need arises.

At ASU selection from the Annual RFQ list of firms can result in any of the following situations:

- **Purchase Order only for Orders under \$10,000**
- **Contract for work over \$10,000. Contracts that will be utilized are:**
 - **Agreement for Consultant Services**
 - **DP(JOC) Design Professional Agreement**
 - **DP(CM@Risk) Design Professional Agreement**

At ASU all firms on the ARFQ List will also be added to the A/E Email Distribution List if not already listed and will be notified of upcoming projects for separately solicited Requests for Qualifications for Design Professionals. Consultants should familiarize themselves with the various contract forms prior to selection to prevent disqualification upon selection due to contractual issues, which would result in unnecessary delay. The successful bidder is expected to complete the necessary documents without delay. Contract document samples are located on the Purchasing Forms Page at <http://cfo.asu.edu/purchasing-forms>.

Firms on an ASU Annual RFQ List are responsible for keeping information current and up-to-date by notifying ASU Construction Purchasing of any changes.

Insurance information must comply with the insurance section in the Forms.

PART 2: Proposal Format and Contents

This RFQ is a means of establishing **qualifications only**. The respondent is responsible for the accuracy of the information submitted, but incurs no further obligation to enter into a contract as a result of the submittal. The University will utilize the material submitted as an aid in the selection of prospective consultants. Only **project specific agreements** will be binding on either the consultant or the University for any/all Arizona State University campuses, including the Tempe Campus, Downtown Phoenix campus, Polytechnic campus, West campus and other campuses and research sites as they are developed. See Page 9, Arizona Registration.

NOTE: DESIGN PROFESSIONAL (DP) SHALL NOT SUBMIT OR COMMUNICATE IN ANY FORM TO ASU ANY INFORMATION ON FEES, PRICE (HOURLY RATES), MAN-HOURS OR ANY OTHER ASSOCIATED COST INFORMATION. ARIZONA LAW PROHIBITS ASU FROM CONSIDERING ANY INFORMATION ON FEES, PRICE (HOURLY RATES), MAN-HOURS OR ANY OTHER COST INFORMATION DURING THE REQUEST FOR QUALIFICATIONS (RFQ) COMPETITION.

The University reserves the right to reject any or all proposals for any reason it may determine, and to waive any irregularities therein.

The RFQ Supplemental Information may include up to ten (10) 8 ½" x 11" pages of supporting information in addition to the consultant data forms to illustrate **specific experience and or emphasis on projects or other service specialties**, as indicated on the RFQ Supplemental Data Form (**Attachment 4**). For each project, cover the list of questions in **Attachment 4**. This material is to assist the University in its evaluation of the firm's capabilities in the subject area. **Resumes and Letters of Recommendation are not included in the page count.**

Submittal should consist of:

- **One (1)** clearly marked hardcopy "original" in 8.5" x 11", non-binding form. No metal or plastic binding – may use clip for easy removal of proposal.
- The Proposal shall have a **thirty-eight (38) page limit, (19 double-sided pages in paper format)**, excluding resumes and letters of recommendation. Text and graphics needs to be in single column format with a font size of no less than 10 points. Section dividers or blank pages do not count toward the page limitations. This limit excludes resumes and letters of recommendation.
- **Two (2)** additional copies on CD in PDF format, PC readable, no passwords, labeled with vendor name and RFQ name and **less than 5 MB. We will enforce the 5 MB document size. Label needs to be on the CD, not on the sleeve.**

- One document **for the entire submittal on each disk, including all required signed Certification Forms and documents.** Compress photos, etc. in smallest size format possible. (Refer to the document listed below for assistance in compressing document size.)
- **One** separate document on **the disk** for “confidential financials” if requested. (Label appropriately) ASU does not require financial information with your submittal.
- **Check** and play all CD’s before submitting. (Company marketing materials not recommended. For assistance in compressing your document size to 5 MB or less, refer to the document, Tips to Reduce Document Size for Submittals, located in Miscellaneous Construction Documents on the Purchasing Forms Page at <http://cfo.asu.edu/purchasing-forms>.) We prefer that you use paper sleeves for the CDs, instead of the plastic cases.

Note: Proposer should use recycled paper and use 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).

Proposals must be received by ASU on or before the day and hour set for receipt of Proposals to be processed by January 1.

ATTENTION: FIRMS SUBMITTING AFTER THE INITIAL DUE DATE OF 10/1811:

If you are submitting to the 2012 Annual RFQ for Design Services after the initial due date, your submittal will be processed in the order it was received.

Content of Materials:

The submittal shall not exceed thirty-eight (38) pages (excluding resumes and letters of recommendation) based on the content described below:

<u>No. Pages</u>	<u>Required Item</u>
1	Letter of Introduction on company letterhead (cover sheet), which includes the name and address of the consultant, phone and facsimile, and email address for the main contact.
2	Attachment 1, Proposal Certification Form
1	Attachment 2, Addendum Acknowledgement
5	Attachment 3, RFQ Consultant Data Sheet Respondents are encouraged to include items that are within the scope, size, experience, and ability of the firm. <u>As the respondent’s qualifications change, updated information can be submitted at any time.</u>
2 pages per specialization, Up to a maximum Of 10 pages	Attachment 4, RFQ Supplemental Information (<i>Letters of Recommendation are not included in the page count</i>) Do not include statements of qualifications from your sub-consultants. <u>PLEASE FOCUS ON YOUR MAIN STRENGTHS.</u>
2	Attachment 5, Consultant Data Sheet – Professional Licenses and Proposed Team
N/A	Attachment 6, Sample Resume Format (<i>Only provide resumes for your firm team members, do not include resumes for your sub-consultants</i>)

1	Attachment 7, RFQ Consultant Data Sheet for Insurance
1	Attachment 8, RFQ Business Information Guidelines
1	Attachment 9, Anti-Lobbying Certification
1	Attachment 10, Conflict of Interest Certification
2	Attachment 11, Federal Debarred List Certification
1	Attachment 12, Legal Worker Certification
1	Attachment 13, Sudan or Iran Business Operations Certification
1	Attachment 14, Veteran’s Preference Certification
4	Attachment 15, Supplier Sustainability Questionnaire
2	Attachment 16, Service Provider Acknowledgement
2	Attachment 17, Substitute W-9 and Vendor Authorization Form
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38	Total Number of Pages (Excluding Resumes and letters of recommendation)

Part 3:

The University does sorts based on specific project needs from The Annual RFQ data base, which is based on the “consultant data sheet”

Part 4:

Appropriate University Committee reviews “Content of Submittals” for the short listed candidates for a specific project. The committee may request additional information. The Committee than selects the successful consultant.

Part 5:

Project Fee - The University shall negotiate with the successful consultant and, if successfully negotiated, shall award a contract based on the terms of the existing template.

If The University is unable to negotiate a satisfactory fee for the services to be provided, then negotiations with this firm will be formally terminated. The University may undertake negotiations with the next most qualified firm in sequence until an agreement is reached or award is suspended.

SECTION II: INSTRUCTIONS TO RESPONDENTS

General

All ARFQ response packages should follow the format and sequence described in the paragraphs below to allow a standard basis for data collection. Failure to follow the instructions regarding format and content will result in a submittal not being approved for use in selections for Consulting Services.

NO MATERIAL BEYOND THAT REQUESTED SHOULD BE INCLUDED.

Delivery of Submittals

Formal sealed qualifications need to be either hand delivered or express mailed and addressed and delivered to Purchasing and Business Services, University Services Building, Reception Desk in the Main Lobby to:

A sample label is below. Each submittal shall be enclosed in a **sealed envelope and addressed appropriately, as follows:**

Arizona State University C/O Purchasing and Business Services (Street Address or PO Box) Tempe, AZ (Zip)
Attention: Doug Boyer, C.P.M., CPPB Purchasing Construction Manager 2012 Annual Request For Qualifications (RFQ) Time/Initial Date Due: 2:00 PM, M.S.T., 10/18/11
Submitting Firm Name: Full Address of Submitting Firm:

Delivery of submittals may be accomplished in one of the following ways:

1. ***Overnight delivery*** via by FedEx or UPS to the following address:

Arizona State University,
C/O Purchasing and Business Services
1551 S. Rural Road
Tempe, Arizona 85281

Attention: Doug Boyer, C.P.M., CPPB
Purchasing Construction Manager
2012 Annual Request For Qualification (ARFQ)

The Name and Address of the Respondent

2. **Via United States Postal Service** sent to the following address **ONLY:**

Arizona State University
C/O Purchasing and Business Services
PO Box 875212
Tempe, Arizona 85287-5212

Attention: Doug Boyer, C.P.M., CPPB

Purchasing Construction Manager
2012 Annual Request For Qualification (ARFQ)

The Name and Address of the Respondent

NOTE: Do not use United States Postal Service Overnight. The United States Postal Service will **NOT** deliver to the street address.

3. Via Personal Delivery:

Submittals may also be dropped off at 1551 S. Rural Rd, Tempe, AZ, 85281, at the front desk between the hours of 8 AM to 5 PM during the work week, excluding holidays.

Content of Submittals

Content requirements for ASU are detailed in Part 2 on pages 5 through 7.

IMPORTANT: A submittal is considered complete only when ALL the above information is on file with the Arizona State University Purchasing Department.

Interpretation of Documents

Content questions relating to this Annual Request for Qualifications should be referred to Doug Boyer, 480-965-2217, Douglas.Boyer@asu.edu, in the ASU Purchasing Department, Construction Group, for interpretation or additional information. Please also see attached "Frequently Asked Questions" (FAQ) Sheet for commonly asked questions. Technical questions can be directed to Pamela Thompson Lefkowitz, 480-965-3665, pamela.thompson2@asu.edu.

Obligations

This ARFQ does not obligate the University to pay any costs incurred in the preparation of a response nor to enter into a contract with any respondent.

Fees

This ARFQ does not require a fee proposal. The University will negotiate with selected Consultants responding to this ARFQ for specific projects

Arizona Registration

To be eligible for consideration, respondent firm must be professionally registered in the State of Arizona if such registration is required by state law.

Regulations and Form of Contract

Should a contract result from this ARFQ, the terms, clauses, and conditions of the Arizona Board of Regents procurement policies and the University Procurement Code apply. By submitting data to the University, a respondent agrees to the terms and conditions contained in the applicable contract which is incorporated herein by reference. Contract documents are available on the Purchasing Forms Page at <http://cfo.asu.edu/purchasing-forms>. **NOTE: Please be advised that Contracts are subject to revision without notice.**

Conflict of Interest

The respondent's attention is directed to the provisions of Arizona State University Conflict of Interest & Commitment Policy. <http://www.asu.edu/aad/manuals/pur/index.html>, as they may be applicable to each individual respondent.

The purpose of conflict of interest statutes is to remove or limit the possibility of personal influence that might bear upon a public employee's decision in his or her capacity as a public employee.

SECTION III IMPLEMENTATION PROCEDURE

Refer to page 4 for the ASU submittal and selection process.

Individual Project or General Services Selection Process:

1. A profile of the project or service will be developed by the University.
2. A search will be made of the database compiled as a result of this ARFQ to identify those with qualifications and interests matching the project or service profile.
3. A committee will evaluate the qualifications of firms identified against the project or service profile and develop a "short list" utilizing the following criteria:
 - a. Demonstrated special expertise, qualifications, and experience on similar types of projects or services completed by the firm, and by the specific key personnel and primary staff members in the firm.
 - b. Qualifications and experience of key personnel identified by the firm.
 - c. Availability of adequate and qualified staff to do the work.
 - d. Client references / Arizona State University evaluation of past performance.
 - e. Past university / institutional experience and / or work with monsoons or at high elevations including freeze-thaw cycles.
4. The short-listed firms may be asked to provide additional information or to have an interview with the Committee, prior to the final selection.

Interviews / Additional Information

Additional information, interviews or a review of site conditions may be required as a part of the individual project applicant firm selection process. Applicants may also be requested to participate in discussions with University representatives prior to or during contract negotiations

Project Fee

On a project-by-project basis, the University will attempt to negotiate a project fee with the highest ranked firm. This fee will be calculated in accordance with the terms of the open-end contract.

If The University is unable to negotiate a satisfactory fee for the services to be provided then negotiations with this firm will be formally terminated. The University may undertake negotiations with the next most qualified firm in sequence until an agreement is reached or award is suspended.

Multiple Projects

A firm may be selected for one or more projects where the total fees for **each** project are anticipated to be less than \$250,000 for an architect or architectural firm, or less than \$500,000 for a person or firm other than an architect or architectural firm.

Scope of Services

The scope of services will be provided at the time a project-specific fee proposal is requested. Existing drawings, where applicable, will be made available and a visit to the site, with the University's Project Manager, may be arranged.

Delivery of Documents / Insurance Requirements

Every firm to whom The University awards a contract shall, within Five (5) business days after notice of award, deliver to The University signed copies of the contract as well as all required insurance certificates. For all projects involving construction, The University requires professional insurance from all professional consultants. Each respondent shall indicate its present insurance coverage in the insurance section of "Attachment 7". Also required from each consultant is Workman's Compensation and Employer's Liability Insurance, as applicable. All contracts must be supported by insurance certificates in a form satisfactory to The University. All certificates of insurance will be reviewed and approved by The University before firms may proceed with the Services. Failure or refusal to furnish required insurance certificates in a form satisfactory to The University will result in rejection of any proposed contract. If a firm has an open-end agreement with The University, annual renewal certificates are required as stated in the agreement.

**PLEASE DO NOT SUBMIT INSURANCE CERTIFICATES
WITH THIS ANNUAL REQUEST FOR QUALIFICATIONS.**

For clarification or more information in insurance requirements, review Attachment 7. You can also contact Doug Boyer, Construction Purchasing Manager, Douglas.Boyer@asu.edu.

PART IV: GENERAL INFORMATION

CONFLICT OF INTEREST / COMMITMENT

The Proposer's attention is directed to the provisions of Arizona State University's Purchasing and Business Services, Policy and Procedures Manual, PUR 103 Conflict of Interest, Revision date, November 15, 2000, as it may be applicable to each individual Proposer. A copy of this policy is available at: <http://www.asu.edu/aad/manuals/acd/acd204-08.html>

SMALL BUSINESS AND SMALL DISADVANTAGED BUSINESS

The Owner, the DP(CM@RISK), and each Subcontractor shall include small businesses and disadvantaged business enterprises in the design, engineering and construction of the Project so long as this would result in services that are comparable in quality and would not result in a material increase in costs of the Project. A report will be required at the beginning of the project indicating the overall proposed extent of SB, SDB and DB participation; and at the conclusion of the project indicating the overall extent of SB, SDB and DB participation.

Note: A Disadvantaged Business is a business that meets either the Arizona or Federal Small Business definition or is a Woman-Owned Business Enterprise (WBE), or Minority-Owned Business Enterprise (MBE), or Disadvantaged/Disabled-Owned Business Enterprise (DBE).

LEGAL WORKER REQUIREMENTS FOR SERVICE AND CONSTRUCTION CONTRACTS

As required by Arizona Revised Statutes §41-4401, the University is prohibited after September 30, 2008 from awarding a contract to any service or construction contractor who fails, or whose sub-consultants fail, to comply with Arizona Revised Statutes § 23-214-A. The Contractor 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 sub-consultants and sub-sub-consultants to provide the same warranties to the Contractor. The Contractor acknowledges that a breach of this warranty by Contractor or by any sub-consultant or sub-sub-consultant under this Contract shall be deemed a material breach of this Contract, and is grounds for penalties, including

termination of this Contract, by the University. The University retains the right to inspect the records of any Contractor, sub-consultant and sub-sub-consultant employee who performs work under this Contract, and to conduct random verification of the employment records of the Contractor and any sub-consultant and sub-sub-consultant who works on this Contract, to ensure that the Contractor and each sub-consultant and sub-sub-consultant is complying with the warranties set forth above. Contractor shall be responsible for all costs associated with compliance with this requirement.

SUDAN AND IRAN

Pursuant to Arizona Revised Statutes § 35-397, Contractor certifies that it does not have a scrutinized business operation in either Sudan or Iran.

VETERAN'S PREFERENCE

Contractor agrees to provide preference in initial employment for U. S. veterans by:
Adding points to the raw score of a numerically scored screening instrument, or
Hiring a veteran if, at the conclusion of the search process, a veteran is one of a number of comparably qualified candidates.

For purposes of this section, "veteran" means: an honorably separated person (honorably or general discharge) who served on active duty (not active duty for training) in the Armed Forces:

- during any war declared by Congress
- during the period April 28, 1952, through July 1, 1955;
- for more than 180 consecutive days, any part of which occurred after January 31, 1955, and before October 15, 1976;
- during the Gulf War period beginning August 2, 1990, and ending January 2, 1992; or
- for more than 180 consecutive days, any part of which occurred during the period beginning September 11, 2001, and ending on the date prescribed by Presidential proclamation or by law as the last day of Operation Iraqi Freedom; or
- in a campaign or expedition for which a campaign medal has been authorized, such as El Salvador, Lebanon, Granada, Panama, Southwest Asia, Somalia, and Haiti.

Medal holders and Gulf War veterans who originally enlisted after September 7, 1980, or entered on active duty on or after October 14, 1982, without having previously completed 24 months of continuous active duty, must have served continuously for 24 months or the full period called or ordered to active duty. Effective on October 1, 1980, military retirees at or above the rank of major or equivalent, are not entitled to preference unless they qualify as disabled veterans.

AIR POLLUTION EMERGENCY PROCLAMATION

In accordance with an executive order titled 'Air Pollution Emergency Proclamation' modified by the Governor of Arizona on July 16, 1996, ASU 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.

WASTE CONTAINERS

Contractors using waste containers must use and order them through ASU Grounds Maintenance Department. Anytime a waste container is ordered a review will be done at that time to see if a metal recycling container would also be applicable and if so, would be provided to the project at no charge as long as this container is not contaminated with other refuse.

SUSTAINABILITY

Arizona State University is dedicated to acquiring products and services that meet Sustainability requirements 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.

ASU 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, sub-consultants, 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. ASU's policy may be accessed through the following web page: <http://www.asu.edu/aad/manuals/pdp/pdp201-05.html>.

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/Bidder shall use environmentally preferable products and materials where economically feasible. Environmentally preferable products have a less or reduced effect on human health and the environment when compared to other products 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.

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, bidders/proposers and contractors shall 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/Bidder 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;
- Bio-degradable

Note: The Supplier Sustainability Questionnaire must be completed and returned with your Bid/Proposal. This information will be used as part of the evaluation criteria for Supplier/Proposer sustainability efforts. (11/06/07)

ASU SUSTAINABILITY MANDATES

The university believes colleges and universities must exercise leadership in their communities and throughout society by modeling ways to minimize global warming emissions ASU further believes that

colleges and universities that exert leadership in addressing climate change will stabilize and reduce their long-term energy costs, attract excellent students and faculty, attract new sources of funding, and increase the support of alumni and local communities.

ASU SUSTAINABLE FACILITY POLICIES

Since President Michael Crow became president in 2002, ASU has instituted the following environmentally-friendly policies affecting university facilities:

- All new campus construction will be built to at least the U.S. Green Building Council's LEED Silver standard or equivalent.
- Adopt an energy-efficient appliance purchasing policy requiring purchase of ENERGY STAR certified products in all areas for which such ratings exist.
- Begin purchasing or producing at least 15% of the institution's electricity consumption from renewable sources.
- Adopt measures to reduce waste.

Arizona State Sustainable Facility Policies

ASU is also subject to mandates from legislative, gubernatorial, and other state entities. Arizona Governor Janet Napolitano has issued three executive orders since 2004, each of which requires specific actions by ASU facilities managers.

- Executive Order 2004-28: *Implementation of 5% Water Use Reduction Plan*. The order required state agencies to reduce water use by 5% between FY 04 and FY 05. This executive order also reiterates HB 2276, which requires state agencies to install, when reasonable to do so, water free urinals when constructing new buildings.
- Executive Order 2005-05: *Implementing Renewable Energy and Energy Efficiency in New State Buildings*. Requires that new, state-funded facilities be designed and constructed to derive at least 10% of their energy from renewable resources and; that all new buildings include new energy-efficient standards and; that all new state-funded buildings meet or exceed LEED Silver certification.
- Executive Order 2007-03: *Improving Air Quality*. Requires that all state agencies: cease the use of leaf blowers, gasoline powered lawn mowers, and all other pollution causing landscape maintenance equipment; use only low emission gas cans; to require buyers of state agency lands to mitigate pollutants; to mitigate construction pollutants and suppress construction dust; to give incentives to bidders that use equipment retrofitted with diesel retrofit kits, newer clean diesel technologies, biodiesel, or other fuels known to be cleaner than petroleum diesel.
- The Arizona Corporation Commission voted Oct. 31, 2006, to require that 15 percent of the state's energy production will come from renewable energy resources by 2025.

PROTESTS

ASU believes that it can best maintain its reputation for treating contractors and/or 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 contractor submitting a Proposal whose direct economic interest may be affected by the issuance of a solicitation, the award of a Then agreement, or by the failure to award a Then agreement. Whether an actual prospective contractor 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. Second, you

must submit the protest in a timely manner. In procurements requesting qualifications/Proposals, protests based upon alleged errors, irregularities or improprieties in a solicitation that are apparent before the closing date for receipt of initial qualifications/Proposals shall be filed before the closing date for receipt of initial qualifications/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 qualifications/Proposals following the incorporation. In cases other than those just covered, protests shall be filed no later than ten (10) days after a Then agreement is awarded in connection with the procurement action. Failure to file a protest in a timely manner 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, area code, telephone number, and fax number of the protestor; (2) The signature of the protestor or its representative; (3) Identification of the solicitation or Then agreement number; (4) Detailed statement of the legal and factual grounds of the protest including copies of relevant documents; and (5) The response or relief requested. Protests should be directed to:

John F. Riley, C.P.M., Executive Director
Purchasing and Business Services
Arizona State University
PO Box 875212
Tempe AZ 85287-5212

Tel: 480-965-3271
Fax: 480-965-2234

Email address: john.riley@asu.edu

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

OTHER OPPORTUNITIES WITH ASU 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 160,000 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. [Asu.edu/alumni](http://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.

Intercollegiate Athletics

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.

Forms and Attachments

Attachments

(Attachments are to be completed and submitted)

(A MS Word document is available on the Purchasing forms Page at <http://cfo.asu.edu/purchasing-forms>. The Annual RFQ documents are located at the bottom of section 9 – Miscellaneous Construction Documents. The pages can be numbered or not numbered. Attachments do not need to have tabs. Provide Attachments in the order below. Be sure that certifications in your submittal document are signed.)

Attachment 1:	RFQ Proposal Certification Form
Attachment 2:	Addendum Acknowledgement
Attachment 3:	RFQ Consultant Data Sheet
Attachment 4:	RFQ Supplemental Information
Attachment 5:	Consultant Data Sheet - Professional Licenses and Proposed Team
Attachment 6:	Sample Resume Format
Attachment 7:	RFQ Consultant Data Sheet for Insurance
Attachment 8:	RFQ Business Information Guidelines
Attachment 9:	Anti-Lobbying Certification
Attachment 10:	Conflict of Interest Certification
Attachment 11:	Federal Debarred List Certification
Attachment 12:	Legal Worker Certification
Attachment 13:	Sudan or Iran Business Operations Certification
Attachment 14:	Veterans Preference Certification
Attachment 15:	Supplier Sustainability Questionnaire
Attachment 16:	Service Provider Acknowledgement
Attachment 17:	Substitute W-9 and Vendor Authorization Form
Attachment 18:	Submittal Inquiry Form (Do Not Include With Your Submittal)

Reference Documents (Do Not Include These with Your Submittal)

Appendix 1:	Sample Request For Fee (To be Completed for each Project as assigned)
Appendix 2:	Planning Principles and Concept Plan
Appendix 3:	List of Documents located on ASU Purchasing Forms Page
Appendix 4:	Frequently Asked Questions (FAQ) Sheet
Appendix 5:	Directions to University Services Building (USB)

1. Fed Tax Id/ Social Security Number: _____

2. Firm Name: _____

3. Order Address: _____
City: _____ State: _____ Zip Code: _____

4. Contact: _____ Email: _____

5. Phone: (____) _____ - _____

6. Remit Address _____
City: _____ State: _____ Zip Code: _____

7. *The following section is to list the individual that you want us to contact for day-to-day matters, if different from above:*

(Print Name)

(Title)

(Email)

8. Owner/Manager _____

9. Owner/Manager Email Address: _____

10. Phone: (____) _____ - _____ Fax: (____) _____ - _____

The undersigned further agrees that their firm or individual warrants to the University, that they have completed an internal manpower loading plan and their firm has the personnel and resources to complete a project, should their firm or an individual be awarded a project.

FORMS OF CONTRACT DOCUMENTS. The undersigned certifies that the undersigned has read Owner's current forms of contract documents that are used for Annual RFQ Selections. These documents are available for review on the ASU Web-site under Construction Forms at:

<http://cfo.asu.edu/purchasing-forms>

NOTE: If you do not have access to the Internet, please contact the Buyer listed in the RFQ documents.

If selected as a consultant for a project at ASU, the undersigned agrees to execute the form of contract documents for the project. The undersigned understands that any exceptions taken to the form of contract documents that are not accepted and/or approved by ASU may be a basis for rejection of the undersigned's Proposal as non-responsive. The undersigned also understands that ASU may make changes in the standard form of contract documents and that therefore the form of contract documents presented to the successful Proposer may be different from the form of contract documents referred to above, in which case the successful Proposer will be given the opportunity to review the changes.

Signature Block

Firm Name: _____

Signature: _____

Print Name: _____ Title: _____

Email Address (if different contact than listed above): _____

Street Address: _____

City: _____ State: _____ Zip Code: _____

ADDENDA, SELECTION PROCESS, GENERAL INSTRUCTIONS, REGULATORY INFORMATION AND SUPPLEMENTAL REQUIREMENTS ACKNOWLEDGMENTS

ALL ADDENDA (Acknowledge all Addenda received or viewed on Bid Board prior to closing)
RECEIPT BY THE UNDERSIGNED THAT THE FOLLOWING ADDENDA HAS BEEN READ AND HEREBY ACKNOWLEDGED:

Addendum Number: _____ Dated: _____ Acknowledged By: _____
Addendum Number: _____ Dated: _____ Acknowledged By: _____
Addendum Number: _____ Dated: _____ Acknowledged By: _____
Addendum Number: _____ Dated: _____ Acknowledged By: _____
Addendum Number: _____ Dated: _____ Acknowledged By: _____
Addendum Number: _____ Dated: _____ Acknowledged By: _____

Note: You will need to access this site area <http://cfo.asu.edu/purchasing-forms> in order to **read and acknowledge all** below referenced areas. If you have questions, please contact the Buyer listed in the Request for Qualifications (RFQ).

PART IV: SELECTION PROCESS: DP(CM@Risk) General Information & Instructions

RECEIPT BY THE UNDERSIGNED THAT THE SELECTION PROCESS HAS BEEN READ AND UNDERSTOOD AND IS HEREBY ACKNOWLEDGED:

Acknowledged By: _____ Dated: _____

PART V: GENERAL INSTRUCTIONS: DP(CM@Risk) General Information & Instructions

RECEIPT BY THE UNDERSIGNED THAT ALL GENERAL INSTRUCTIONS HAS BEEN READ AND UNDERSTOOD AND IS HEREBY ACKNOWLEDGED:

Acknowledged By: _____ Dated: _____

PART VI: REGULATORY INFORMATION: DP(CM@Risk) General Information & Instructions

RECEIPT BY THE UNDERSIGNED THAT ALL REGULATORY INFORMATION HAS BEEN READ AND UNDERSTOOD AND IS HEREBY ACKNOWLEDGED:

Acknowledged By: _____ Dated: _____

SUPPLEMENTAL REQUIREMENTS:

RECEIPT BY THE UNDERSIGNED THAT SUPPLEMENTAL REQUIREMENTS HAS BEEN READ AND UNDERSTOOD AND IS HEREBY ACKNOWLEDGED:

Supplemental Requirements apply to ASU's Capital Projects in excess of \$2,000,000.00. The DP(CM@RISK) will complete the Owner's requirements and forms as they apply to DP(CM@RISK) and Sub-consultants. DP(CM@RISK) and Sub-consultants will need to complete ASU Certification Forms and submit with each pay application. Detailed information can be found under **Construction Forms, DP(CM@Risk) Tri-University Agreement in General Conditions** in Article 13 MISC, Section 13.19 Supplemental Requirements. You can view the forms at same site under **Supplemental Provisions for Projects \$2 Million and Over DP(CM@RISK)**.

Acknowledged By: _____ Dated: _____

RFQ CONSULTANT DATA SHEET

Date: _____

Firm Name: _____

LEED CERTIFICATION (Place a "X" on the line if certified)

LEED Accredited Architect: _____

LEED Accredited Engineer _____

LEED Accredited Professional: _____

OWNERSHIP AND ORGANIZATION CLASSIFICATION

(Place a "X" beside each item that is applicable. (Must designate that Firm is either diversity or non-diversity))

Organization Size (Size of firm must be designated.)

Individual: _____

Large Business: _____

Small – AZ Business (Per A.R.S. 1-1001.8) _____

Small – Federal Business (P.L. 95-507) _____

Diversity firms can be either Certified through the City of Phoenix or Self-certified. For self-certification they must have Arizona or Federal Small business status, plus 51% ownership by the diversity owner.

*Definition of Small Arizona Business – Has less than \$4,000,000 in revenues or less than 100 employees.
Definition of Small Federal Business – Has revenues of less than \$8,000,000.*

(NOTE: Please see Attachment 17, RFQ Business Information, Page 48, for additional information regarding the definitions for a Small Arizona Business and Small Federal Business or a Diverse Business.)

Diversity Business Owner Designation

Not a Diversity Business: _____

Woman Owned: _____

Minority: _____

Disabled Business Owner: _____

Disabled Veteran: _____

Disadvantaged: _____

Non-Profit Government Education: _____

Diversity – Self Certified: _____

AZ Unified Certification Program: _____

Certified by City of Phoenix: _____

Federally Certified: _____

Certified by State of Arizona: _____

DISCIPLINES (Place a “X” on the line beside your discipline(s) to indicate areas of expertise)

<u>Design Disciplines</u>	<u>In-House Only</u>
Architecture	_____
Commissioning	_____
Geology	_____
Interior Design	_____
Landscape Architecture	_____
Planning	_____
<u>Engineering Disciplines</u>	
Civil Engineering	_____
Electrical Engineering	_____
Environmental Engineering	_____
Geotechnical Engineering	_____
Mechanical Engineering	_____
Structural Engineering	_____
<u>Other Disciplines</u>	<u>In-House Only</u>
Archaeology	_____
Other: Project Management	_____
Surveying	_____

PROJECT COST RANGE CAPABILITIES

What size projects does your firm do? (Place a “X” on the line beside each of the dollar amounts that are relevant.)

	NEW CONSTRUCTION	REMODEL/RENOVATE
Under \$2,500		
Under \$2,500 - 50K	_____	_____
50K - 100K	_____	_____
100K – 400K	_____	_____
400K – 1M	_____	_____
1 M – 2 M	_____	_____
2 M – 5 M	_____	_____
5 M +	_____	_____

ATTACHMENT 3 (CONTINUED)

EXPERIENCE EMPHASIS (To Reflect only the Years of Experience in your firm that are currently available to ASU. This should correlate to the years of experience shown on the resumes. List only the person available with the maximum number of years of experience for a particular area of emphasis. Do not combine experience among individuals.):

	<u>Years of Expertise</u>		<u>Years of Expertise</u>
Acoustic Design	_____	Constructability Review	_____
Activity Centers	_____	Construction Administration	_____
ADA Regulatory Compliance	_____	Construction Management	_____
ADA Surveys & Studies	_____	Construction Materials Testing	_____
ADOT Approved Signage	_____	Cost Estimating, Project	_____
Archaeological services	_____	Design & Plan Structured Parking	_____
Architectural programming	_____	Design & Planning Student Housing	_____
Area Master Planning	_____	Dormitories	_____
Audiovisual Design	_____	Dormitories - Bathrooms	_____
Auditorium/Theatre	_____	Elevators & Escalators	_____
Biological Investigation	_____	EMI Design	_____
BioSafety Level Design – 1	_____	Engineering Building Design	_____
BioSafety Level Design – 2	_____	Environmental Assessment	_____
BioSafety Level Design – 3	_____	Environmental Engineering Preservation, Restoration	_____
BioSafety Level Design - 4	_____	Environmental Graphics & signage	_____
Biotechnology	_____	Environmental Planning	_____
Bookstore Consultant	_____	Ergonomics	_____
Bridge Design	_____	Facilities Programming	_____
Campus Master Planning	_____	Feasibility Studies	_____
Campus Site Plan	_____	Feasibility Studies – Facilities	_____
Central Plant	_____	Fine Arts	_____
Clean Room	_____	Fire Alarm Design	_____
Commissioning Agent	_____	Fire Protection Consultant	_____
Computer-Aided Facilities Mgmt.	_____		

Years of Expertise

Food Service _____
Forensic Expert Witness Service _____
General Classroom _____
Geotechnical Engineering _____
Graphics & Design _____
Historic Preservation _____
Historic Renovation _____
Hospitality _____
HVAC Testing/Balance _____
Hydrology _____
Imaging _____
Information Technology _____
Infrastructure _____
Interiors _____
Investigation/Reports _____
Irrigation Design _____
JOC Design Services _____
JOC Estimating Services _____
Labs - Research Dry _____
Labs - Teaching _____
Labs - Research Wet _____
Landscape Design _____
Libraries _____
Lighting Consultant - General _____
Lighting Consultant - Low Voltage _____
Lighting Consultant - Pedestrian _____
Maintenance _____

Years of Expertise

Masonry _____
Materials Testing _____
Measure & Verify Energy Savings _____
Med. Patient Care _____
Medical Related Facilities _____
Museums _____
Noise Abatement Design _____
NCAA Certification/
Athletic Facilities _____
Office Facilities - ASU _____
Office Facilities - Commercial _____
Outdoor Recreation _____
Parking Structures _____
Pedestrian/Bicycle Thoroughfare _____
Physical Education _____
Planning _____
Plumbing Design _____
Pre-construction Services _____
Preservation/Restoration _____
Project Scheduling _____
Public Art _____
Retail – Convenience Stores _____
Retail - Restaurants _____
Retail - Shops _____
Roofing-Re Consultant _____
Security Consulting _____
Security Systems Design _____
Years of Expertise

	<u>Years of Expertise</u>		<u>Years of Expertise</u>
Smoke Control Design	_____	Traffic Studies	_____
Solar Energy Consultant	_____	Underground Utility Locator	_____
Space Programming	_____	Value Engineering	_____
Specifications	_____	Vertical Transportation Design	_____
Stadiums	_____	Vibration Consultant	_____
Streets	_____	Water Systems – Cold	_____
Streets - Paving	_____	Water Systems – Hot	_____
Structural Load Path	_____	Water Systems - Storm	_____
Sustainable Design	_____	Water Systems - Wastewater	_____
Swimming Facilities	_____		
Telecommunications Design	_____		
Tenant Improvements	_____		

DATE :

**SUPPLEMENTAL INFORMATION
EXAMPLE PROJECTS WHICH BEST ILLUSTRATE PROPOSED TEAM'S
QUALIFICATIONS FOR THIS CONTRACT**

Provide Supplemental Information for up to three projects per discipline for a total of up to ten pages. The RFQ Supplemental Information **is to cover up to three (3) projects per specialization for a total of up to ten (10) 8 ½" x 11" pages** of supporting information in addition to the consultant data forms to illustrate **specific experience and or emphasis on projects or other service specialties**, as indicated on the RFQ Consultant Data Sheet (Attachment 3). Each page is to utilize the format illustrated below. **Projects are to have been begun or completed in the last five (5) years.** List projects that have begun or have been completed since 2006. In the example you described, you would meet the Five (5) year criteria if you began or completed a project involving professional services in 2006 or sooner.

This section needs to be titled Attachment 4. However, you can reformat the page as long as you provide the requested information for each project referenced.

Supplemental Information Re: (Type of Project or Service Specialty)

(Insert Photo if applicable)

- A. Project Title and Location (*City and State*):
- B. Year Completed – Professional Services:
- C. Year Completed – Construction:
- D. Project Owner's Information – Project Owner:
- E. Project Owner's Information – Point of Contact Name:
- F. Project Owner's information – Point of contact E-mail Address:
- G. Project Owner's Information – Point of contact Telephone Number: () -
- H. Project Owner's Information – Point of contact Fax Number: () -
- I. Brief description of project and relevance to this contract (Include scope, size, and cost):
- J. Firms/branches from section involved with this project

(1) FIRM NAME	Personnel	(2) FIRM LOCATION (<i>City and State</i>)	(3) ROLE

This material may be revised or withdrawn by the Consultant at any time.
Please limit material for Supplemental information to one page on one side only per project as supplemental information or service specialty.

ATTACHMENT 5
PROFESSIONAL LICENSES & PROPOSED TEAM

(List only Arizona Professional License for Firm)

Firm Name	Arizona License Number (Board of Technical Registration)	License Expiration Date

List your firm's current individual Arizona Professional Licenses Only:

Branch (For work in Phoenix)	Individual	Discipline	Arizona Licenses Only (Board of Technical Registration)	License Expiration Date

PROPOSED TEAM

Include an organizational chart of proposed team and complete *this section as a sample of what your proposed team will be for projects at Arizona State University. Include other branches or sub-consultants with whom you work. Do not include resumes of sub-consultants in the resume section.*

Branch or Joint Venture Partner	Address	Role in Contract

Sub-Consultant	Is This a Diversity Firm	Address	Role On Project

RESUMES OF KEY PERSONNEL PROPOSED FOR THIS CONTRACT

(Provide Information below for each key person.)

(This format must be used for Resumes. Be sure to list LEED Certification after the individual's name.)

1. NAME (Include LEED, if applicable):
2. ROLE IN THIS CONTRACT:
3. YEARS EXPERIENCE - TOTAL:
4. YEARS EXPERIENCE - WITH CURRENT FIRM:
5. FIRM NAME AND LOCATION (*City and State*):
6. EDUCATION (*DEGREE AND SPECIALIZATION*):
7. CURRENT PROFESSIONAL REGISTRATION (*STATE AND DISCIPLINE*):
8. OTHER PROFESSIONAL QUALIFICATIONS (*Publications, Organizations, Training, Awards, etc.*):

For each project, include the following information.

-
- A. RELEVANT PROJECT - TITLE AND LOCATION (*City and State*):
 - B. RELEVANT PROJECT - YEAR COMPLETED - PROFESSIONAL SERVICES:
 - C. RELEVANT PROJECT - YEAR COMPLETED - CONSTRUCTION (*If applicable*):
 - D. RELEVANT PROJECT - BRIEF DESCRIPTION (*Brief scope, size, cost etc.*) AND SPECIFIC ROLE:
 - E. RELEVANT PROJECT - BRIEF DESCRIPTION - Check here if project performed with current firm:
-

You must fill out and include this form in your ARFQ submittal package. Once a project is assigned, then CERTIFICATES MUST IDENTIFY THE SPECIFIC ASU PROJECT NUMBER AND ASU PROJECT NAME. As indicated in Attachment 7, page 32, insurance requirements are set by ADOA Risk Management and are non-negotiable. **DO NOT SEND A CERTIFICATE TO COVER ANY AND ALL PROJECTS UNTIL YOU ARE HIRED TO WORK ON A PROJECT.** A Certificate of Insurance will be requested as needed when a firm is selected to work on a project.

Professional Liability Insurance Limits:

\$ _____

Carrier: _____

Submitted by (Print Name and Title): _____

Signature: _____ Date Signed: _____

Firm Name: _____

INSURANCE REQUIREMENTS ARE SET BY ADOA RISK MANAGEMENT AND ARE NON-NEGOTIABLE. THE DESIGN PROFESSIONAL (DP) OR ARCHITECT/ENGINEER, OR PROFESSIONAL CONSULTANT SHALL PROVIDE THE FOLLOWING MINIMUM INSURANCE COVERAGE FOR THE DURATION OF THE AGREEMENT:

WORKMEN'S COMPENSATION:	STATUTORY
EMPLOYERS LIABILITY INSURANCE:	STATUTORY
*COMPREHENSIVE GENERAL LIABILITY (CONSULTANT):	\$1,000,000 MINIMUM WITH \$2,000,000 GENERAL AGGREGATE
BODILY:	\$1,000,000 EACH OCCURRENCE \$2,000,000 AGGREGATE
PROPERTY DAMAGE:	\$1,000,000 EACH OCCURRENCE \$2,000,000 AGGREGATE
PERSONAL INJURY: \$2,000,000 GENERAL AGGREGATE	\$1,000,000 EACH PERSON AGGREGATE
*AUTOMOBILE LIABILITY (INCLUDING OWNED, NON-OWNED AND HIRED):	\$1,000,000 BODILY INJURY EACH PERSON \$1,000,000 BODILY INJURY EACH OCCURRENCE \$1,000,000 PROPERTY DAMAGE EACH OCCURRENCE
PROFESSIONAL LIABILITY INSURANCE: E & O MINIMUM	\$1,000,000 (EACH CLAIM AND/OR EACH WRONGFUL ACT AND/OR EACH LOSS) AND \$1,000,000 FOR ALL OTHER TYPES OF PROFESSIONAL LIABILITY POLICIES (IF APPLICABLE TO THE SCOPE OF WORK): ERRORS AND OMISSIONS

* **NOTE: THE FOLLOWING STATEMENT MUST BE INCLUDED ON YOUR CERTIFICATES OF INSURANCE, INCLUDING REFERENCE TO: ASU PROJECT NUMBER AND PROJECT NAME.**

ARIZONA STATE UNIVERSITY, ARIZONA BOARD OF REGENTS, AND THE STATE OF ARIZONA SHALL BE NAMED AS ADDITIONAL INSURED UNDER THE POLICY DURING THE TERM OF THE CONTRACT. THE INSURANCE AFFORDED SHALL BE PRIMARY AND NON-CONTRIBUTORY.

(THE ADDITIONAL INSURED'S STATEMENT IS NOT REQUIRED FOR PROFESSIONAL LIABILITY AND WORKMEN'S COMPENSATION)

To Individuals, Organizations, or Businesses:

Arizona State University's procurement accounting system identifies payees by their Social Security Number (SSN) or their Federal Identification Number (FEIN). Anyone doing business with Arizona State University (ASU) must complete the business forms following this letter. Additional information is required to develop reports for State and Federal governmental agencies.

The following definitions apply when answering questions about the ownership and size of your organization.

- ▶ **Minority:** Socially and economically disadvantaged individuals including Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans and handicapped individuals. (PL-95-507) (Firm must meet either Arizona Small Business Definition or the Federal Small Business Definition. Firms can be self-certified or certified by a governmental body.)
- ▶ **Women Owned Business:** A business that is at least 51% owned by a woman or women, and whose management and daily operations are controlled by a woman or women. (PL 95-507) Firms can be self-certified.)
- ▶ **Small Business - AZ:** A business, including its affiliates, which is independently owned and operated, not dominant in its field and has fewer than 100 full time employees, or which had gross annual receipts of less than \$4 million in its last fiscal year. (ARS 41-1001.8)
- ▶ **Small Business - Federal:** A business, including its affiliates, which is independently owned and operated, is not dominant in the field or operations in which it is quoting on purchases, and with its affiliates, does not exceed 500 full time employees and has annual revenues of less than \$8,000,000. (PL 95-507)

Questions concerning the above information for Organization/Business Registration Form should be addressed to Arizona State University, Coordinator, Small Business Program, P.O. Box 875212, Tempe, AZ 85287-5212, or telephone (480)-965-6778 or facsimile (480)-965-2234.

For information pertaining to Request for Qualifications (RFQ) for Professional Design Consultants, Arizona State University advertises in the following ways:

1. Emailed to ASU Distribution List for Design Professionals and to previous ARFQ participants
2. ASU On-Line Bid Board
3. Published twice one week apart in The Tribune Newspapers and/or Glendale Star

Sincerely,

John F. Riley

John F. Riley C.P.M., Director
Purchasing and Business Services

FIRM ACKNOWLEDGEMENT (Initials):

ATTACHMENT 9: ANTI-LOBBYING CERTIFICATION

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

(Date)

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

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

- (a) The definitions and prohibitions contained in the clause, at FAR 52.203-12, Limitation on Payments to Influence Certain Federal Transactions, included in this solicitation, are hereby incorporated by reference in paragraph (b) of this certification.
- (b) The offeror, by signing its offer, hereby certifies to the best of his or her knowledge and belief that on or after December 23, 1989—
 - (1) No Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with the awarding of this contract;
 - (2) If any funds other than Federal appropriated funds (including profit or fee received under a covered Federal transaction) have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with this solicitation, the offeror shall complete and submit, with its offer, OMB standard form LLL, Disclosure of Lobbying Activities, to the Contracting Officer; and
 - (3) He or she will include the language of this certification in all subcontract awards at any tier and require that all recipients of subcontract awards in excess of \$100,000 shall certify and disclose accordingly.
- (c) Submission of this certification and disclosure is a prerequisite for making or entering into this contract imposed by section 1352, Title 31, United States Code. Any person who makes an expenditure prohibited under this provision or who fails to file or amend the disclosure form to be filed or amended by this provision, shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000, for each such failure.

(Firm)

(Address)

(Signature Required)

(Phone)

(Print Name)

(Fax)

(Print Title)

(Federal Taxpayer ID Number)

(Purchasing 01-31-2007) REV 04/06

ATTACHMENT 10: CONFLICT OF INTEREST CERTIFICATION

(Date)

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

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

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

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

(Firm)

(Address)

(Signature Required)

(Phone)

(Print Name)

(Fax)

(Print Title)

(Federal Taxpayer ID Number)

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

ATTACHMENT 11: 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 Non-procurement Programs) is at <http://epls.arnet.gov> on the Web.)
 - (B) (check one) **Have** () or **have not** (), within a three-year period preceding this offer, been convicted of or had a civil judgment rendered against them for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state, or local) contract or subcontract; violation of Federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, or receiving stolen property; and
 - (C) (check one) **Are** () or **are not** () presently indicted for, or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses enumerated in paragraph (a)(1)(i)(B) of this provision.
 - (ii) The Offeror (check one) **has** () or **has not** (), within a three-year period preceding this offer, had one or more contracts terminated for default by any Federal agency.
- (2) "Principals," for the purposes of this certification, means officers; directors; owners; partners; and, persons having primary management or supervisory responsibilities within a business entity (e.g., general manager; plant manager; head of a subsidiary, division, or business segment, and similar positions).

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

- (b) The Offeror shall provide immediate written notice to the Contracting Officer if, at any time prior to contract award, the Offeror learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- (c) A certification that any of the items in paragraph (a) of this provision exists will not necessarily result in withholding of an award under this solicitation. However, the certification will be considered in connection with a determination of the Offeror's responsibility. Failure of the Offeror to furnish a certification or provide such additional information as requested by the Contracting Officer may render the Offeror non-responsible.

ATTACHMENT 11: (Continued)
FEDERAL DEBARRED LIST CERTIFICATION

- (d) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required by paragraph (a) of this provision. The knowledge and information of an Offeror is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (e) The certification in paragraph (a) of this provision is a material representation of fact upon which reliance was placed when making award. If it is later determined that the Offeror knowingly rendered an erroneous certification, in addition to other remedies available to the Government, the Contracting Officer may terminate the contract resulting from this solicitation for default.

(Firm)

(Address)

(Signature Required)

(Phone)

(Print Name)

(Fax)

(Print Title)

(Federal Taxpayer ID Number)

(Purchasing 01-31-2007)

ATTACHMENT 12: LEGAL WORKER CERTIFICATION

(Date)

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

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

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

(Firm)

(Address)

(Signature Required)

(Phone)

(Print Name)

(Fax)

(Print Title)

(Federal Taxpayer ID Number)

(Purchasing 09-23-2008.)

ATTACHMENT 13: 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 § 35-397, the below entity does not have a scrutinized business operation in either Sudan or Iran.

(Firm)

(Address)

(Signature Required)

(Phone)

(Print Name)

(Fax)

(Print Title)

(Federal Taxpayer ID Number)

(Purchasing 09-23-2008.)

ATTACHMENT 14: VETERAN'S PREFERENCE CERTIFICATION

(Date)

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

The undersigned certifies that the below entity has a Veteran's Preference program per the following:

Contractor agrees to provide preference in initial employment for U.S. veterans by:

- Adding points to the raw score of a numerically scored screening instrument, or
- Hiring a veteran if, at the conclusion of the search process, a veteran is one of a number of comparably qualified candidates.

For purposes of this certification, "veteran" means: an honorably separated person (honorable or general discharge) who served on active duty (not active duty for training) in the Armed Forces:

- During any war declared by Congress;
- During the period April 28, 1952 through July 1, 1955;
- For more than 180 consecutive days, any part of which occurred after January 31, 1955, and before October 15, 1976;
- During the Gulf War period beginning August 2, 1990, and ending January 2, 1992; or
- For more than 180 consecutive days, any part of which occurred during the period beginning September 11, 2001, and ending on the date prescribed by Presidential proclamation or by law as the last day of Operation Iraqi Freedom; or
- In a campaign or expedition for which a campaign medal has been authorized, such as El Salvador, Lebanon, Granada, Panama, Southwest Asia, Somalia, and Haiti.

Medal holders and Gulf War veterans who originally enlisted after September 7, 1980, or entered on active duty on or after October 14, 1982, without having previously completed 24 months of continuous active duty, must have served continuously for 24 months or the full period called or ordered to active duty. Effective on October 1, 1980, military retirees at or above the rank of major or equivalent, are not entitled to preference unless they qualify as disabled veterans.

(Firm)

(Address)

(Signature Required)

(Phone)

(Print Name)

(Fax)

(Print Title)

(Federal Taxpayer ID Number)

(Purchasing 09-23-2008.)

**ATTACHMENT 15:
SUPPLIER SUSTAINABILITY QUESTIONNAIRE**

Company Name: _____ Date: _____

The Supplier Sustainability Questionnaire must be completed and returned with your Bid/Proposal. 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

ATTACHMENT 15: (Continued)
SUPPLIER SUSTAINABILITY QUESTIONNAIRE

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

ATTACHMENT 15: (Continued)
SUPPLIER SUSTAINABILITY QUESTIONNAIRE

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)

ATTACHMENT 15: (Continued)
SUPPLIER SUSTAINABILITY QUESTIONNAIRE

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?

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

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

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

Towards this end, it is ASU's expectation that all service providers have the responsibility for environmental, health, and safety issues created or otherwise arising from or related to their work under their contract with ASU. The service provider shall ensure that its employees are properly identified (e.g. officially issued picture ID and/or badge) and have been instructed about the boundaries of their work areas. Service providers will comply with all applicable local, state, and federal rules and regulations, including those related to the Occupational Safety and Health Act of 1970.

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

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

GENERAL SITE INFORMATION

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

- Permission must be obtained from the Project Manager whenever it is necessary for personnel to go to the roof of any building.
- Lunch and break areas are to be coordinated through the Project Manager.
- Pedestrians should use walkways where provided. Shortcuts shall not be taken through operating areas.
- Explosives of any type are prohibited on the site with the **exception of Powder Actuated Tools**.
- Barricading of ASU streets (contacting ASU Police at 480-965-3456 is required prior to any barricades being set).

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

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

DISCLOSURE OF ASBESTOS, LEAD AND/OR OTHER HAZARDOUS MATERIALS

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

hazardous materials. If the scope of your work changes, contact your CPMG Project Manager or designee before proceeding to determine if the change in scope may involve the potential disturbance of asbestos, lead and/or other hazardous materials.

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

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

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

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

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

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

[Service Provider Name] _____

[Street Address] _____

[City, State Zip] _____

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

[Name] _____

[Title] _____

Employer Representative Signature

Date

ATTACHMENT 17: ARIZONA STATE UNIVERSITY SUB W-9

RETURN TO ASU	ARIZONA STATE UNIVERSITY SUBSTITUTE W-9 & VENDOR AUTHORIZATION FORM	DO NOT SEND TO IRS
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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:
(must match TIN above)

Are you doing business in Arizona for purposes of sales/use tax collection and remittance? Yes No
If "Yes" please provide Arizona License # _____ and sales/use tax rate charged _____ % DUNS# _____

▶ LEGAL MAILING ADDRESS: *(Where tax information and general correspondence is to be sent)*

DBA/Branch/Location: _____
ADDRESS: _____
ADDRESS LINE 2: _____
CITY: _____ ST: _____ ZIP: _____

▶ REMIT TO ADDRESS: Same as Legal Mailing Address

DBA/Branch/Location: _____
ADDRESS: _____
ADDRESS LINE 2: _____
CITY: _____ ST: _____ ZIP: _____

▶ ENTITY TYPE

<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.

ATTACHMENT 17: ARIZONA STATE UNIVERSITY SUB W-9 (Continued)

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

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

**ATTACHMENT 18: SUBMITTAL INQUIRY FORM
(DO NOT INCLUDE WITH SUBMITTAL)**

(Use this form ONLY to submit Questions and to request General Clarifications, etc. Do not include in your submittal)

PROJECT NAME: 2012 Annual RFQ for Design Professional Services for Projects under \$250,000 for Architects and under \$500,000 for Engineers and Other Professional Services

RFQ NUMBER: 2012 Annual RFQ for Design Services

INQUIRY DEADLINE: 5:00 P.M., M.S.T., Friday September 30, 2011

QUESTIONS ON:	Yes	No
ORIGINAL RFQ PACKET or;	_____	_____
Pre-Submittal Meeting Question:	_____	_____

ADDENDUM NO. _____

SECTION NUMBER: _____

COMPANY CONTACT: _____

Firm: _____

E-mail Address: _____

Date _____ **Phone Number:** (____) _____ - _____

Fax Number: (____) _____ - _____

QUESTIONS:

Appendices 1 - 5

The following Appendices are for information only. You will be required to complete the following forms if and when you are selected to work on a project. Do not include them with your submittal.



APPENDIX 1
(To be completed for each Project as Assigned)
Request for Fee Proposal
Design Professional Services
PROJECT NAME:
PROJECT NUMBER:

Date: (faxed this date)

Fax: (XXX)-XXX-XXXX Phone: (XXX)-XXX-XXXX

Name of Firm

ATTN:
Email:

RE: REQUEST FOR FEE PROPOSAL

This letter is to acknowledge and confirm that your firm, **XXXXXXXXXXXXXXXXXX**, has been selected by Arizona State University to provide DP (A/E) services as outlined herein for the above listed project number and name, subject to a successful fee negotiation and acceptance of the pro-forma agreement to be sent under separate cover. The Agreement to be sent under separate cover is our 12-05-03 version.

The University is requesting your firm to furnish the University with your written fee proposal for the services requested for this project. **Your fee proposal is to include a detailed manpower loading plan and the fees for your services, consultants, and the hourly rate for each discipline. All fees are subject to the Arizona Board of Regents (ABOR) CONSTRUCTION COST CONTROL AND PROFESSIONAL FEE GUIDELINES.**

http://www.abor.asu.edu/1_the_regents/cost_control/cost_index.html

Fee. The contract fee shall be divided into the following as applicable:

I	Program Development Sub-phase	__%	V	Bidding and Bid Award Phase	__%
II	Schematic Design Sub-phase	__%	VI	Construction Phase	__%
III	Design Development Sub-phase	__%	VII	Closeout and Occupancy Phase	__%
IV	Construction Documents Sub-phase	__%			

The University reserves the right to accept the Scope of Services and fee in part by phase or in total for the entire project, and to determine at schematic design phase whether or not to continue with the design and construction delivery method of CMAR or change to change to design/bid/build.

Please respond in writing by no later than the close of business on XXXXXXXXXXXXXXXXXXXX, if this is not possible, please contact my office to set-up another day for your written response. If you can prepare your fee submittal before this date, we will be ready to start the fee negotiations shortly thereafter the of receipt of your initial fee proposal, we will review it first, and then we will schedule a fee negotiation meeting at the Tempe campus. I've attached our CADD drawing requirements.

Please submit your fee proposal via E-mail or facsimile to: Doug Boyer, CPPB, at Douglas.boyer@asu.edu or **480-965-2234**.

We are looking forward to hearing from you and working with you and your firm in the near future.

Sincerely,

Doug Boyer
Doug Boyer, C.P.M., CPPB,
Purchasing Construction Manager
Purchasing and Business Services

Attachments

PLANNING PRINCIPLES AND CONCEPT PLAN

Purpose

To outline the principles in guiding the development of the Arizona State University main campus

Source

Main Campus Public Art and Design Review Council

Policy

The University's Planning Principles and Goals will be used by everyone who is in any way responsible for the development and maintenance of the physical environment of the ASU main campus. They will be used in the development of master and area plans, as guidelines for consultant selection panels, and by architects, landscape architects, planners, other design professionals, the Main Campus Public Art and Design Review Council, Facilities Management, and all officers, staff, and members of the university.

ASU Design Guidelines, Comprehensive Development Plan and Tempe Master Plan

The ASU Design Guidelines, ASU Comprehensive Development Plans and the Tempe Master Plan are available under Construction Forms at: <http://cfo.asu.edu/purchasing-forms>.



The following documents are located on the Purchasing Forms Page at

<http://cfo.asu.edu/purchasing-forms>

Current Forms of Agreement /Contracts

Design Guidelines

Comprehensive Master Plan

Comprehensive Master Plans for Tempe, Downtown, Polytechnic and West Campuses

ABOR Minimum Requirements for Program Phase

ABOR Minimum Requirements for Documents

(Includes requirements for Schematic Design Development, Construction, Construction Administration, Project Close-out documents and project drawings requirements)

Supplemental Requirements Sample Forms:

If you do not have access to the internet, please contact (Doug Boyer, or Pamela Thompson Lefkowitz, 480-965-3655 or Pamela.Thompson2@asu.edu), and a copy can be mailed to you.

2012 Annual Request for Qualifications Frequently Asked Questions (FAQ) Sheet

The following is a list of the most frequently asked questions regarding Arizona State University (ASU) Annual Request for Qualifications. If any questions remain unanswered, please contact Doug Boyer, Douglas.Boyer@asu.edu.

1. Q: We have heard that the limits for the University's ARFQ process have been increased. Is that true and, if so, what are the new limits?
 A: In June 2006, The Arizona Board of Regents authorized an increase to the fee limits established for the ARFQ process. The current limits are:
 - 1) \$250,000 or less for Professional services by an architect or architectural firm;
 - 2) \$500,000 or less for Professional services by a person or firm other than an architect or an architectural firm.

2. Q: My firm already has an open-end agreement with ASU. Is it necessary that we respond to the ARFQ?
 A: **YES.** If your firm would like to be considered for projects not covered under your agreement, you **must** respond to the ARFQ. The information submitted with the ARFQ is put into a database. As projects com up, a sort of the database is done. The parameters used to facilitate the sort are taken from the most recent ARFQ. Previous years' information is purged from the database. If you do not respond to the current ARFQ, your firm will not be in the database and will not show up during a sort. ASU does not normally enter into open ended agreements.

3. Q: My firm submitted an ARFQ this year. Can you tell me its status?
 A: The plans are for the 2012 Annual RFQ to go live the beginning of January, 2012. Firms will be notified when the switch is made from the 2010 Extended Annual RFQ to the 2012 Annual RFQ. The list of Annual RFQ firms will be on the Purchasing Web Site at <http://cfo.asu.edu/licensing-annual-rfq>.

4. Q: My firm has a current ARFQ on file with ASU. Today we read about a project PDC is managing. Why weren't we notified of this project?
 A: Submittal of an ARFQ and inclusion in the database does **not** mean a firm will be notified of upcoming University projects. Professional design service requests for all ASU project budgets over \$5,000,000 are advertised on the ASU Bid Board at <http://cfo.asu.edu/licensing-bidboard> and in the Tribune Newspapers.

5. Q: We're a general contracting firm and interested in doing projects at The University. Do we need to submit an ARFQ?
 A: Not necessarily. The ARFQ is designed for firms providing professional services such as design-related or specialty services such as materials testing, cost estimating, construction management, partnering facilitation, etc. As a state entity, any qualified General Contractor is eligible to bid on construction projects. If your firm is interested in providing construction of a project, **no**, you do not need to submit an ARFQ. However, if your firm provides construction management service or partnering facilitation and you would like to be considered for these services, **yes**, you should submit an ARFQ.

APPENDIX 4 (Continued)
Frequently Asked Questions (FAQ) Sheet

6. Q: My firm submitted an ARFQ this year. We have since added two new disciplines with Arizona registrations. Do we need to notify The University and, if so, how?
- A: ARFQs can be updated, revised, submitted or withdrawn at any time. If your firm has submitted an ARFQ and it is in the database, Arizona State University should be notified of any changes made. Those changes include a change of address, change in firm name, change in ownership, addition to or deletion of registered personnel. A complete ARFQ response is ***not*** required in order to notify The University of these changes. To notify the University of changes contact Pamela Thompson Lefkowitz, 480-965-3665, pamela.thompson2@asu.edu or Jennifer Quraishi, 480-965-3641, jennifer.quraishi@asu.edu to determine what you will need to submit.
7. Q: How do I provide supplemental information on my projects?
- A: The RFQ Supplemental Information **is to cover up to three (3) projects per specialization for a total of up to ten (10) 8 ½" x 11" pages** of supporting information in addition to the consultant data forms to illustrate ***specific experience and or emphasis on projects or other service specialties***, as indicated on the RFQ Consultant Data Sheet (Attachment 3). Each page is to utilize the format illustrated below. **Projects are to have been begun or completed in the last five (5) years.** You would meet the 5 year criteria, if you began or completed a project involving professional services in 2006 or sooner.

DIRECTIONS TO USB VISITOR PARKING AND BUILDING PROTOCOL

Purchasing and Business Services is in the University Services Building, (1551 S. Rural Road, Tempe AZ, 85281) located on the east side of Rural between Broadway Ave and Apache Boulevard. Visitors may park in USB Lot 45, located directly behind the building, using the **Pay by Space machine**. 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.

Warning: If you are attending a pre-submittal meeting, interviews, or similar meeting, please do not park in any reserved spaces. For example, 20 min loading, Human Resources 20 min parking, or Financial Services reserved spaces, etc. If your vehicle is ticketed or towed, you will be responsible for your vehicle.

If you are visiting USB anywhere other than the Front Lobby, check in and obtain a [visitor's badge](#) from the USB Reception Desk to wear while in the building. The receptionist will call to have you escorted to your meeting.