Note: All Forms and Attachments must be signed or acknowledged appropriately and submitted with your proposal.

(Include 1 hardcopy set with your 1 hardcopy original RFQ Proposal)

Attachment 1: Addenda, Selection Process, General Instructions, Regulatory Information And Supplemental Requirements Acknowledgment
Attachment 2: Intentionally Omitted
Attachment 3: Reference Format
Attachment 4: Proposal Certification
Attachment 5: Anti-Lobbying Certification
Attachment 6: Conflict Of Interest Certification
Attachment 7: Federal Debarred List Certification
Attachment 8: Legal Worker Certification
Attachment 9: Veteran’s Preference Certification
Attachment 10: Supplier Sustainability Questionnaire
Attachment 11: Service Provider Acknowledgement
Attachment 12: Intentionally Omitted
Attachment 13: Small Business Diversity Form
Attachment 1: 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: DB 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: DB 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: DB 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 DB will comply with Owner’s requirements as they apply to DB and Subcontractors. DB and Subcontractors will need to complete ASU Certification Forms and submit with each pay application. Detailed information can be found under Construction Forms, 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 DB.

Acknowledged By: _________________________________________ Dated: ______________
Attachment 2: Intentionally Omitted
Attachment 3: Reference Format

Arizona State University requires a minimum of THREE (3) references and or a maximum of five (5) (most recently) completed projects, which are similar in magnitude, complexity, and dollar value.

1. Company Name: ____________________________________________
   Address: __________________________________________________
   Phone Number: _____________________________________________
   Facsimile Number: __________________________________________
   Person to Contact: __________________________________________
   (Email Address) ____________________________________________
   Bid # or Project # and Date of Completion ______________________
   Brief Project Description: __________________________________
   (Including Partnering Team)
      _________________________________________________________
      _________________________________________________________
      _________________________________________________________

2. Company Name: ____________________________________________
   Address: __________________________________________________
   Phone Number: _____________________________________________
   Facsimile Number: __________________________________________
   Person to Contact: __________________________________________
   (Email Address) ____________________________________________
   Bid # or Project # and Date of Completion ______________________
   Brief Project Description: __________________________________
   (Including Partnering Team)
      _________________________________________________________
      _________________________________________________________
      _________________________________________________________
REFERENCE FORMAT (continued)

3. Company Name: _______________________________________________________
   Address: ________________________________________________________________
   Phone Number: ___________________________________________________________
   Facsimile Number: _________________________________________________________
   Person to Contact: ________________________________________________________
   Bid # or Project # and Date of Completion
   Brief Project Description: ___________________________________________________
   (Including Partnering Team)

4. Company Name: _________________________________________________________
   Address: ________________________________________________________________
   Phone Number: ___________________________________________________________
   Facsimile Number: _________________________________________________________
   Person to Contact: ________________________________________________________
   Bid # or Project # and Date of Completion
   Brief Project Description: ___________________________________________________
   (Including Partnering Team)
### REFERENCE FORMAT (continued)

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<td>Brief Project Description: (Including Partnering Team)</td>
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Attachment 4: Proposal Certification

(Date)

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

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

☐ There is no officer or employee of Arizona State University (ASU) who has, or whose relative has, a substantial interest in any contract award subsequent to this proposal/bid.

☐ 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 award subsequent to this proposal/bid are identified by name as part of this submittal.

The undersigned further certifies that their firm (✓ one) ☐ IS or ☐ IS NOT currently debarred, suspended, or proposed for debarment by any federal entity. The undersigned agrees to notify ASU of any change in this status, should one occur, until such time as an award has been made under this procurement action.

The undersigned represents and warrants to ASU that the firm or individual has completed an internal manpower loading plan and the firm or individual has the personnel and resources to accept an award of the contract for Design Build services and to prosecute the design phase services for the Project and if a separate contract is entered into for the construction phase to also prosecute construction of the Project in accordance with the applicable contract documents should the firm or individual be awarded this contract.

In compliance with REQUEST FOR QUALIFICATIONS/ ASU PROJECT NO. DB - _______ and after carefully reviewing all the terms, conditions and requirements contained therein, the undersigned agrees to furnish such goods/services in accordance with the requirements of the Request for Qualifications.

Supplier Type: (Check all that apply)

Diversity firms can be either certified through the National Minority Supplier Development Council (NMSDC), Service Veterans Enterprises (includes Service Disabled and Veterans), Women Business Enterprise Council (WBEC), or Classified as they must be considered under Arizona or Federal Small business status, plus 51% ownership by the diversity owner.

Large Business___; Small Business (AZ)___; Small Business (Fed)___; Small Disadvantaged (SD)___; Women Owned (WO)___; Minority Owned___; Disabled Veteran Owned (VO)___; National Minority Supplier Development Council (NMSDC)_____.

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

Large Business___ Small Business (AZ)___ Small Business (Fed)___ Small Disadvantaged (SD)___ 
Women Owned (WO)___ Minority Owned___ Disabled Veteran Owned (VO)___

Certified by City of Phoenix_____

FORMS OF CONTRACT DOCUMENTS. The undersigned certifies that the undersigned has read Owner’s current forms of Design Builder contract documents, which are available 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 the Design Builder for this project, the undersigned agrees to execute this form of contract documents. 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.

(Firm)

(Address)

(Signature of Authorized Agent required)

(Phone no.)

(Print name)

(Fax no.)

(Title)

(Fed. tax id no.)

(Email)

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)
Attachment 5: Anti-Lobbying Certification

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

_____________________
(Date)

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 University; and

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

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

(Signature page follows)
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(Purchasing 01-31-2007)

REV 04/06
Attachment 6: Conflict Of Interest Certification

_____________________
(Date)

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.

________________________________  ________________________________
(Email address)     (Address)

________________________________  ________________________________
(Signature required)     (Phone)

________________________________  ________________________________
(Print name)      (Fax)

________________________________  ________________________________
(Print title)      (Federal Taxpayer ID Number)
Attachment 7: Federal Debarred List Certification

Certification Regarding Other Responsibility Matters (April 2010)

_____________________
(Date)

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; ( 

   (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.

   (D) (check one) Have ( ) or have not ( ) within a three-year period preceding this
offer, been notified of any delinquent Federal taxes in an amount that exceeds $3,500
for which the liability remains unsatisfied.

   (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) (a) “Principal,” for the purposes of this certification, means an officer; director; owner;
partner; or, person 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).

(b) The Offeror shall provide immediate written notice to the University 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 University may
render the Offeror nonresponsible.

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

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

________________________________  ________________________________  
(Email address)     (Address)

________________________________  ________________________________  
(Signature required)     (Phone)

________________________________  ________________________________  
(Print name)      (Fax)

________________________________  ________________________________  
(Print title)      (Federal Taxpayer ID Number)
Attachment 8: 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 9: 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.

OR

NOTE: As an alternate to signing this certificate shown above, you can also meet the Veteran’s Certificate requirement by meeting Federal Hiring Guidelines as a Federal Contracted Provider. You self-certify that you meet the guidelines required Federally by checking the box below, signing below, and by attaching a copy of your stated hiring policy,

☐ Check Box for Self-Certification per Federal Hiring Guidelines

(Firm) ________________________________ (Address) ________________________________

(Signature Required) ________________________________ (Phone) ________________________________

(Print Name) ________________________________ (Fax) ________________________________

(Print Title) ________________________________ (Federal Taxpayer ID Number) ___________

(Purchasing 1-14-2014.)
Attachment 10: Supplier Sustainability Questionnaire

The Supplier Sustainability Questionnaire is used to help ASU understand how sustainable a supplier is. Sustainability is an important goal for the university, and as such, we expect our suppliers to help us support this goal. There are two different questionnaires posted, one is for large companies while the other is for small businesses. A company is considered to be large when there are more than 100 full-time employees or over 4 million dollars in annual revenue generated.

Sustainability Questionnaire A – Small Businesses
Sustainability Questionnaire B – Large Businesses
SUPPLIER SUSTAINABILITY QUESTIONNAIRE – SMALL COMPANY

Firm Name: ___________________________ Date: ___________________________

The Supplier Sustainability Questionnaire must be completed and returned with your Proposal. This questionnaire is applicable to firms that provide services as well as those that provide goods.

Arizona State University’s vision is to be environmentally sustainable while expanding our education, research, and community support programs. The University seeks suppliers who share our sustainability vision. Accordingly, please answer the following questions.

To each question please provide at least one of the following types of responses:

• An explanation or description
• A URL of your policy or program

An electronic copy of your illustrative policies or programs must be provided if requested. If the question does not apply, answer with N/A and provide an explanation as to why.

Energy
1. What is your firm doing to be energy efficient?
2. What plan is in place to reduce greenhouse gas emissions in the future?

Solid Waste
1. What is your firm doing to reduce waste to landfill?
2. What plan is in place to reduce waste to landfill generated in the future?

Water Waste
1. What is your firm doing to reduce water waste?
2. What plan is in place to reduce water waste in the future?

Packaging
1. What is your firm’s plan to minimize packaging and/or describe your firm’s packaging “Take Back” program?
2. What kind of reusable, recyclable, and/or compostable packaging materials does your firm use?
3. What does your firm do to encourage/require your suppliers to minimize packaging and/or use reusable, recyclable, or compostable packaging materials?

Sustainability Practices
1. What programs does your firm have to encourage your employees to use alternative transportation while commuting to work and travelling locally?
2. What sustainability guidelines or environmental statement does your firm have to guide the firm as a whole?
3. What are your firm’s sustainable purchasing guidelines?
4. What kind of position(s) or team(s) does your firm have dedicated to overseeing sustainability initiatives?
5. List the sustainability related professional associations of which your firm is a member.
6. What kind of effort does your firm make to reduce the use of environmentally harmful materials?
7. Does your firm use Green Seal/EcoLogo certified or biodegradable/eco-friendly cleaning products?
8. Has your firm been cited for non-compliance of an environmental or safety issue in the past ten years?
9. Name any third party certifications your firm has in regards to sustainable business practices?
10. Describe any other initiatives your firm has taken to integrate sustainability practices principles into your operations.

Community
1. What charity, community development, educational programs, or environmental programs is your firm involved in within your local community?
2. What educational programs does your firm have to develop employees?
SUPPLIER SUSTAINABILITY QUESTIONNAIRE – LARGE COMPANY

Firm Name: ___________________________       Date: ___________________________

The Supplier Sustainability Questionnaire must be completed and returned with your Proposal. This questionnaire is applicable to firms that provide services as well as those that provide goods. Arizona State University’s vision is to be environmentally sustainable while expanding our education, research, and community support programs. The University seeks suppliers who share our sustainability vision. Accordingly, please answer the following questions.

To each question please provide at least one of the following types of responses:

- An explanation or description
- A URL of your policy or program

An electronic copy of your illustrative policies or programs must be provided if requested. If the question does not apply, answer with N/A and provide an explanation as to why.

Energy
3. What is your firm doing to be energy efficient?
4. What are your firm’s annual greenhouse gas emissions in metric tons of carbon dioxide equivalent? (Enter total metric tons of CO2 equivalency [includes the following GHGs: CO2, CH4, N2], SF6, HFCs and PFCs)
5. What plan is in place to reduce greenhouse gas emissions in the future?

Solid Waste
3. What is your firm doing to reduce waste to landfill?
4. What is your firm’s annual waste to landfill generated in metric tons? (Enter total metric tons)
5. What plan is in place to reduce waste to landfill generated in the future?

Water Waste
3. What is your firm doing to reduce water waste?
4. What is your firm’s annual water waste in gallons? (Enter total gallons)
5. What plan is in place to reduce water waste in the future?

Packaging
4. What is your firm’s plan to minimize packaging and/or describe your firm’s packaging “Take Back” program?
5. What kind of reusable, recyclable, and/or compostable packaging materials does your firm use?
6. What does your firm do to encourage/require your suppliers to minimize packaging and/or use reusable, recyclable, or compostable packaging materials?

Sustainability Practices
11. What programs does your firm have to encourage your employees to use alternative transportation while commuting to work and travelling locally?
12. What sustainability guidelines or environmental statement does your firm have to guide the firm as a whole?
13. What are your firm’s sustainable purchasing guidelines?
14. What kind of position(s) or team(s) does your firm have dedicated to overseeing sustainability initiatives?
15. List the sustainability related professional associations of which your firm is a member.
16. What kind of effort does your firm make to reduce the use of environmentally harmful materials?
17. Has an environmental life-cycle analysis of your firm’s products been conducted by a certified testing organization?
18. Does your firm use Green Seal/EcoLogo certified or biodegradable/eco-friendly cleaning products?
19. Has your firm been cited for non-compliance of an environmental or safety issue in the past ten years?
20. Name any third party certifications your firm has in regards to sustainable business practices?
21. Describe any other initiatives your firm has taken to integrate sustainability practices principles into your operations.

Community

3. What charity, community development, educational programs, or environmental programs is your firm involved in within your local community?
4. What educational programs does your firm have to develop employees?

If your firm is just beginning the sustainability journey, or is looking for tools and resources, here are some suggestions:

Energy
- Greenhouse Gas Protocol provides tools to calculate emissions that are industry specific:
  - [http://www.ghgprotocol.org/calculation-tools](http://www.ghgprotocol.org/calculation-tools)
- Practice Green health provides basic information and tools for emissions as well:

Solid Waste
- The EPA’s pre-built excel file to help measure and track your waste and recycling:
  - [http://www.epa.gov/smm/wastewise/measure-progress.htm](http://www.epa.gov/smm/wastewise/measure-progress.htm)
- Greenbiz’s comprehensive guide to reducing corporate waste:

Water Waste
- BSR’s guide on how to establish your water usage:
- EPA information about conserving water:
  - [http://water.epa.gov/polwaste/nps/chap3.cfm](http://water.epa.gov/polwaste/nps/chap3.cfm)
Packaging
Links to get you started on sustainable packaging:

Sustainability Practices
Ideas for alternative transportation programs:

The EPA environmentally preferable purchasing guidelines for suppliers:
- http://www.epa.gov/epp/

EPA life cycle assessment information:
- http://www.epa.gov/nrmrl/std/lca/lca.html

Green Seal green products & services:

Ecologo cleaning and janitorial products:

EPA information on sustainable landscape management:
http://www.epa.gov/epawaste/conserve/tools/greenscapes/index.htm
Attachment 11: Service Provider Acknowledgement Form

All service providers are required to read and sign this ASU Service Provider Acknowledgement prior to performing work 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.

SERVICE PROVIDER ACKNOWLEDGEMENT

Arizona State University (ASU) 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 (OSHA) 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 DEFINITION

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 (it is required that ASU Police at 480-965-3456 must be contacted prior to any barricades being set).

• Compliance with any applicable dust control requirements are the responsibility of the service provider.

• It is the service provider’s responsibility to remove excess materials, such as paints, oils, adhesives, from ASU property by the end of the project.

• Consult with the project manager and ASU Environmental Health and Safety (EHS) if the project will involve regulated ASU waste, such as potentially contaminated soil, light bulbs or oil.

• Chemicals, paints, oils, fuels, etc. must be located so as to avoid potential contamination of storm drains and dry wells. The project manager will assist with determining the appropriate location.

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 PTS at 480-965-6124. Do not block entrance ramps, trash docks, and truck doors, etc.

LOCKOUT/TAGOUT
ASU has established very specific control measures related to the control of potentially hazardous energy referred to Lockout/Tagout/Verify for all maintenance and construction related activities at ASU facilities. Each service provider conducting similar activities must adhere to all requirement of the ASU program which mirrors the OSHA Standard 29 CRF 1901.147 as posted on our website (Workplace Community Safety) with the exception of the service provider’s designated lock. Each service provider is required under OSHA regulations to have their own program meeting the standards requirements, but all requirements in the ASU program with the exception of lock color and style must be met including notification of all affected personnel of the Lockout/Tagout/Verify activity, logging activities, and transitioning to equipment out of service. Service providers may be required by their project manager to post notices identifying their designated locks. At no time may Lockout/Tagout devices be used for equipment out of service.

ELECTRICAL SERVICES
Work on live electrical services at 50 volts or higher is prohibited unless permitted through your project manager under the ASU Electrical Safety Program. All work on electrical services must be locked out as required under 29 CFR 1910.147.

DISCLOSURE OF ASBESTOS, LEAD AND/OR OTHER HAZARDOUS MATERIALS
ASU is informing all service providers of the potential presence of asbestos (e.g. which may be found in caulk, sheetrock joints, vinyl tiles, etc), 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 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 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 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 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 project manager or designee.

The Service Provider Job-Site Safety Information orientation document is meant to serve as a guide for the service provider, 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.

TEMPE CAMPUS UTILITY TUNNEL SYSTEM
Asbestos exists in the underground utility tunnel system located on the Tempe Campus of ASU. It is your responsibility to discuss the scope of your work with the project manager or designee in order to provide you with any further information related to asbestos issues which may be encountered during any work in the tunnels.

The gravel or earthen flooring material throughout the tunnel system has become contaminated material from historical damage and repair to pipe insulation. Walking on, or other disturbance to, the flooring material may cause entrained asbestos fibers to become airborne.

In addition, asbestos is present in most thermal system insulation applied to steam, steam condensate and hot water piping. The disturbance of insulation materials is strictly prohibited.

ASU has determined that persons working in the underground utility tunnel system may be potentially exposed to airborne asbestos fibers at or above the OSHA permissible exposure limit of 0.1 fibers per cubic centimeter (f/cc).

Service providers are advised that airborne fibers which exist in the tunnel areas may be below the minimum length of five microns capable of being detected by analysis using
Phase Contrast Microscopy (PCM) analytical techniques. Airborne fibers within the tunnels are detectable using Transmission Electron Microscopy (TEM) methods. Each service provider is responsible for ensuring proper use of personal protective equipment including respiratory protection at all times while working in the Tempe tunnel system.

Contaminated waste materials generated by use of such personal protective equipment are required to be appropriately packaged in Department of Transportation-approved and labelled asbestos waste bags. Bags are to be removed from ASU property and properly disposed at the end of each work shift. Bags staged to accept waste are required to contain visible labels that clearly identify the name of the firm generating the waste, contact phone numbers, the dates, where the waste was generated, and the ASU project number.

It is your responsibility to discuss the scope of work conducted within the tunnel system with your employees, or sub-contracted employees, and to provide the appropriate training, personal protective equipment and air monitoring as required by OSHA.

POLYTECHNIC CAMPUS
The Polytechnic Campus is subject to specific excavation requirements. Contact EHS at 480-965-1823 if the project involves excavation at the Polytechnic Campus.

Accordingly, ASU expects each service provider to supplement the provisions contained in the Service Provider Job-Site Safety Information & Guidelines Orientation 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 Safety Information & Guidelines Orientation document located at EHS Safety Manual and/or have attended the Service Provider Job-Site Safety Information & Guidelines orientation program produced by ASU 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.

[Name]

[Title]
Attachment 12: Intentionally Omitted
Attachment 13: Small Business Diversity Form

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. Business must be 1% minority owned, whose management and daily operation are controlled by minority owner. Firms can be self-certified or certified by National Minority Supplier Development Council, Inc. (NMSDC) or its affiliates or 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 certified by: Womens’ Business Enterprise Council (WBEC) or its affiliates or can be self-certified.

□ Service Disabled Veteran Owned: Must have served, and was Disabled while in active duty in the United States of America (USA) Armed Forces. Veteran must have an “honorable discharge” designation. Must be 51% owned and managed by Serviced Disabled veterans (male or female or combination). Firm can be self-certified.

□ Veteran Owned: Must have served in the United States of America (USA) Armed Forces and received a "Honorable Discharge" designation. Must be 51% owned and managed by Veteran (male or female or combination). 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), but dollar amount will vary in Construction specialty fields (i.e. plumbing, gen’l, electrical),

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

(Firm) (Address)

(Signature Required) (Phone)

(Print Name) (Fax)

(Print Title) (Federal Taxpayer ID Number)

(Purchasing 12-3-12.)