REQUEST FOR QUALIFICATIONS
DESIGN PROFESSIONAL SERVICES

Date Issued: 10/4/13

THE ARIZONA BOARD OF REGENTS
for and on behalf of

ARIZONA STATE UNIVERSITY

2014 Annual Request For Qualifications
for
Facility-Related Professional Services

Time and Date of Pre-Submittal Conference 10:00 AM, MST, 10/11/13
Deadline for Inquiries 5:00 PM, MST, 11/4/13
Time and Date Set for Submittal 10:30 AM, MST, 11/18/13
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The Arizona State University is updating its consultant qualifications files for facility-related professional services, including, but not limited to, Design Professional (DP) Architectural, Pre-Construction, Cost Estimating, Commissioning, Facility Project Programming, and Engineering Services. **ALL INTERESTED FIRMS (INCLUDING FIRMS THAT ALREADY HAVE PACKAGES ON FILE) MUST SUBMIT NEW QUALIFICATIONS PACKAGES TO BE CONSIDERED FOR SELECTION TO PROVIDE THESE SERVICES.** Qualification packages will be valid through December 31, 2018. However, firms will need to submit each year either an updated/revised submittal or a letter on company letterhead, signed by an authorized signatory of your firm, stating that there are “NO CHANGES.”

**Purpose:**
1. To provide the prospective consultant with the opportunity to indicate interest in being considered for University work and to establish areas of interest, expertise, and experience, as allowed by 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.

**Additional Information:**
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 ARQ apply for 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 architectural firm, and up to $500,000 for engineering services and other non-architectural professional services. If these amounts are amended under future ABOR Policy, the amounts will automatically be likewise amended in the existing ARQ.

This ARQ is a means to establish qualifications only. To be eligible for consideration, applicants must be registered professionals in the State of Arizona if such registration is required by State Law. The respondent is responsible for the accuracy of information submitted, but incurs no further obligation to enter into a contract as a result of the submittal. Attention is directed to Part II, Instructions to Respondents, and Part III, Implementation Procedure. The University will utilize material submitted as an aid in selection of prospective consultants. Only the Standard Form Agreement (master contract) or project-specific contracts (Project Authorization) will be binding on either the consultant or the University. **NOTE: Please be advised that Contracts are subject to revision without notice.**

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.

**To obtain copy of ARQ and the Standard Form Agreement:**
Interested firms may obtain the 2014 Annual Request for Qualifications by visiting the ASU Construction Bid Board at [http://asu.edu/purchasing/bids/construction_bids.html](http://asu.edu/purchasing/bids/construction_bids.html). The ASU Forms are located on the Forms web page at [https://cfo.asu.edu/purchasing-forms](https://cfo.asu.edu/purchasing-forms), under the Annual RFQ Design section.

**Pre-Submittal Meeting (Optional):**
ASU is converting to new totally on-line process. It is highly recommended that interested firms attend the pre-submittal conference, which will be held October 11, 2013 at 10:00 A.M. at the Skysong Campus in Room SS1 #150 (Convergence). Skysong is located on the Southeast corner of Scottsdale Road and McDowell Rd. A systems support staff member will be at the meeting to answer questions. We ask that the individual preparing and submitting the documents attend the pre-submittal conference. Convergence #150 is in Building 1 with an exterior entrance at the southeast corner of the building on the 1st floor. Go to the Skysong website (skysong.asu.edu/events) for printable directions.

**Submittal of Qualifications Packages:**
Please follow instruction in Section II of the ARQ for information regarding how to create and submit qualifications packages. **NO MATERIAL BEYOND THAT REQUESTED UNDER THE ARQ SHOULD BE INCLUDED IN THE SUBMITTAL PACKAGE.**

All correspondence relating to this Project should be addressed to:

**Purchasing and Business Services**  
Attention: Pollie Carter  
Purchasing Construction Manager  
Arizona State University  
PO Box 875212  
Tempe, Arizona 85287-5212  

**ARIZONA BOARD OF REGENTS**  
By _____ Rick Myers  
By _____ Dennis DeConcini

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2014 Tri-U ARFQ
SECTION I – PROCESS OVERVIEW

A. ARQ Submittals

Each digital ARQ Submittal consists of the following:

Part 1 “Consultant Data Sheet” (Attachment A – blank template attached) containing:
  o General Information
  o Disciplines
  o Experience Emphasis
  o Arizona Professional Licenses
  o Insurance Information (Note: must comply with the insurance requirements in Article 7 of the Standard Form Agreement.)
  o Ownership and Organization Classification

Part 2 “Content of Submittal” containing:
  o Comparable Projects by discipline (Attachment B – template is attached)
  o Key Personnel Resume Information (Attachment C – template is attached)
  o Clients References (Attachment D – template not attached)
  o List of Licenses (Attachment E – template is attached)
  o Other – Certifications and Legal Requirements (Attachment F – templates are attached)
  o Other Specific University Requirements (Attachment G – template are attached)

ASU is instituting a new all electronic submittal process. It is highly recommended that you and the individual in your firm who will be preparing and uploading your submittal to the ASU Site attend the pre submittal meeting.

To successfully upload the submission you will need to carefully follow the directions in the titled document “How to Access ASU SharePoint OpenID Site.” It is posted separately on the ASU Construction Bid Board under the title of “Setting Up Your ARFQ OpenID Email Authentication.”

1. Respondents will do the following items:
   o Prepare your submittal
   o Set up access to the ASU Purchasing SharePoint OpenID Site. (https://arfq-openid.sp10.asu.edu)
   o Complete the Company Contact Form
   o Upload your submittal
   o Complete the on-line form
   o Click the Submit Button

2. ASU with then review each submittal for completeness. If the submittal is complete, it will be approved.

3. If there is a problem with the submittal
   a. The reviewer will change the status to Rejected-On Hold. The site will send an email to the firm’s listed email.
   b. The firm will then be able to make their correction and resubmit the entire updated document.
   c. The new submittal will be reviewed and either approved or rejected.

4. Respondents will be notified by email when ASU begins using the 2014 Annual RFQ submittals.

Submittal of qualifications does not mean notification of upcoming projects or other Requests for Qualifications. However, all respondents to the ASU Annual RFQ are placed on the ASU Design Professional Email Distribution List and so will receive notification of design solicitation opportunities. Consultants should familiarize themselves with the various contract forms prior to selection to prevent disqualification upon selection due to contractual issues resulting in unnecessary delay. The successful consultant is expected to complete the necessary documents without delay.

Responding firms are responsible for keeping information current and up-to-date by updating their submittal on the OpenID site with any changes, including but not limited to changes in Firm Name, address and personnel. Firms will be able to upload changes at any time. However, there will also be a designated time to submit your firm’s renewal letter or revised submittal. These dates will be January 2015, January 2016, January 2017 and
January 2018. You will receive an email reminder the month before current term expires. This includes submitting an updated Substitute W-9 to construction@asu.edu when the information on the Sub W-9 changes. Should your firm have any of the following events, you must email an updated Substitute W9 to Construction@asu.edu and upload the revised document to your submittal.

- Change in firm Name
- Change in Firm Address
- Change in Firm Tax ID Number

B. Review and Selection of Firms for a Project

When the University identifies a need for a consultant for a project, the University performs a sort, based on specific project needs, from the database, which is populated from the information on the form your firm has completed on the SharePoint OpenID Site.

Then, the University Committee reviews the contents of qualification of submittals for the short-listed candidates for the specific project. The committee may request additional information from the consultants. The Committee then selects the successful consultant.

C. Contract Negotiation

The University shall negotiate with the selected firm, and if negotiations are successful, the firm will receive a Project Authorization.

If negotiations are unsuccessful, 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

A. General

All ARFQ qualification submittals should follow the format and sequence described in the paragraphs below to allow a standard basis for data collection and evaluation. 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.

B. Content of Submittals

The submittal shall not exceed thirty-one (31) pages (excluding resumes and letters of recommendation) based on the content described below. Documents below are available in a Microsoft Word format on the Purchasing forms page at https://cfo.asu.edu/purchasing-forms. The Annual RFQ documents are located at the bottom of Section 9 – Miscellaneous Construction Documents. The pages in your electronic document 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 by hand and then scanned.

<table>
<thead>
<tr>
<th>No. Pages</th>
<th>Required Item</th>
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<tbody>
<tr>
<td>1</td>
<td>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.</td>
</tr>
<tr>
<td>5</td>
<td>Attachment A, RFQ Consultant Data Sheet and Certification Form Respondents are encouraged to include items that are within the scope, size, experience, and ability of the firm. As the respondent's qualifications change, updated information can be submitted at any time.</td>
</tr>
<tr>
<td>1</td>
<td>Attachment A.1 - Addendum Acknowledgement</td>
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<tr>
<td>2 pages per specialization</td>
<td>Attachment B, Comparable Projects and RFQ Supplemental Information (Letters of Recommendation are not included in the page count) Do not include statements of qualifications from your sub-consultants. PLEASE FOCUS ON YOUR MAIN STRENGTHS.</td>
</tr>
<tr>
<td>Up to a maximum of 10 pages</td>
<td>LIMIT YOUR EXAMPLES TO WORK THAT WAS BEGUN OR COMPLETED DURING THE PAST 5 YEARS.</td>
</tr>
<tr>
<td>1 – 2 Pages</td>
<td>Attachment C, List Firm and Individual Licenses or certifications. Interior Design will require NDICQ Certification for the first time.</td>
</tr>
<tr>
<td>N/A</td>
<td>Attachment D, Key Personal Information and Resumes (Only provide resumes for your firm team members, do not include resumes for your sub-consultants)</td>
</tr>
<tr>
<td>N/A</td>
<td>Attachment E, Client References (provided by firm). Respondents should include contact name, company name, address and phone number.</td>
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<td>1</td>
<td>Attachment F, Consultant Firm Certifications:</td>
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<td>1</td>
<td>F.1 - Anti-Lobbying Certification</td>
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<td>F.2 - Conflict of Interest Certification</td>
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<td>2</td>
<td>G.2 - Service Provider Acknowledgement</td>
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C. Format of Submittals

Each firm shall submit their qualifications in the following format:

- **No paper copy will be submitted. Format of document uploaded to SharePoint OpenID Website needs to be in "8.5" x 11" format**

- The proposal shall have a **thirty-one (30 to 31) page limit**, 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 do not need to be used in your electronic document. However, if you include section dividers or blank pages, they do not count toward the page limitations.

- **Your uploaded submittal needs to be less than 5 MB. We will enforce the 5 MB document size.**
  - Compress photos, etc. in smallest size format possible. (Refer to the document listed below for assistance in compressing document size.)
  - We ask that you do not submit confidential financial information with your submittal. ASU does not require financial information with your submittal.
  - Company marketing materials is 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.)

D. Delivery of Submittals

The response to this solicitation is entirely electronic. You must utilize Access the ASU OpenID Site to submit your package. A document “Setting up Your ARFQ OpenID Email Authentication” is posted separately on the ASU Construction Bid Board under the title of “Setting Up Your ARFQ OpenID Email Authentication.” **Do not begin the process until after you attend the Pre-submittal Meeting.** If you are submitting after the initial Due Date, you must send an email to Construction@asu.edu for assistance.

The rest of the instructions are located on the OpenID Site. Following are the main steps to the new process:

1. Set up your ARFQ Email and request access
2. When your email is authenticated, you will receive a system generated email.
3. Read the how to submit instructions on the site
4. Set up your Company Information Page
5. Prepare your submittal
6. Upload your submittal, complete the on-line form and save
7. The site will send an email to Construction@asu.edu
8. Your package will be assigned to a buyer to be evaluated
9. You will receive an email whether email has been approved or rejected.

If your firm is comfortable, you can submit prior to the due date. This will facilitate the use of the Annual RFQ by the ASU end users. All responses, received after the due date, will held until earlier submissions have been evaluated and approved.
E. Interpretation of Documents

For interpretation, additional information, or Questions relating to this Annual Request for Qualifications, Questions need to be submitted on the Attachment F.5, Submittal Inquiry Form to Pollie Carter, Purchasing Construction Manager at Pollie.carter@asu.edu or 480-965-2234.

Please also see attached “Frequently Asked Questions” (FAQ) Sheet for commonly asked questions.

F. Obligations

This ARQ 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.

G. Fees

This ARQ does not require a fee proposal. The University will negotiate with selected Consultant(s) responding to this ARQ on a project basis. **NOTE: Design Professional (DP) shall not submit or communicate in any form any information on Fees, Price (Hourly Rates), Man-Hours or any other associated cost information. Arizona law prohibits Arizona universities from considering any information on Fees, Price (Hourly Rates), Man-Hours or any other cost information during the Annual Request for Qualification (ARQ) matrix selection.

H. Arizona Registration

To be eligible for consideration, respondent firm and individuals in the firm, must be registered in the State of Arizona if such registration is required by state law. **FIRM REGISTRATION NUMBER IS MANDATORY.** A firm must have a professional registrant who is properly licensed as a Principal of the firm over the consulting services being provided

I. Regulations

Should a contract result from this ARQ, 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. See Section III – F (Contract) for contract location.

**NOTE: Please be advised that Contracts are subject to revision without notice.**

PART III: REGULATORY INFORMATION

CONFLICT OF INTEREST / COMMITMENT

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. 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

**NOTE: The respondent’s attention is directed to the provisions of Arizona State University Conflict of Interest & Commitment Policy at http://www.asu.edu/aad/manuals/pur/index.html, as they may be applicable to each individual**
respondent. If anyone in your firm is employed by Arizona State University, the University of Arizona or Northern Arizona University, your firm must list the information on the Conflict of Interest Form, Attachment F.2

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.

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 (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.
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.

CAMPUS DELIVERIES AND MALL ACCESS. Venders and contractors should familiarize themselves with the ASU parking, campus delivery options and loading zones. Not all campus buildings are directly accessible and some require vendors to unload at lots or loading areas that may not be directly adjacent to the delivery or work location. As a result vendors and contractors must then transport goods by using electric style golf carts, dolly or other manual device across pedestrian malls. Many campuses include features and pedestrian malls that may have limited access for vender vehicles and carts. Walk-Only Zones prohibit access to all wheeled traffic during enforcement time and deliveries or work requiring vehicular or cart access may need to be arranged outside of the restricted hours. For details about parking permits, vender permits, loading zones, mall access, and pedestrian mall restrictions, visit parking.asu.edu. For additional information, go to http://walk.asu.edu/.

ASU IS TOBACCO FREE. ASU recognizes that tobacco use is a public health hazard and is dedicated to providing a healthy, comfortable and productive living, learning and working environment. Beginning Aug. 1, 2013, tobacco will be prohibited on university property, facilities, grounds, parking structures, university-owned vehicles and structures owned or leased by the university. ASU is joining 800 colleges and universities in protecting its students, faculty, staff and visitors from the health hazards of secondhand smoke. For additional information, go to https://eoss.asu.edu/tobaccofree.

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.
SECTION IV – IMPLEMENTATION PROCEDURE

A. General

All ARQ submittals will be submitted electronically. Each submittal will be reviewed for completeness. The entire submittal will be uploaded to a SharePoint Open ID Site by vendors. Only complete ARQ submittals can be uploaded to the OpenID site. Your submittal must be complete prior to beginning the submission process. (Please see Page 6 Content of Submittals.)

(Submission does not guarantee selection for negotiation of an open-end contract. ARFQ Submission does not mean notification of upcoming projects or Requests for Qualifications. However, ASU does include all firms on the Annual RFQ on the Design Email Distribution List. Be sure that ASU has the name and contact information for the staff member that is to receive design solicitation notices.)

As previously stated, responding firms are responsible for keeping information current and up-to-date on the ASU SharePoint OpenID Site.

B. Individual Project or General Services Selection Process:

The selection process includes the following steps:

- A profile of the project or service will be developed by the University. (Specific projects have not yet been identified.)

- Designated University personnel will run queries against the information provided in the OpenID Site form. A search will be made of the database compiled as a result of this ARQ to identify those with qualifications and interests matching the project or service profile.

- The assigned ASU Purchasing, ASU Project Manager, and his/her committee will short-list 3 (three) to 5 (five) firms for the project.

- The committee will then review the shortlisted firms’ submittals electronically, and select the most appropriate firm. 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 / University evaluation of past performance.
  e. Past university / institutional experience and / or work at high elevations including freeze-thaw cycles and monsoons.

- Occasionally, firms will be asked for additional information and/or will be interviewed. The short-listed firms may be asked to provide additional information or have an interview with the Committee, prior to the final selection.

- The Purchasing Department will then contact the firm. The selected firms will be invited to review and sign an “Open-End Contract” with the University using the Tri-U ARQ Agreement between Owner and Design Professional. Open-end contracts will be for a period of five (5) years ending on December 31, 2017. Please note that establishment of an open-end contract does not obligate the University to award projects.
  
  a. Any project that the firm is selected for will result in an addendum to the master contract showing project specific scope of work, pricing, and schedule.
  b. Any additional details specific to scope will be added as well.
C. Interviews / Additional Information

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

D. Project Fee

On a project-by-project basis, the University will 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.

E. 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 architect firm or less than $500,000 for a person or firm other than an architect or architect firm.

F. Form of Contract

Successful firms will be required to execute the Standard Form Agreement for Professional Services (Annual Request for Qualifications Edition) available for review at https://cfo.asu.edu/purchasing-forms. The Agreement is in the Annual RFQ Design Professional Section on the Purchasing’s Forms Page. Once the open-end contract is executed, individual projects will be authorized by a Project Authorization. NOTE: Please be advised that Contracts are subject to revision without notice.

If the method of construction is Construction Manager at Risk, then ASU will utilize the Tri-University DP(CM@Risk) contract.

G. 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.

H. Delivery of Documents / Insurance Requirements

Each respondent shall indicate its present insurance coverage in the insurance section of “Attachment A”. Every firm to whom the University issues a contract and/or Project Authorization shall, within 5 days after notice of award, deliver to the University signed copies of the contract as well as all required insurance certificates. ASU asks that Insurance Certificates be submitted electronically to the designated buyer. All contracts must be supported by insurance certificates in a form satisfactory to the University. Certificates must reference the ASU Project Number and Project Name. All certificates of insurance will be reviewed and approved by the University before firms may proceed with services. Failure or refusal to furnish required insurance certificates in a form satisfactory to the University will result in rejection of any proposed contract. Once a firm has an open-end agreement with the University, annual renewal certificates are required as stated in the Standard Form Agreement. All insurance requirements are stipulated in the Standard Form Agreement. NOTE: PLEASE DO NOT SUBMIT INSURANCE CERTIFICATES WITH THIS ANNUAL REQUEST FOR QUALIFICATIONS.
SECTION V: ATTACHMENTS AND FORMS
ATTACHMENT A – CONSULTANT DATA SHEET

NOTE: THIS INFORMATION WILL BE SUBMITTED BOTH YOUR SUBMITTAL AND ELECTRONICALLY

Date: _____________________________

Firm Name: _____________________________

Address: _____________________________

City: __________________ State: ______ Zip Code: ______

Federal Employers Tax Identification Number or Social Security Number: _____________________________

Phone No.: __________________ Fax No.: __________________

Contact Person: _____________________________

Title    First Name      Last Name

Phone Number
E-mail Address
Cell Phone Number

Principal(s):
(List at least 1 Principal (mandatory))

Title    First Name      Last Name

Phone Number
E-mail Address
Cell Phone Number
License Number

Ownership and Organization Classification
(Check all that apply. Size of firm must be designated.)

Diversity Business Owner Designation

□ Woman Owned
□ Woman Owned Minority
□ Minority
□ Disabled Business Owner
□ Disabled Veteran
□ HUB (Historically Under Utilized Business)
□ Non-Profit Government Education
□ Veteran Owned

Organization Classification

□ Individual
□ Small – AZ (Per A.R.S. § 1-1001.8)
□ Small – AZ Self-Certified
□ Small – Federal (Per P.L. § 95-507)
□ Large
□ None Of The Above

a. A Disadvantaged business is a business that is a Woman Owned Business [WBE], or is a Minority Owned Business [MBE], or is a Handicapped Veteran Owned Business (HV), or is a Disadvantaged/Disabled owned Business [DBE] or Veteran Owned. A diversity business can be a large business at ASU.

b. A Small Business can either be certified or can self-certify that they either have less than One Hundred (100) employees or were under $4,000,000 in revenue in the previous year, or have Federal certification as a Small Business.
I. **DISCIPLINES**

(Applies to the submitting firm *only – not* its consultants)

*Please check only those that your firm is interested in providing as an *independent*, in-house service.*

<table>
<thead>
<tr>
<th>Design:</th>
<th>Other Disciplines Continued:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Architecture</td>
<td>IT, A/V, Telecommunications</td>
</tr>
<tr>
<td>Commissioning</td>
<td>Land Surveying</td>
</tr>
<tr>
<td>Geology</td>
<td>Master Planning</td>
</tr>
<tr>
<td>Interior Design</td>
<td>Parking Consulting</td>
</tr>
<tr>
<td>Landscape Architecture</td>
<td>Partnering Facilitation</td>
</tr>
<tr>
<td>Planning</td>
<td>Photogrammetry, Lighting Design</td>
</tr>
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<td></td>
<td>Pre-Construction Services</td>
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<td></td>
<td>Programming / Space Planning, Facility Audits,</td>
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<td></td>
<td>Inspections</td>
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<tr>
<td>Engineering:</td>
<td>Roofing</td>
</tr>
<tr>
<td>Civil Engineering</td>
<td>Security Consulting</td>
</tr>
<tr>
<td>Electrical Engineering</td>
<td>Soils Testing</td>
</tr>
<tr>
<td>Environmental Eng/Plan</td>
<td>Special Inspections</td>
</tr>
<tr>
<td>Geotechnical Engineering</td>
<td>Sustainable Design</td>
</tr>
<tr>
<td>Materials Engineering,</td>
<td>Testing and Balance</td>
</tr>
<tr>
<td>Materials Testing</td>
<td>Value Engineering</td>
</tr>
<tr>
<td>Mechanical Engineering</td>
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<tr>
<td>Structural Engineering</td>
<td></td>
</tr>
</tbody>
</table>

**Other Disciplines:**

- Acoustical/Noise/Vibration Eng
- Archaeology
- BioSafety Level Design
- Central Plant/Chiller
- Construction Services
- Continuity/Disaster Recovery
- Fire Protection Consultant, Fire Alarm Design
- Hazardous Waste
II. YEARS OF EXPERIENCE EMPHASIS

(For each EXPERIENCE EMPHASIS category below, please indicate number of years of experience of your most experienced employee (may use different employees for each category)).

<table>
<thead>
<tr>
<th>Areas of Expertise</th>
<th>Years</th>
<th>Areas of Expertise</th>
<th>Years</th>
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</thead>
<tbody>
<tr>
<td>Acoustic Design, Vibration, Noise</td>
<td></td>
<td>Ergonomics</td>
<td></td>
</tr>
<tr>
<td>Activity Centers</td>
<td></td>
<td>Feasibility Studies</td>
<td></td>
</tr>
<tr>
<td>ADA Compliance/Surveys</td>
<td></td>
<td>Fine Arts/ Public Arts</td>
<td></td>
</tr>
<tr>
<td>ADOT Approved Signage</td>
<td></td>
<td>Fire Alarm, Smoke Control Design</td>
<td></td>
</tr>
<tr>
<td>Archaeological Services</td>
<td></td>
<td>Food Services</td>
<td></td>
</tr>
<tr>
<td>Architectural Programing</td>
<td></td>
<td>Forensics / Bio Investigation, Reports</td>
<td></td>
</tr>
<tr>
<td>Athletic Facilities / Phys Ed, NCAA Facilities</td>
<td></td>
<td>Geotech Testing</td>
<td></td>
</tr>
<tr>
<td>Auditorium / Theatre</td>
<td></td>
<td>Graphics, Signage, Enviro. Graphics</td>
<td></td>
</tr>
<tr>
<td>BioSafety Level Design: 1,2</td>
<td></td>
<td>Hazardous Waste Facilities</td>
<td></td>
</tr>
<tr>
<td>BioSafety Level Design: 3</td>
<td></td>
<td>Historic Preservation</td>
<td></td>
</tr>
<tr>
<td>BioSafety Level Design: 4</td>
<td></td>
<td>Historic Rehabilitation</td>
<td></td>
</tr>
<tr>
<td>Biotech</td>
<td></td>
<td>Hospitality</td>
<td></td>
</tr>
<tr>
<td>Bookstore</td>
<td></td>
<td>HVAC Testing/ Balance</td>
<td></td>
</tr>
<tr>
<td>Bridge Design</td>
<td></td>
<td>Infrastructure</td>
<td></td>
</tr>
<tr>
<td>Campus Master/ Site Planning</td>
<td></td>
<td>Irrigation Design</td>
<td></td>
</tr>
<tr>
<td>Central Plant, Maintenance Facilities, Utilities</td>
<td></td>
<td>IT, A/V, Telecommunications</td>
<td></td>
</tr>
<tr>
<td>Clean Room, Device</td>
<td></td>
<td>JOC Design/ Estimating Services</td>
<td></td>
</tr>
<tr>
<td>Characterization</td>
<td></td>
<td>Labs: Research Dry</td>
<td></td>
</tr>
<tr>
<td>Commissioning Agent</td>
<td></td>
<td>Labs: Research Wet</td>
<td></td>
</tr>
<tr>
<td>Computer-Aided Fac. Mgmt, Fac. Prog.</td>
<td></td>
<td>Labs: Teaching</td>
<td></td>
</tr>
<tr>
<td>Construction Admin, Mgmt, Constructability Review</td>
<td></td>
<td>Land Surveying</td>
<td></td>
</tr>
<tr>
<td>Continuity/Disaster Recovery</td>
<td></td>
<td>Landscape Design</td>
<td></td>
</tr>
<tr>
<td>Elevators and Escalators</td>
<td></td>
<td>Libraries</td>
<td></td>
</tr>
<tr>
<td>Engineering Buildings</td>
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</tbody>
</table>
## YEARS OF EXPERIENCE EMPHASIS (CONTINUED)

<table>
<thead>
<tr>
<th>Areas of Expertise</th>
<th>Years</th>
<th>Areas of Expertise</th>
<th>Years</th>
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</thead>
<tbody>
<tr>
<td>Lighting Consultant: High Voltage</td>
<td></td>
<td>Renovation, Remodeling,</td>
<td></td>
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<tr>
<td>Lighting Consultant: Mid Voltage</td>
<td></td>
<td>Tenant Improvements</td>
<td></td>
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<tr>
<td>Lighting Consultant: Low Voltage</td>
<td></td>
<td>Retail Restaurants/Stores</td>
<td></td>
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<tr>
<td>Masonry</td>
<td></td>
<td>Roofing / Reroofing</td>
<td></td>
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<tr>
<td>Reports</td>
<td></td>
<td>Solar Energy</td>
<td></td>
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<tr>
<td>Medical Care / Medical Related</td>
<td></td>
<td>Space Management and Planning</td>
<td></td>
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<tr>
<td>Facilities</td>
<td></td>
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<tr>
<td>Museums</td>
<td></td>
<td>Stadiums</td>
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<tr>
<td>Music Facilities</td>
<td></td>
<td>Streets, Traffic Eng. &amp; Studies</td>
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<tr>
<td>Office Facilities</td>
<td></td>
<td>Structural Load Path</td>
<td></td>
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<tr>
<td>Outdoor/ Indoor Recreation</td>
<td></td>
<td>Student Housing</td>
<td></td>
</tr>
<tr>
<td>Parking Structures</td>
<td></td>
<td>Sustainability, Environmental Planning, Design, Assessment</td>
<td></td>
</tr>
<tr>
<td>Pedestrian/Bicycle Thoroughfare</td>
<td></td>
<td>Swimming Pools/ Facilities</td>
<td></td>
</tr>
<tr>
<td>Plumbing Design</td>
<td></td>
<td>Water Systems, Hydrology Studies</td>
<td></td>
</tr>
</tbody>
</table>

(Do not add any Categories.)
III. ARIZONA PROFESSIONAL LICENSES, CERTIFICATIONS & LEED ACCREDITED PROFESSIONALS

Please indicate Yes or No and how many individuals for the following:

<table>
<thead>
<tr>
<th>Category</th>
<th>Y / N</th>
<th># Individuals</th>
<th>Y / N</th>
<th># Individuals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Architecture</td>
<td></td>
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<tr>
<td>Civil</td>
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<td>Electrical</td>
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<td>Landscape</td>
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<tr>
<td>Mechanical</td>
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<td>Structural</td>
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<tr>
<td>Surveying</td>
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<tr>
<td>LEED</td>
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<tr>
<td>Interior Design</td>
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<tr>
<td>Other:___________</td>
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</tbody>
</table>

(Interior Design will require NDICQ Certification for the first time.)

(Be sure to list LEED Accreditation after individual’s name on Resumes)

IV. INSURANCE

Please indicate the current dollar amount and carrier for each of the following:

<table>
<thead>
<tr>
<th>Category</th>
<th>Amount</th>
<th>Name of Carrier</th>
</tr>
</thead>
<tbody>
<tr>
<td>Automobile</td>
<td></td>
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<tr>
<td>Comprehensive</td>
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<tr>
<td>Professional Liability</td>
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<tr>
<td>Workman’s Compensation</td>
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</tbody>
</table>

Can these be increased? Yes ☐ No ☐

NOTE: Please do not submit insurance certificates with this ARQ response; however a sample certificate is attached for your reference. ASU’s requirements are in Exhibit 1. An Insurance Certificate will be requested if and when your firm is hired by ASU.
ATTACHMENT A.1 - ADDENDA AND SUPPLEMENTAL REQUIREMENTS ACKNOWLEDGMENTS

Proposer must acknowledge all Addenda received or viewed on Bid Board prior to submitting their qualifications.

RECEIPT BY THE UNDERSIGNED THAT THE FOLLOWING ADDENDA HAS BEEN READ AND HEREBY ACKNOWLEDGED:

<table>
<thead>
<tr>
<th>Addendum Number:</th>
<th>Dated:</th>
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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: Design Professional 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: Design Professional 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: Design Professional 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 Design Professional will complete the Owner’s requirements and forms as they apply to Design Professionals and Sub-consultants. Design Professionals and Sub-consultants will need to complete ASU Certification Forms one time for the project, and submit the provided spreadsheet with each pay application. Detailed information can be found under Construction Forms, Supplement Provisions (https://cfo.asu.edu/purchasing-forms)

Acknowledged By: ___________________________ Dated: __________
ATTACHMENT B – COMPARABLE PROJECTS (provided by firm)

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 and reference Attachment B at the top of each page.

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

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

<table>
<thead>
<tr>
<th>(1) Firm Name</th>
<th>Personnel</th>
<th>(2) Firm Location (City, State)</th>
<th>(3) Role</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

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 C
### PROFESSIONAL LICENSES & PROPOSED TEAM

(LIST ONLY ARIZONA PROFESSIONAL LICENSE FOR FIRM)

<table>
<thead>
<tr>
<th>Firm Name</th>
<th>Arizona License Number <em>(Board of Technical Registration)</em></th>
<th>License Expiration Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Branch <em>(For work in Phoenix)</em></th>
<th>Individual</th>
<th>Discipline</th>
<th>Arizona Licenses Only <em>(Board of Technical Registration)</em></th>
<th>License Expiration Date</th>
</tr>
</thead>
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</tbody>
</table>
ATTACHMENT D – KEY PERSONNEL RESUME INFORMATION (provided by firm)

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 CERTIFICATION, 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:
ATTACHMENT E – CLIENT REFERENCES (provided by firm)

ATTACHMENT F – CONSULTANT FIRM CERTIFICATIONS

F.1 – Anti-Lobbying Certification
F.2 – Conflict of Interest Certification
F.3 – Federal Debarred List Certification
F.4 – Legal Worker Certification
F.5 – Veteran’s Preference Certification

ATTACHMENT G – OTHER REQUIRED FORMS

G.1 – Supplier Sustainability Questionnaire
G.2 – Service Provider Acknowledgement
G.3 – ASU Substitute W-9 Vendor Authorization Form
G.4 – Small Business Form
ATTACHMENT F.1 - 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 F.2 - 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 F.3 – 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 nonresponsible.
(d) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required by paragraph (a) of this provision. The knowledge and information of an Offeror is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

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

(Firm)  (Address)

(Signature Required)  (Phone)

(Print Name)  (Fax)

(Print Title)  (Federal Taxpayer ID Number)

(Federal Debarred List Certification- page 2)  (Purchasing 01-31-2007)
ATTACHMENT F.4: 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 F.5: 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 G – OTHER REQUIRED UNIVERSITY CONTENT

ATTACHMENT G1: 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

________________________________________________________________________

________________________________________________________________________

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

Other – describe what your company does to minimize the environmental costs associated with shipping

________________________________________________________________________

________________________________________________________________________

5. Does your company have an environmental policy statement? Please check the items that apply.
   - We are developing an environmental policy statement
   - Our environmental policy statement consists of a commitment to promote environmental stewardship
   - Our environmental policy statement describes our company’s Sustainability Initiative
   - We have formed an oversight committee to ensure the success of our environmental policy
   - Our environmental policy statement describes how our company explores opportunities to work with communities, governments and non-governmental and professional organizations to help articulate, teach and advance the principles of sustainability

Other - Provide (or supply a link) your company’s environmental policy statement

________________________________________________________________________

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

☐ No, my company HAS NOT been cited for non-compliance of an environmental or safety issue
☐ Yes, my company HAS been cited for non-compliance of an environmental or safety issue

State the reason, date and outcome of the citation
__________________________________________________________________________
__________________________________________________________________________

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

☐ We recycle consumables, reduce waste and practice energy reduction when possible
☐ We are developing a recycling program
☐ We utilize a formal energy management system
☐ We are a member of various environmental organizations
☐ We have formed a Sustainability Committee to identify sustainable solutions for our company
☐ We have a company-wide Recycling Program
☐ Our Director of Sustainability initiates and supports sustainability efforts
☐ We have performed an environmental or waste audit
☐ We are recognized by peers and environmental organizations for providing leadership in sustainability
☐ We are a carbon-neutral company

Other - what other programs do you have in place, or planned for promoting resource efficiency
__________________________________________________________________________
__________________________________________________________________________

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

☐ We are developing web-based documentation of “Green” initiatives (Provide link)
☐ Our website includes “Green” reference information (Provide link)
☐ Our website contains an environmental policy statement (Provide link)
☐ Our website includes materials that document company’s “Green” initiatives (Provide link)
☐ Our website contains our company’s Sustainability Report (Provide link)

Other – Does your company have other web-based materials available documenting your “Green” initiatives? (Provide link)
__________________________________________________________________________
__________________________________________________________________________
9. If you are providing a product, does the manufacturer of the product that you are bidding/proposing have an environmental policy statement? Please check the item that applies.

☐ No, the manufacturer of the product that I am bidding/proposing DOES NOT have an environmental policy statement

☐ Yes, the manufacturer of the product that I am bidding/proposing HAS an environmental policy statement

Provide Environmental Policy Statement

________________________________________________________________________
________________________________________________________________________

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

☐ No, the manufacturer of the product that I am bidding/proposing HAS NOT been cited for non-compliance of an environmental or safety issue

☐ Yes, the manufacturer of the product that I am bidding/proposing HAS been cited for non-compliance of an environmental or safety issue

Provide reason, date and outcome of the citation

________________________________________________________________________
________________________________________________________________________

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

☐ No, an environmental life-cycle analysis of the product that I am bidding/proposing HAS NOT been conducted by a certified testing organization, such as Green Seal

☐ Yes, an environmental life-cycle analysis of the product that I am bidding/proposing HAS been conducted by a certified testing organization, such as Green Seal.

Provide certification

________________________________________________________________________
________________________________________________________________________

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

________________________________________________________________________
________________________________________________________________________

________________________________________________________________________
ATTACHMENT G.2: SERVICE PROVIDER ACKNOWLEDGEMENT

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 G.3: ARIZONA STATE UNIVERSITY SUB W-9**

---

**RETURN TO ASU**  
**ARIZONA STATE UNIVERSITY**  
**SUBSTITUTE W-9 & VENDOR AUTHORIZATION FORM**  
**DO NOT SEND TO IRS**


<table>
<thead>
<tr>
<th>Taxpayer Identification Number (TIN)</th>
<th>[ ] Employer ID Number (EIN)</th>
<th>[ ] Social Security Number (SSN)</th>
</tr>
</thead>
<tbody>
<tr>
<td>[ ] Taxpayer Identification Number (TIN)</td>
<td>[ ] Employer ID Number (EIN)</td>
<td>[ ] Social Security Number (SSN)</td>
</tr>
</tbody>
</table>

**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**

<table>
<thead>
<tr>
<th>Individual (not a business)</th>
<th>Sole proprietor (individually owned business)</th>
<th>Corporation (NOT providing health care, medical or legal services)</th>
<th>Corporation (providing health care, medical or legal services)</th>
<th>Partnership, LLP</th>
</tr>
</thead>
<tbody>
<tr>
<td>The US or any of its political subdivisions or instrumentalities</td>
<td>A state, a possession of the US, or any of their political subdivisions or instrumentalities</td>
<td>Tax-exempt organizations under IRC §501</td>
<td>An international organization or any of its agencies or instrumentalities</td>
<td>PLLC, LLC</td>
</tr>
<tr>
<td>State of Arizona</td>
<td>Employee</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**CERTIFICATION**

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me),
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me I am no longer subject to backup withholding,
3. I am a U.S. person (including a resident alien).

Certification instructions: You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return.

The Internal Revenue Service does not require your consent to any provision of this document other than the certification required to avoid backup withholding

Signature of U.S. Individual   Date:

---

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

Please check all that apply to your business for Federal Supplier Type:

- [ ] Service Disabled Veteran Owned (VD)
- [ ] Small Disadvantaged (SD)
- [ ] Women Owned (WO)
- [ ] Veteran Owned (VO)
- [ ] Minority Institution (MI)
- [ ] HUB Zone (HZ)

### SECTION 2 - STATE OF ARIZONA SMALL BUSINESS INFORMATION - **REQUIRED**

Are you self-certified according to this State of Arizona definition?

“100 full-time employees or less OR $4 million in volume or less in the last fiscal year” **YES**

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 G.4 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 specialty fields.

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.)
ATTACHMENT G.5: ANNUAL RFQ 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). Email to Construction@asu.edu.

PROJECT NAME: 2014 Annual RFQ for Design Professional Services for Facility-Related Professional Services

RFQ NUMBER: 2014 Annual RFQ for Design Services

INQUIRY DEADLINE: 5:00 P.M., M.S.T., November 4, 2013

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:

___________________________________________________________________________

___________________________________________________________________________

___________________________________________________________________________

___________________________________________________________________________
EXHIBITS

The following Exhibits are for information only. You will be required to provide and/or complete the following forms if and when you are selected to work on a project. Do not include them with your submittal.
EXHIBIT 1 - ASU INSURANCE Requirements

ASU is committed to Sustainability Practices. Insurance Certificates must be sent electronically to: construction@asu.edu

All certificates and endorsements are to be received and approved by Arizona State University before work commences. Each insurance policy required by this Contract must be in effect at or prior to commencement of work under this Contract and remain in effect for the duration of the project.

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

Please include the following comments in the Description area of your insurance certificate:

- Revision Request for Certificate of Insurance for (Name of Company)
- Bond Number (Bond number or N/A)
- ASU Project Number (ASU Project Number) or “For Any And All Projects Under $50,000 At Arizona State University”
- ASU PO Number (ASU PO Number)

Please also put to the attention of (Buyer name) in Certificate Holder area to ensure that your certificate is delivered to the appropriate person.

- **Commercial General Liability** of $1,000,000 minimum combined single limit (SCL) each occurrence and $2,000,000 general aggregate, to include the following: Policy shall include bodily injury, property damage, personal injury and broad form contractual liability coverage.

  - General Aggregate $2,000,000
  - Products - Completed Operations Aggregate $1,000,000
  - Personal and Advertising Injury $1,000,000
  - Blanket Contractual Liability - Written and Oral $1,000,000
  - Fire Legal Liability $50,000
  - Each Occurrence $1,000,000

  The policy shall be endorsed to include the following additional insured language: “The State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees shall be named as additional insureds with respect to liability arising out of the activities performed by or on behalf of the Contractor”. **Endorsement must be submitted.**

  Policy shall contain a waiver of subrogation against the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Contractor. **Endorsement must be submitted.**

- **Commercial Automobile Liability** of $1,000,000 minimum combined single limit (SCL) each occurrence, to include either “ANY AUTO” or “SCHEDULED, HIRED, OWNED, NON-OWNED AUTOS”.

  The policy shall be endorsed to include the following additional insured language: “The State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees shall be named as additional insureds with respect to liability arising out of the activities performed by or on behalf of the Contractor”. **Endorsement must be submitted.**

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ASU 2014Tri-University Annual RFQ for Facility Design Services
the Contractor, involving automobiles owned, leased, hired or borrowed by the Contractor”. **Endorsement must be submitted.**

Policy shall contain a waiver of subrogation against the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Contractor. **Endorsement must be submitted.**

**Workers’ Compensation** coverage for all employees which meets Arizona statutory benefits; including **Employers Liability** with minimum limits of $500,000 each accident, $500,000 each employee/disease, $1,000,000 policy limit/disease.

Policy shall contain a waiver of subrogation against the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Contractor. **Endorsement must be submitted.**

**Professional Liability (Errors and Omissions Liability)**

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<tr>
<td>Each Claim</td>
<td>$1,000,000</td>
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<tr>
<td>Annual Aggregate</td>
<td>$2,000,000</td>
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In the event that the professional liability insurance required by this contract is written on a claims-made basis, Contractor warrants that any retroactive date under the policy shall precede the effective date of this contract; and that either continuous coverage will be maintained or an extended discovery period will be exercised for a period of two (2) years beginning at the time work under this contract is completed.

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

**Primary Coverage:** The following statement shall be included - “The coverage afforded under this certificate shall be primary and any insurance carried by the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees shall be excess and not contributory insurance to that provided by the named insured.”
EXHIBIT 2 – FREQUENTLY ASKED QUESTIONS (FAQ)

The following is a list of the most frequently asked questions regarding the Annual Request for Qualifications. If any questions remain unanswered, please contact Pollie Carter at Pollie.Carter@asu.edu. The formal Question form is Attachment.

1. **Q:** Why is ASU going to a totally on-line process for the 2014 Annual RFQ?
   **A:** ASU is going to a totally on-line process to more effectively serve our end using customers and our vendors; and to help ASU achieve its sustainability goals.

2. **Q:** My firm already has an open-end agreement with the university. Is it necessary that we respond to the ARQ?
   **A:** YES. If your firm would like to be considered for projects, you must respond to the 2014 ARQ. The information submitted with the ARQ goes into a database. As projects are identified, a sort of the database is done. The parameters used to facilitate the sort are taken from the most recent ARQ. All previous years’ information is purged from the database. If you do not respond to the current ARQ, your firm will not be entered in the database, even if there is an existing open-end agreement from a previous ARQ version.

3. **Q:** Our firm submitted ARQ qualifications; will we receive an open-end agreement yet?
   **A:** Submitting qualifications does not guarantee that a firm will receive the open-end agreement or Project Authorizations. Your firm will not receive an open-end agreement until it is chosen for a project. The open-end contract will only be issued once and will remain valid for the length of the ARQ period.

4. **Q:** My firm submitted a response to the ARQ this year. Can you tell me its status?
   **A:** ASU: Firms on the Annual RFQ will be notified via email when the 2014 Annual RFQ begins to be utilized by the Project Managers and Architects at Arizona State University. If there is a problem with your submittal, you will be notified by email, as soon as the problem has been recognized.

5. **Q:** My firm has already responded to the ARQ for one of the other state universities. Do we need submit our qualifications to each university separately?
   **A:** Yes. Although the ARQ is similar in form for each university, there are some differences. Please submit qualifications to each university your firm wishes to do business with.

6. **Q:** How does my firm go about getting an open-end contract with the University?
   **A:** The first step is to submit qualifications in response to the current ARQ. That information is entered into the database and, as the need arises, the database is sorted using project-specific criteria. A shortlist of firms is created and ranked in order of qualifications. Firms are then notified of their selection for work on a specific project. It is at this time that the open-end contracting process begins (if a firm does not already have an open-end contract in place).

7. **Q:** My firm has a current ARQ on file with the university. Today we heard about a project at the university. Why weren’t we notified of this project?
   **A:** Submittal of an ARQ and inclusion in the database does not mean a firm will be notified of upcoming University projects.

8. **Q:** We’re a general contracting firm and interested in doing projects at the University. Do we need to submit an ARQ?

   "ASU 2014Tri-University Annual RFQ for Facility Design Services"
A: Not necessarily. The ARQ 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 ARQ. 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 ARQ.

9. Q: My firm submitted an ARQ this year. We have since added two new disciplines with Arizona registrations. Do we need to notify the University and, if so, how?

A: With the new ASU On-line submittal process, ARQ submittals can be updated, revised, submitted or withdrawn at any time. You will go the https://arfq-openid.sp10.asu.edu/ web-site and sign in to update or to withdraw your submittal. When you submit your changes, the Purchasing Construction Team will be automatically notified so that we can accept your changes. Only your firm will be able to access your submittal. Possible changes include a change of address, change in firm name, change in ownership, addition to or deletion of registered personnel, addition of disciplines. The University can be notified of changes as follows:

Log in and follow the instructions on the site to update your submittal. If any other sections of your firm’s submittal need to be updated, you will need to submit a complete, revised submittal.

10. 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.

11. Q: What are the dollar limits for work done under the 2014 Annual RFQ?

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.
EXHIBIT 3 – ANNUAL RENEWAL AND UPDATES TO ARQ SUBMITTAL

ARQ Submittal – Annual Renewal
to the
2014 Annual Request for Qualifications

(To be submitted Annually, by the end of the first week of January with the First Renewal Due January 2015.)

As regards to the qualifications submittal dated _______________________,
(DATE OF YOUR FIRM’S SUBMITTAL)

Submitted to Arizona State University for Facility-related Professional Services

By:
Company Name

Company Address

City, State Zip

☐ No changes need to be made to Company Name’s Submittal at this time.

☐ Changes to the Company Name’s Submittal are as indicated in the attached documentation.

☐ New Submittal from Company Name’s is attached and shall replace the prior Submittal in its entirety.

☐ Remove Company Name from University Name’s ARQ database. Company Name understands removing itself from the database eliminates the possibility of selection for projects under the ARQ process.

By:

Signature

Printed Name Email Address

Title

Company Name

Date
EXHIBIT 4 – QUICK LINKS

(SAMPLE – DO NOT SUBMIT WITH ANNUAL RFQ)

How to Access ASU SharePoint OpenID Site – Instructions are posted separately on the ASU Construction Bid Board under the title of “Setting Up Your ARFQ OpenID Email Authentication.” Do not begin the process until after the Pre-submittal meeting on October 11, 2013.

The following documents are located on the Purchasing Forms Page at

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

Annual RFQ Forms for Submittal in MSWord Document Format

Current Forms of Agreement /Contracts

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

Supplemental Requirements Sample Forms

Project Guidelines are located at https://cfo.asu.edu/fdm-design-professionals

If you do not have access to the internet, please contact (Pollie Carter, or Pamela Thompson Lefkowitz, 480-965-3655 or Pamela.Thompson2@asu.edu), and a copy can be mailed to you.
EXHIBIT 5 – PROJECT FEE PROPOSAL FORM

Arizona State University Request for Fee Proposal Design Professional Services
(To be completed for each Project as Assigned)

Date: (Emailed this Date)

Name of Firm
Address
City, State, Zip

Attention:
Email:
Phone: (XXX) XXX-XXXX

RE: REQUEST FOR FEE PROPOSAL FOR:

Project Name: ___________
Project Number: ____- ____

This letter is to acknowledge and confirm that your firm, XXXXXXXXXXXXXX, 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 XXX 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. https://azregents.asu.edu/rrc/Policy%20Manual/Guidelines%20for%20Cost-Control-All.pdf

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

I. Program Development Sub-phase ___%
II. Schematic Design Sub-phase ___%
III. Design Development Sub-phase ___%
IV. Construction Documents Sub-phase ___%
V. Bidding and Bid Award Phase ___%
VI. Construction Phase ___%
VII. Closeout and Occupancy 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 XXXXXXXXXXXXXXX, 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 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: Pollie Carter, Manager, (Pollie.Carter@asu.edu)

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

Sincerely,

________________________

(Buyer)
(Title)
(Department)

Attachments: