



January 6th, 2020

REQUEST FOR PROPOSAL
MOBILE SAFETY APPLICATION AND PLATFORM
RFP 122001
DUE: 3:00 P.M., MST, 01/30/20

Time and Date of Pre-Proposal Conference	11:00 A.M., MST, 01/09/20
Deadline for Inquiries	3:00 P.M., MST, 01/16/20
Time and Date Set for Closing	3:00 P.M., MST, 01/30/20

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SECTION I – REQUEST FOR PROPOSAL

RFP 122001

Arizona State University is requesting sealed proposals from qualified firms or individuals for **Mobile Safety Application and Platform**.

Proposals are to be addressed and delivered to the receptionist area, first floor, University Services Building, Purchasing and Business Services, Arizona State University, 1551 S. Rural Road, (located on the east side of Rural Road between Apache Boulevard & Broadway Road) Tempe, Arizona 85281 **on or before 3 P.M. MST on January 30th, 2020** at which time a representative of Purchasing and Business Services will announce publicly the names of those firms or individuals submitting proposals. All times noted are Mountain Standard Time (MST). Please note that Daylight Savings Time is NOT observed. No telephone, electronic or facsimile proposals will be considered. **Proposals received after the time and date for closing will be returned to the proposer unopened. No proposals will be accepted after this time.** No other public disclosure will be made until after award of the contract.

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

Purchasing and Business Services
University Services Building
Arizona State University
1551 S. Rural Rd
Tempe, AZ 85281

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

Purchasing and Business Services
Arizona State University
P.O. Box 875212
Tempe, AZ 85287-5212

ARIZONA STATE UNIVERSITY



Ernesto Marquez
Buyer

EM/SK

SECTION II – PURPOSE OF THE RFP

1. **INTENT**

Arizona State University is soliciting proposals for a University-wide public safety mobile application and emergency notification platform. This application must meet the needs of the University community to include parents, visitors, faculty, staff, students and any other affiliated member of the University, i.e. contractors, vendors, etc. The application is intended to provide mobile app users the ability to communicate with the ASU Police department 24 hours a day / 7 days per week and 365 days a year in an emergency and non-emergency situation. It will also provide the ability to communicate with other University departments during certain times of the day without interfering with the ASU Police dispatch center.

2. **BACKGROUND INFORMATION**

The public safety application is managed out of the office of Business and Finance, which oversees the ASU Police department, Parking and Transit and several other units that benefit from the use of the mobile app from an administrative use. There are two parts to the tool; a mobile application component and an administrative dashboard that interacts with the mobile application. This mobile application and platform will allow these units to provide the ASU community the ability to interact with public safety officials, mental-health counselors, parking and transit, and safety escort service, with the potential to expand to other areas, such as facilities.

The mobile application will serve a population of over 128,000 students, over 12,000 faculty and staff, families and other University-affiliated representatives. Our current total population is over 204,000 users. Geographical location or population size should not be a limiting factor for use or the distribution of communications.

Arizona State University is a new model for American higher education, an unprecedented combination of academic excellence, entrepreneurial energy and broad access. This New American University is a single, unified institution comprising four differentiated campuses positively impacting the economic, social, cultural and environmental health of the communities it serves. Its research is inspired by real world application blurring the boundaries that traditionally separate academic disciplines. ASU serves more than 100,000 students in metropolitan Phoenix, Arizona, the nation's fifth largest city. ASU champions intellectual and cultural diversity, and welcomes students from all fifty states and more than one hundred nations across the globe.

More information about ASU is located at <http://www.asu.edu>.

3. **TERM OF CONTRACT**

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

The University may consider alternative contract term periods if it is deemed advantageous to do so. If alternative contract terms are proposed, they should be specified in the Pricing Schedule (Exhibit B). Note: Alternative terms cannot be in lieu of the term stated above.

SECTION III – PRE-PROPOSAL CONFERENCE

A pre-proposal conference will be held at **Thursday, January 9th at 11 AM MST** via Zoom

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

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

To participate in the pre-proposal conference, please register below:

https://asu.zoom.us/meeting/register/v5wodu6hqTloKTGMZrYP6Plpoxo_ei4Jyw

During the registration process, the following information will be requested:

- Name
- Email Address
- Organization
- Title
- Phone Number

After registering, you will receive a confirmation email containing information about joining the meeting.

SECTION IV – INSTRUCTIONS TO PROPOSERS

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

Name of Proposer

Title of Proposal

RFP Number

Date and Time Proposal is Due

All times noted are Mountain Standard Time (MST). Please note that Daylight Savings Time is NOT observed. No telephone, electronic or facsimile proposals will be considered. **Proposals received after the time and date for closing will be returned to the proposer unopened.**

2. **DIRECTIONS TO USB VISITOR PARKING.** Purchasing and Business Services is in the University Services Building (“USB”) 1551 S. Rural Road, Tempe, AZ, 85281 (located on the east side of Rural between Broadway Road and Apache Boulevard). A parking meter is located near the main entry to USB.

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

3. Proposer should use recycled paper and double-sided copying for the production of all printed and photocopied proposal documents. Furthermore, the documents should be clearly marked to indicate that they are printed on recycled content (minimum 30% post-consumer waste paper).
4. You may withdraw your proposal at any time prior to the time and date set for closing.
5. No department, school, or office at the University has the authority to solicit or receive official proposals other than Purchasing and Business Services. All solicitations are performed under the direct supervision of the Chief Procurement Officer and in complete accordance with University policies and procedures.
6. The University reserves the right to conduct discussions with proposers, and to accept revisions of proposals, and to negotiate price changes. During this discussion period, the University will not disclose any information derived from proposals submitted, or from discussions with other proposers. Once a contract is executed, the solicitation file, and the proposals contained therein, are in the public record and will be disclosed upon request.
7. Proposers submitting proposals which meet the selection criteria and which are deemed to be the most advantageous to the University may be requested to give an oral presentation to a selection committee. Purchasing and Business Services will do the scheduling of these oral presentations.
8. The award shall be made to the responsible proposer(s) whose proposal is determined to be the most advantageous to the University based on the evaluation factors set forth in this solicitation. Price, although a consideration, will not be the sole determining factor.

9. The University reserves the right to award all or part of this RFP to one or more suppliers at its sole discretion.
10. The University reserves the right at its sole discretion to share this RFP and its results with other public universities, and with public Procurement Cooperatives to which the University is a member, for the purposes of utilizing the award for their own contract.
 - a. Any resultant contract between awardee(s) and other public universities or public Procurement Cooperatives is solely between those two parties. Awardee(s) are under no obligation to honor pricing or terms resulting from a negotiated contract with ASU.
 - b. Awardee(s) will be required to pay the University a 2% annual administration fee based on total net revenue from any public university or public Procurement Cooperative utilizing the results of this RFP as their own award.
 - c. The administration fee may be charged by the supplier directly to other public universities or public Procurement Cooperatives
11. Other public Arizona entities, including but not limited to, Northern Arizona University, University of Arizona, and Maricopa County Community College District may use the award and contract resulting from this RFP.
12. **Central Receiving and Last Mile Distribution Fee for real goods shipped to the University:** ASU operates centralized receiving warehouses that will be used for the majority of campus deliveries. The University's Central Receiving Unit will charge a fee to the supplier for all centralized shipments in the form of a Last Mile Distribution Fee.
 - a. This fee can, in turn, be billed back to the University in the cost of goods or added as a separate delivery fee.
 - b. This fee, totaling 5% of the gross funds paid to the Supplier, shall be paid directly to the Centralized Receiving Unit. This fee will apply to any and all products sold by the Supplier that are delivered to Central Receiving.

The Fee will be calculated based on all sales transacted. The Supplier will submit the Fee, along with quarterly reports documenting all sales, to the University within 30 days following the end of each calendar quarter. Each quarterly report shall include, as a minimum, all purchased goods, price paid, and quantity for all sales within the calendar quarter just ended. Other options for last mile compensation can be discussed in the proposal, but responses should include acknowledgement of willingness to engage.

13. If you are submitting any information you consider to be proprietary, you must place it in a separate envelope and mark it "Proprietary Information". If the Chief Procurement Officer concurs, this information will not be considered public information. The Chief Procurement Officer is the final authority as to the extent of material, which is considered proprietary or confidential. Pricing information cannot be considered proprietary. Any watermarks, footnotes, copyright or reference to Confidential and/or Proprietary throughout the submitted proposal will be disregarded as boilerplate markings.
14. Your proposal should be submitted in the format shown in Section X. Proposals in any other format will be considered informal and may be rejected. Conditional proposals will not be

considered. An individual authorized to extend a formal proposal must sign all proposals. Proposals that are not signed may be rejected.

15. The University reserves the right to reject any or all proposals or any part thereof, or to accept any proposal, or any part thereof, or to withhold the award and to waive or decline to waive irregularities in any proposal when it determines that it is in its best interest to do so. The University also reserves the right to hold all proposals for a period of **one hundred twenty (120) days** after the opening date and the right to accept a proposal not withdrawn before the scheduled proposal opening date.
16. **EXCEPTIONS:** The Arizona State University contract terms and conditions are included in this Request for Proposal in Section XII. These terms and conditions will be incorporated into the contract between the University and the successful proposer. **Proposals that are contingent upon any changes to these mandatory contract terms and conditions may be deemed nonresponsive and may be rejected.** All exceptions must be submitted with justification and alternate language and **MUST** be submitted with the proposal. In no event is a Proposer to submit its own standard contract terms and conditions as a response to this RFP.
17. Unless specifically stated to the contrary, any manufacturer's names, trade names, brand names or catalog numbers used in the specifications of this Request for Proposal are for the purpose of describing and/or establishing the quality, design and performance required. Any such reference is not intended to limit or restrict an offer by any proposer and is included in order to advise the potential proposer of the requirements for the University. Any offer, which proposes like quality, design or performance, will be considered.
18. Days: Calendar days

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

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

Should: Indicates something that is recommended but not mandatory. If the proposer fails to provide recommended information, the University may, at its sole option, ask the proposer to provide the information or evaluate the proposal without the information.
19. Any person, firm, corporation or association submitting a proposal shall be deemed to have read and understood all the terms, conditions and requirements in the specifications/scope of work.
20. All proposals and accompanying documentation will become the property of the University at the time the proposals are opened. **It will be the proposer's responsibility to request that samples be returned to the proposer and provide a method for doing so at the expense of the proposer.** If a request is not received and a method of return is not provided, all samples shall become the property of the University 10 days from the date of the award.
21. All required performance and payment bonds shall be held by the University in a secure location until the performance of the contract and the payment of all obligations rising there under have been 100% fulfilled. Upon completion of the project and all obligations being fulfilled, it shall be the proposer's responsibility to request the surety bonding company to submit to the University the necessary documents to approve the release of the bonds. Until such time the bonds shall remain in full force and effect.

22. **All communications**, including formal inquiries, requests for significant or material clarification or interpretation, and/or notification to the University of errors or omissions relating to this Request for Proposal must be directed, in writing, to:

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

Tel: 480-965-8777
E-mail: ernesto.marquez@asu.edu

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

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

23. The University shall not reimburse any proposer the cost of responding to a Request for Proposal.
24. In accordance with an executive order titled "Air Pollution Emergency Proclamation" modified by the Governor of Arizona on July 16, 1996, the University formally requests that all products used in the performance of any contract that results from this Request for Proposal be of low- or no-content of reactive organic compounds, to the maximum extent possible.
25. Arizona requires that the University purchase ENERGY STAR® products or those certified by the Federal Energy Management Program as energy efficient in all categories available. If this Request for Proposal is for a product in a category for which ENERGY STAR® or certified products are available, please submit evidence of the ENERGY STAR® status or certification for the products you are bidding. Please note that if you fail to submit this information but a competitor does, the University will select your competitor's product as meeting specifications and deem your product as not meeting specifications. See A.R.S. §34-451.
26. The University requires that all desktop computers, notebooks, and monitors purchased must meet Electronic Product Environmental Assessment Tool (EPEAT) Gold status as contained in the IEEE 1680 Standard for the Environmental Assessment of Personal Computer Products. The registration criteria and a list of all registered equipment are at <http://www.epeat.net> on the Web.
27. To the extent applicable to any contract resulting from this Request for Proposal, the proposer shall comply with the Standards for Privacy of Individually Identifiable Information under the Health Insurance Portability and Accountability Act of 1996 contained in 45 CFR Parts 160 and

164 (the “HIPAA Privacy Standards”) as of the effective date of the HIPAA Privacy Standards on April 14, 2003 or as later determined. Proposer will use all security and privacy safeguards necessary to protect Protected Health Information (PHI), as defined by HIPAA, and shall immediately report to University all improper use or disclosure of PHI of which it becomes aware. Proposer agrees to ensure that its agents and subcontractors agree to and abide by these requirements.

- 28.** The University believes that it can best maintain its reputation for treating suppliers in a fair, honest, and consistent manner by conducting solicitations in good faith and by granting competitors an equal opportunity to win an award. If you feel that we have fallen short of these goals, you may submit a protest pursuant to the Arizona Board of Regents procurement procedures, section 3-809,

Protests should be directed to:

Jamon Hill
Deputy Chief Procurement Officer
Purchasing and Business Services
PO Box 875212
Tempe AZ 85287-5212
Email: Jamon.Hill@asu.edu

SECTION V – SPECIFICATIONS/SCOPE OF WORK

Proposer will supply all labor, materials, supplies, and related services necessary to provide a mobile safety application and the following services to the University.

Review each of the following must-have requirements that ASU is seeking for a Mobile Safety Application and Platform. Proposer MUST respond, if and how your solution meets each of these requirements in Exhibit A - Respondent Questionnaire under Tabs 1 & 2.

A. Platform Requirements

a. Tip and Crime Reporting

- i. The ability to report tips to ASU Police department in an anonymous or identified method.
- ii. Submission of audio, video and photos while reporting incidents or tips to ASU Police department.

b. Dashboard/Reporting

- i. A web-based dashboard for supporting units to monitor activity, configure messaging geo-fencing, receive communication from users, and distribute messaging to groups, individuals or an entire population.
- ii. Allow dashboard broadcasting via mobile device.
- iii. Provide an ability to separate dashboards via login for specific functions so that departments can operate their specific functions independently. Privileged based access.
- iv. Proposer platform must provide reporting capabilities for the following:
 1. User Engagement and Health
 2. Population Over Time
 3. Usage by Area
 4. Profile Completeness
 5. Hourly Usage Profile
 6. Dashboard Operators Response Time
 7. Increase Reach with Broadcast
 8. Tip Volume, Trends, Highlights
 9. Track emerging, declining, or newly emerging threats
 10. Compare risk profiles against industries and company sizes
 11. Machine learning and neuro-linguistic programming (NLP) for classifying uncategorized data and unearthing

c. Communication

- i. Two-way direct communication between the user and the person monitoring the dashboard. I.e. ASU Police, Safety Escort Services and Parking and Transit.
- ii. Two-way direct communication with ASU Police dispatch, 24-7 / 365 days of the year to report dangerous behaviors, incidents, or other non-emergency concerns.

- iii. The ability to allow ASU Police or other authorized university officials to broadcast information to an entire population with or without the mobile app, a specific group of users with or without the app, and to users in a specific geographical location. Methods include but not limited to Push, Text/SMS, and Email.

d. Check-in and Location Services.

- i. Allow the mobile app users to invite or be invited by friends and/or family members access to view location in real time and allow communications (texting) between parties and alert Police if an incident arises. Have a built-in smart alert to inform others if user has not arrived within the estimated time. This is known as a virtual escort.
- ii. Peer to peer functionality that automatically estimates distance to destination and can track mobile app users remaining distance as they get closer to their destination when a destination is selected and can estimate the amount of time needed to travel to a destination. This should also allow the user to select if they are walking or driving to their destination while the remaining time adjusts based on mode of transportation.
- iii. Global 911 with the ability to dynamically change emergency service number to correspond with emergency phone number for the country the user is located. Notification should be sent to the ASU Police dashboard with the users' name and location when an emergency call is placed through mobile app.
- iv. Globally enabled check-in prompts to community members to take action by checking-in if they are safe or need help by selecting corresponding button embedded into push notification, SMS and/or email, with a roster of affected individuals (name, phone, email address, etc.) equips officials to quickly engage if individual person-to-person follow up is necessary for impacted personnel.
- v. Time-based geo-fences to geographically target messages that would remain "active" up to 28 days. This would allow limited messaging to a particular area rather than creating white-noise messaging to non-affected users.
- vi. The ability to subscribe to multiple organizations and auto-detect and switch based on geography (location). For example, students could subscribe to the Los Angeles or D.C. locations and the app would know which location they are at if they transition.
- vii. Allow mobile app users to hail-a-ride from within the app.

e. Security, User Roles, Permissions and Compatibility

- i. Proposer must achieved and maintained a valid DHS SAFETY Act Designation; and
- ii. SOC II Type 2 certification.
- iii. Describe your ability to prevent, detect, and respond to intrusions, including processes in place to do so.
- iv. Describe the security protections that your solution has in place (encryption, network segmentation, etc.).
- v. Do you perform regular 3rd party penetration testing of your solution (note: this is NOT the same as vulnerability scanning)?

- vi. Will institutions be allowed to perform penetration testing and vulnerability assessment ideally against a staging environment that represents production?
- vii. Describe if and how your solution is GDPR compliant.
- viii. ASU is committed to supporting accessibility for all students, staff, and faculty so the tool must provide access functionality in compliance with U.S. law and accessibility standards such as WCAG. Describe how your solution is in compliance with accessibility standards.
- ix. Support Automated User Management (AUM) to facilitate messaging and onboarding.
- x. Proposer application must provide two (2) versions of service:
 - 1. One version would require authentication with the university standard Single Sign-on platform (SSO) to support faculty, students and staff, and
 - 2. One version for visitors that could have reduced functionality that would only apply to an authenticated user.
- xi. Application must be compatible with both IOS and Android mobile operating systems.

f. Customization and Integration

- i. Explain how customizations of your application works i.e. is customization a self-service that ASU can do on its own, or is it a service that is provided through your company. Explain the pricing structure for customization or is the pricing included.
- ii. Allow for additional resource items;
 - 1. Links to policies
 - 2. Links to web pages
 - 3. Develop resource section
 - 4. Customize tip types
- iii. Application Branding per university standards
- iv. Safety Map Customizations:
 - 5. Blue light mapping
 - 6. Incident reports
- v. Provide a Software Development Kit (SDK) or an Application Programming Interface (API) to embed the mobile app services into the existing university mobile app, or other third-party apps such as Workday HCM and shuttle tracking.
- vi. Customizable structure to better align to the needs of users across geographic locations and/or functional roles:
 - 7. Customizable user experiences and dashboard visibility in multi-tiered structures to match Arizona State University's established workflows.
 - 8. Deliver the contextually relevant information and interface experiences to users and admins at any time - even when they travel to any ASU campus or location.
 - 9. Simplify incident triage with map views designed to accommodate large volumes of incident reports and high numbers of users.

B. Implementation, Training, Service Level Agreements and Support

- a. Proposer must provide implementation support for the following:
 - i. Application branding;
 - ii. Integrating with ASU databases;
 - iii. Integration of application into ASU PD workflow;
 - iv. Creation of marketing materials - Proposer shall collaborate and provide ASU with materials to market the application to the community. This includes parents and future students. The proposer shall work with the Business and Finance Communications team for the appropriate design of marketing materials and any communications to the ASU community.
 - v. Training – Proposer will provide training to authorized university staff on dashboard use and mobile application setup and features. Proposer will provide training documentation to ASU.
- b. The proposer must detail the implementation process and provide the estimated lead-time for implementation and training, also include:
 - i. Proposer resources dedicated to implementation and expectations of University
 - ii. Training services and/or documentation provided to ASU personnel to ensure appropriate support
- c. Proposer must provide an explanation of how ongoing support and maintenance is typically handled:
 - i. Proposer must indicate the mechanism for reporting errors, incidents, and under performance.
 - ii. Proposer must provide the process for updating and/or maintaining the solution.
- d. Proposer must submit a copy of their standard Service Level Agreement (SLA) detailing specific services covered, response times, and performance expectations for their product.

C. Transition In/Out Plan

- a. A Transition-In/Out Plan will describe the process for transitioning the University's data to another product in the future, and, in a hosted model, transitioning to another hosting provider. The proposer shall provide a Transition-In/Out Plan that establishes and contains the transition responsibilities, descriptions and schedules for the required tasks. The purpose of the Transition-In/Out Plan is to ensure an efficient and effective transition from the proposer to another service provider or product with minimal disruption to operations. The University expects compliance with the following activities in order to meet this requirement:
 - i. No later than 30 calendar days from date of proposer award, proposer must finalize the details of the proposed Transition-In/Out Plan and submit it to the University Project Director for review and approval.
 - ii. The Transition-In/Out Plan must, at a minimum, include:
 1. Goals, expectations and specific objectives of the Transition-In/Out Plan; Description of the methodology and approach for transferring data and other information to another service provider.
 2. Assumptions and dependencies associated with the Transition-In/Out; and

3. Estimated timelines and milestones for specific tasks throughout the Transition- In/Out Period.
 4. A finalized plan shall be coordinated and drafted between the awarded proposer and ASU for transition in/out services. However, the proposer must detail a standard or typical transition plan to describe any information on their firm's transition in/out services.
- iii. During execution of the approved Transition-In/Out Plan, the Transition-In/Out Team (composed of University staff, proposer, and personnel of another service provider) shall meet regularly to review and update the Transition-In/Out Plan to reflect revisions to schedules, resource requirements, dependencies, and priorities; and to summarize the progress on the Transition-In/Out Plan to date.
 - iv. The Transition-In/Out Plan submitted by the proposer to the University must be reviewed and approved by University project leadership prior to implementation. Any clarifications or modifications to the Transition-In/Out plan required by the University must be made by Vendor no later than five (5) calendar days from the date of written request.
 - v. During a transition-in/out period, proposer will be required to work cooperatively and expeditiously to transfer the existing responsibilities to the University or another service provider.

_____ **Place an "X" on the line acknowledging section C**

D. Value Added

- a. In Exhibit A - Respondent Questionnaire Tab 3, please provide a summary to any other value-added services or programs which may contribute to the overall value of your proposal, including but not limited to:
 - i. Training
 - ii. Industry partnerships
 - iii. Support of ASU's Charter and goals
 - iv. Support of Sustainable development, veterans' affairs, initiatives in support of women, wellness, and our changing regional demographics
 - v. Support and enhance of ASU's reputation as an innovative, foundational model for the New American University
 - vi. Benefits
 - vii. Additional advantages

SECTION VI – GREEN PURCHASING REQUIREMENTS/SPECIFICATIONS

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

Proposer shall use environmentally preferable products, materials and companies where economically feasible. Environmentally preferable products have a less or reduced effect on human health and the environment when compared to other products and companies that serve the same purpose. If two (2) products are equal in performance characteristics and the pricing is within 5%, the University will favor the more environmentally preferable product and company.

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

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

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

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

- Made from 100% post-consumer recycled materials
- Be recyclable
- Reusable
- Non-toxic
- Biodegradable

Further, proposer is expected to pick up packaging and either reuse it or recycle it. This is a requirement of the contract or purchase order.

SECTION VII – PROPOSER QUALIFICATIONS

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

Proposers MUST submit their responses to each of these items directly in the Exhibit A - Respondent Questionnaire Excel sheet under Tab 4.

1. The proposer shall present evidence that the firm or its officers have been engaged for at least the past five (5) years in providing services as listed in this Request for Proposal.
2. The proposer must provide a minimum of two (2) references (other than ASU), a description of recent project and/or experience in providing similar services as described in this RFP, including institution size and scope. References should be verifiable and able to comment on the firm's experience, with a preference for references receiving services similar to those described in this Proposal. Include the name, title, telephone number, and email address of the individual at the organization most familiar with the Proposer.
3. What are three key differentiators that separate your product from the competition in the mobile safety app and platform space?
4. The proposer must provide primary and secondary contacts for this RFP. Please include each contact's name, title, email address, and phone number.

5. Financial Statements:

Option A. Proposers who have audited financial statements are to provide the following: Audited financial statements for the two (2) most recent available years. If the financial statements are intended to be confidential, please submit one (1) copy in a separate sealed envelope and mark as follows: Firm's Name Confidential – Financial Statements

Option B. Proposers who might not have audited financial statements are to provide the following: It is preferred that audited financial statements for the two (2) most recent available years be submitted. However, if not available, provide a copy of firm's two (2) most recent tax returns or compiled financial statements by an independent CPA. If the financial statements or tax returns are intended to be confidential, please submit one (1) copy in a separate sealed envelope and mark as follows: Firm's Name Confidential – Financial Statements

6. All key personnel proposed by the firm should have relevant experience and be fully qualified to successfully provide the services described in the Scope of Work. Provide an organizational chart that provides organizational sections, with the section that will have responsibility for performing this project clearly noted along with resumes of key team members dedicated to this project.
7. The proposer shall provide a Gantt chart (a preliminary project schedule) to identify the estimated timelines of the project, the roles and responsibilities between the awarded proposer and ASU, and any additional resources needed for the project. This project plan must include an implementation timeline with a set deadline date of **(July 1, 2020)** for full implementation and proposed project milestones and matches as close as possible to all components outlined within Section V Specifications/Scope of Work.

8. Please acknowledge that you have reviewed Section XIV ASU's Security Review Process. Note: ASU's Security Review Process of the RFP is intended for proposers to understand ASU's security review processes for all software or software developed for the project – website or otherwise. The proposer must understand and agree to ASU security assessment requirements and understand that they will be expected to successfully pass this process before awarded the final contract.
9. The proposer must provide a statement of their review and acceptance of ASU's Terms and Conditions included in this RFP under Section XII. Note: all exceptions with justification and alternative language MUST be submitted with the proposal. In no event is a Proposer to submit its own standard contract terms and conditions or a previously negotiated ASU contract as a response to this section.

SECTION VIII – EVALUATION CRITERIA

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

1. Response Specifications/Scope of Work (45%)
2. Response Proposer Qualifications (30%)
3. Response Pricing Schedule (20%)
4. Sustainability Efforts and Sustainability Questionnaire (5%)

Confidential and/or Proprietary Information must be submitted per the instructions in Section IV, item 9. Any watermarks, footnotes or reference to Confidential and/or Proprietary throughout the submitted proposal will be disregarded as boilerplate markings.

SECTION IX – PRICING SCHEDULE

Proposer shall submit a detailed cost proposal to include all aspects of providing the scope of work associated with this Request for Proposal. Any additional costs, fees, and expenses must be detailed in the proposer's proposal. Any additional expenses, not explicitly stated, will not be honored by ASU unless negotiated and agreed upon prior to the start of additional work. ASU is interested in receiving creative and comprehensive pricing matrices, which leverage the proposer's options with regard to the scope and level of service.

The supplier MUST fill "Exhibit B" Pricing sheet for software fees and costs.

If ASU agrees to reimburse supplier for any travel expenses, all reimbursable travel expenses must be authorized in writing by ASU in advance of the planned travel and must be consistent with ASU Financial Services Policy FIN 421-01, www.asu.edu/aad/manuals/fin/fin421-01.html. If ASU agrees to reimburse supplier for any expenses, supplier will submit all receipts and any required backup documentation to ASU within 60 days after the applicable expenses were incurred. ASU will not be required to reimburse Licensor for any expenses, invoices, or receipts for expenses received after that time. Proposer must acknowledge and accept this provision.

_____ **Place an "X" on the line acknowledging this section.**

SECTION X – FORM OF PROPOSAL/SPECIAL INSTRUCTIONS

Format of Submittal

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

1. **One (1)** clearly marked hardcopy “original” in 8.5” x 11” double-sided, non-binding form. No metal or plastic binding – may use binder, folder, or clip for easy removal of proposal; and
2. **One (1) “single”** continuous electronic copy (**flash drive only**), PC readable, labeled and no passwords.
3. Any confidential and/or proprietary documents must be on a separate flash drive and labeled appropriately.
4. Proposer must check all flash drives before submitting. Company marketing materials should not be included unless the Request for Proposal specifically requests them. All photos must be compressed to small size formats.

Content of Submittal

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

1. Appendix 1 – RFP Checklist and Cover Page
2. Section XIII – Mandatory Certifications, Voluntary Product Accessibility Template (VPAT), & Supplier Sustainability Questionnaire
3. Section VII – Proposer Qualifications (Exhibit A)
4. Section V – Specifications/Scope of Work, Respondent Questionnaire (Exhibit A)
5. Section IX – Pricing Schedule (Exhibit B)
6. Exceptions, justification, and alternate language proposed by Legal or Contract team and acknowledgement of Insurance Requirements Section XII, Terms and Conditions.
7. Confidential/Proprietary Justification Letter with sealed documents, if applicable. Please review instructions under Section IV, page 8, item 13.

SECTION XI – PROPOSER INQUIRY FORM

Pre-Proposal Questions, General Clarifications, etc. – Email to ernesto.marquez@asu.edu

PROJECT NAME: _____

PROPOSAL NUMBER: _____

INQUIRY DEADLINE: 3:00 P.M., MST, January 16th, 2020

QUESTIONS ON: _____ ORIGINAL PROPOSAL or _____ ADDENDUM NO. _____

DATE: _____

WRITER: _____

COMPANY: _____

E-MAIL ADDRESS: _____

PHONE: _____ FAX: _____

QUESTIONS:

SECTION XII – AGREEMENT - TERMS & CONDITIONS

ASU will issue a Purchase Order(s) for goods and/or services awarded under this RFP.

The parties to the Purchase Order will be bound by the ASU Terms and Conditions effective on the date the purchase order is received. The ASU Terms and Conditions are available at [ASU Standard Terms and Conditions](#).

Insurance requirements are outlined within this RFP and will be included in any resulting Purchase Order.

Proposals that are contingent upon any changes to these mandatory contract terms and conditions may be deemed non responsive and may be rejected. All exceptions must be submitted with justification and alternate language, and **MUST** be submitted with the proposal.

ASU Terms and Conditions Amendment: Unless and until the District Court's injunction in Jordahl v. Brnovich et al., Case No. 3:17-cv-08263 (D. Ariz.) is stayed or lifted, the Anti-Israel Boycott Provision (A.R.S.35-393.01 (A)) is unenforceable and the State will take no action to enforce it. Offers will not be evaluated based on whether this certification has been made.

Insurance Requirements

Without limiting any liabilities or any other obligation of Supplier, Supplier will purchase and maintain (and cause its subcontractors to purchase and maintain), until all of their obligations have been discharged or satisfied, including any warranty periods under the Agreement, insurance against claims that may arise from or in connection with the performance of the work hereunder by Supplier, its agents, representatives, employees or subcontractors, as described below.

These insurance requirements are minimum requirements for the Agreement and in no way limit any indemnity covenants in the Agreement. ASU does not warrant that these minimum limits are sufficient to protect Supplier from liabilities that might arise out of the performance of the work under the Agreement by Supplier, its agents, representatives, employees, or subcontractors. These insurance requirements may change if Supplier is a foreign entity, or with foreign insurance coverage.

A. Minimum Scope and Limits of Insurance: Supplier's insurance coverage will be primary insurance with respect to all other available sources. Supplier will provide coverage with limits of liability not less than those stated below:

1. Commercial General Liability – Occurrence Form. Policy will include bodily injury, property damage, personal injury, and broad form contractual liability coverage.

- Each Occurrence \$5,000,000

a. Policy will include the following additional insured language: "The State of Arizona, its departments, agencies, boards, commissions, universities, and its officers, officials, agents, and employees, will be named as additional insureds with respect to liability arising out of the activities performed by or on behalf of Supplier."

b. Policy will 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 Supplier.

2. Automobile Liability. If Supplier will be driving on ASU campus or on ASU business the following section will apply: Policy will include Bodily Injury and Property Damage for any owned, hired, and/or non-owned vehicles used in the performance of the Agreement in the following amounts. If Supplier is not an individual then coverage will be a combined single limit of \$1,000,000. If Supplier is an individual then coverage will be \$100,000 per person, \$300,000 per accident, and \$50,000 property damage.

a. Policy will include the following additional insured language: "The State of Arizona, its departments, agencies, boards, commissions, universities, and its officers, officials, agents, and employees, will be named as additional insureds with respect to liability arising out of the activities performed by or on behalf of Supplier, involving vehicles owned, leased, hired, or borrowed by Supplier."

b. Policy will 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 Supplier.

c. Policy will contain a severability of interest provision.

3. Worker's Compensation and Employers' Liability. Applicable statutory limits, as amended from time to time.

a. Employer's Liability in the amount of \$1,000,000 injury and disease.

b. Policy will 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 Supplier.

c. This requirement will not apply to any contractor or subcontractor exempt under ARS § 23-901, when such contractor or subcontractor signs the [Sole Proprietor Waiver Form](#).

4. Technology/Network Errors and Omissions Insurance. The terms of this section apply if: 1) ASU is purchasing or

leasing software, or processing a software renewal; 2) Supplier is creating any code for ASU; 3) Supplier receives, stores, or analyzes ASU Data (including if the data is not online); 4) Supplier is hosting, or managing by infrastructure outside of ASU, including in the cloud, ASU Data; OR 5) ASU is purchasing or leasing equipment that will connect to ASU's data network.

- Each Claim/Incident/Occurrence \$5,000,000

a. This insurance will cover Supplier's liability for acts, errors and omissions arising out of Supplier's operations or services, including loss arising from unauthorized access, or use that results in identity theft or fraud.

b. If the liability insurance required by the Agreement is written on a claims-made basis, Supplier warrants that any retroactive date under the policy will precede the effective date of the Agreement, and that either continuous coverage will be maintained or an extended discovery period will be exercised for a period of 2 years beginning at the time work under the Agreement is completed.

c. Policy will cover professional misconduct for those positions defined in the scope of work of the Agreement.

5. Professional Liability (Errors and Omissions Liability). If the Supplier will provide ASU Services under the Agreement, the Policy will include professional liability coverage as follows:

- Annual Aggregate \$5,000,000

a. If the professional liability insurance required by the Agreement is written on a claims-made basis, Supplier warrants that any retroactive date under the policy will precede the effective date of the Agreement; and that either continuous coverage will be maintained or an extended discovery period will be exercised for 2 years beginning at the time work under the Agreement is completed.

b. Policy will cover professional misconduct for those positions defined in the scope of work of the Agreement.

B. Cancellation; Material Changes: Cancellation notices will be delivered to ASU in accordance with all policy provisions. Notices required in this Section must be sent directly to ASU Purchasing and Business Services, email Insurance.certificates@asu.edu or mail to PO Box 875212, Tempe, AZ, 85287-5212.

C. Acceptability of Insurers: Insurance is to be placed with duly licensed or approved non-admitted insurers in the State of Arizona with an "A.M. Best" rating of not less than A-VII. ASU in no way warrants that the above required minimum insurer rating is sufficient to protect Supplier from potential insurer insolvency. Self-Insurance may be accepted in lieu of or in combination with insurance coverage requested.

D. Verification of Coverage: Each insurance policy required by the Agreement must be in effect at or prior to commencement of work under the Agreement and remain in effect for the term of the Agreement. Failure to maintain the insurance policies as required by the Agreement, or to provide evidence of renewal, is a material breach of contract.

If requested by ASU, Supplier will furnish ASU with valid certificates of insurance. ASU's project or purchase order number and project description will be noted on each certificate of insurance. The State of Arizona and ASU may require complete, certified copies of policies at the time of notice of any loss or claim.

E. Subcontractors. Supplier's certificate(s) may include all subcontractors as insureds under its policies as required by the Agreement, or Supplier will furnish to ASU upon request, copies of valid certificates and endorsements for each subcontractor. Coverages for subcontractors will be subject to the minimum requirements identified above.

F. Approval. These insurance requirements are the standard insurance requirements of ASU. Any modification or variation from the insurance requirements in the Agreement will require the approval of ASU's Department of Risk and Emergency Management

SECTION XIII – MANDATORY CERTIFICATIONS

Fillable PDF versions of mandatory certifications are at: <https://cfo.asu.edu/business/do-business-asu> under the Formal Solicitations tab. ORIGINAL signatures are **REQUIRED** for either version.

CONFLICT OF INTEREST CERTIFICATION

(Date)

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

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

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

(Email address)

(Address)

(Signature required)

(Phone)

(Print name)

(Fax)

(Print title)

FEDERAL DEBARRED LIST CERTIFICATION

Certification Regarding Other Responsibility Matters (April 2010)

_____ (Date)

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

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

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

(A) (check one) **Are** () or **are not** () presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any Federal agency; (

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

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

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

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

(2) (a) “Principal,” for the purposes of this certification, means an officer; director; owner; partner; or, person having primary management or supervisory responsibilities within a business entity (e.g., general manager; plant manager; head of a subsidiary, division, or business segment, and similar positions).

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

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

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

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

(Email address)

(Address)

(Signature required)

(Phone)

(Print name)

(Fax)

(Print title)

ANTI-LOBBYING CERTIFICATION

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

(Date)

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

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

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

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

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

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

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

(Email address)

(Address)

(Signature required)

(Phone)

(Print name)

(Fax)

(Print title)

Voluntary Product Accessibility Template (VPAT)

A Voluntary Product Accessibility Template (VPAT™) is a document that explains how information and communication technology (ICT) products such as software, hardware, electronic content, and support documentation meet (conform to) the Revised 508 Standards for IT accessibility. VPATs™ help Federal agency contracting officials and government buyers to assess ICT for accessibility when doing market research and evaluating proposals.

Government solicitations which include ICT will specify accessibility requirements, indicating which provisions are required to ensure the deliverable is accessible. A VPAT™ is a good way to address the accessibility requirements defined in the solicitation.

All electronic and information technology developed, procured, maintained, or used in carrying out University programs and activities must be compliant with Sections 504 and 508 of the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990, as amended, other relevant local, state, and federal laws, and related university policies.

This VPAT was designed to provide information on how a product or service conforms to the section 508 accessibility standards (from the U.S. Access Board) for electronic and information technology (EIT) in a consistent fashion and format. Supplier must make specific statements, in simple understandable language, about how their product or service meets the requirements of the section 508 standards.

The proposer must access the current VPAT template by visiting <https://www.section508.gov/sell/vpat> and provide the completed form as part of their proposal, per the instructions of the RFP.

SUPPLIER SUSTAINABILITY QUESTIONNAIRE – SMALL COMPANY

Firm Name: _____ Date: _____

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

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

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

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

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

Energy

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

Solid Waste

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

Water Waste

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

Packaging

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

Sustainability Practices

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

9. Name any third party certifications your firm has in regards to sustainable business practices?
10. Describe any other initiatives your firm has taken to integrate sustainability practices principles into your operations.

Community

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

SUPPLIER SUSTAINABILITY QUESTIONNAIRE – LARGE COMPANY

Firm Name: _____ Date: _____

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

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

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

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

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

Energy

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

Solid Waste

1. What is your firm doing to reduce waste to landfill?
2. What is your firm's annual waste to landfill generated in metric tons? (Enter total metric tons)
3. What plan is in place to reduce waste to landfill generated in the future?

Water Waste

1. What is your firm doing to reduce water waste?
2. What is your firm's annual water waste in gallons? (Enter total gallons)
3. What plan is in place to reduce water waste in the future?

Packaging

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

Sustainability Practices

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

Community

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

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

Energy

Energy

Greenhouse Gas Protocol provides tools to calculate emissions that are industry specific:

- <http://www.ghgprotocol.org/calculation-tools>

Solid Waste

The EPA's pre-built excel file to help measure and track your waste and recycling:

- <http://www.epa.gov/smm/wastewise/measure-progress.htm>

Water Waste

EPA information about conserving water:

- <http://water.epa.gov/polwaste/nps/chap3.cfm>

Packaging

- <http://sustainablepackaging.org/uploads/Documents/Definition%20of%20Sustainable%20Packaging.pdf>

Sustainability Practices

Ideas for alternative transportation programs:

The EPA environmentally preferable purchasing guidelines for suppliers:

- <http://www.epa.gov/epp/>

EPA life cycle assessment information:

- <http://www.epa.gov/nrmrl/std/lca/lca.html>

Ecologo cleaning and janitorial products:

http://www.ecologo.org/en/certifiedgreenproducts/category.asp?category_id=21



GPIS Security Review Questionnaire
Form version: 2019-06-01

Expectations

This Security Review Questionnaire is to be filled out by either the College/Unit Product owner or the ASU project team.

Please provide documentation to assist in the GPIS security review.

1. ISO or NIST evaluations or documentation
2. SOC2 Report, STAR, and industry certifications
3. Vulnerability scanning reports or information security policies
4. Penetration testing results or policies
5. Data flow diagram (as required)
6. Architecture diagram (as required)

Design of System

Is this a SaaS solution?

Is it hosted in IaaS owned by ASU?

Is the solution built on premises in ASU datacenter?

Responsibility for Secure Design

Who is responsible for the secure design of the entire system?

<input type="checkbox"/>	High	We don't know who is responsible for the security design of the entire system.
<input type="checkbox"/>	High	Although certain parts may be designed for security, nobody is responsible for the security design and ASU standards compliance of the entire system including users and their devices.
<input type="checkbox"/>	Medium	A vendor claims to be responsible for the security design and ASU standards compliance of the entire system, but the vendor has not signed ISO language , or the scope of the vendor's contracted responsibility does not cover the entire system including users and their devices.
<input type="checkbox"/>	Medium	A single vendor has accepted responsibility for all of the security design and ASU standards compliance, has signed ISO language , and the scope of the vendor's contracted responsibility covers the entire system including

		users and their devices. However the vendor has not provided evidence of compliance with the ISO language.
<input type="checkbox"/>	Low	<p>A single vendor has accepted responsibility for all of the security design and ASU standards compliance, has signed ISO language, and the scope of the vendor's contracted responsibility covers the entire system including users and their devices.</p> <p>If the vendor has signed or has intent to sign the ISO contract language ensure you provide a copy of the following documents from the vendor:</p> <ul style="list-style-type: none"> • SOC2 Report • Security Policies or SOPs
<input type="checkbox"/>	Addressed	<p>One or more ASU employees have designed the system with a holistic security perspective from the beginning, selecting components and/or vendors that meet regulatory requirements and ASU standards. The ASU employee(s) responsible for the security design and ASU standards compliance are:</p> <p>_____</p> <p>_____</p>

Additional information (optional)

Encryption

How will sensitive data be protected in transit, as it travels across the network? (Check all that apply.)

<input type="checkbox"/>	High	Sensitive data will be traveling across one or more external connections outside of the ASU data Center without any protection.
<input type="checkbox"/>	High	All systems and connections storing or processing sensitive data are within the ASU data center, but sensitive data is not encrypted as it moves from system to system.
<input type="checkbox"/>	High	Firewalls, network segmentation, and/or other techniques limit sensitive traffic to only those systems that are intended to receive it. Other systems are prevented from connecting, or listening to sensitive traffic. However, sensitive data is not encrypted in transit.
<input type="checkbox"/>	Addressed	All sensitive data is encrypted as it travels over each network connection.
<input type="checkbox"/>	Addressed	All* web sites are using https encryption. Servers have valid https certificates. (The certificates are correctly configured and installed so that no warnings are seen.)

<input type="checkbox"/>	Addressed	This project has no sensitive data.
<input type="checkbox"/>	Addressed	This question is not applicable for this project because all of the following are true: <ul style="list-style-type: none"> • No ASU equipment or network connections will be used to transmit sensitive data. • If a vendor is transmitting or receiving sensitive data, the vendor has accepted responsibility for protecting the data by signing a contract that includes ISO language.

Additional information (optional)

How will sensitive data be protected at rest, wherever it is stored? (Check all that apply.)

<input type="checkbox"/>	High	Sensitive data will be stored without any protection, on devices available to the general public without logging in.
<input type="checkbox"/>	High	Sensitive data will be stored without encryption at rest, even though PCI or other applicable regulations require it.
<input type="checkbox"/>	Medium	Sensitive data will be stored without encryption, but the devices require a login, and there is no applicable regulation requiring encryption at rest.
<input type="checkbox"/>	Medium	All systems storing or processing sensitive data are within the ASU data center, but sensitive data is not encrypted on disk. There is no applicable regulation requiring encryption at rest.
<input type="checkbox"/>	Low	Sensitive data is encrypted on disk, but not on backups. There is no applicable regulation requiring encryption at rest.
<input type="checkbox"/>	Addressed	All sensitive data is encrypted at every location where it is stored, including user devices and backups.
<input type="checkbox"/>	Addressed	This project has no sensitive data.
<input type="checkbox"/>	Addressed	This question is not applicable for this project because all of the following are true: <ul style="list-style-type: none"> • No ASU equipment will be used to store sensitive data. • If a vendor is storing sensitive data, the vendor has accepted responsibility for protecting the data by signing a contract that includes ISO language.

Additional information (optional)

Security Architecture Diagram

Is there a crypto key management system of certificates?

Is there non-production and testing environments?

<input type="checkbox"/>	Unknown	At present we don't know if there will be development or QA instances of the web site(s).
<input type="checkbox"/>	Medium	Only a production instance exists. There is no place to test code or changes without impacting live systems and data.
<input type="checkbox"/>	Low	A QA or development instance exists, but it is different from production to the extent that there could be flaws in one environment that do not exist in the other.
<input type="checkbox"/>	Addressed	All sites have QA instances that are sufficiently identical to production that the results of tests in QA can be relied on to evaluate the production instance.
<input type="checkbox"/>	Addressed	This project has no web sites.

Additional information (optional)

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Database Servers

Servers that have databases containing sensitive data should be protected from various types of attacks. A database server directly connected to the Internet has no defenses except the ID and password that may be required. A database server directly connected to a web server may lose *even that ID/password defense* if the web server is compromised.

What database protections are in place?

<input type="checkbox"/>	High	There are one or more databases with access to sensitive data. The database servers have publicly routable IP addresses and there is no firewall limiting connections to the database. People from anywhere in the world can connect directly to the database server.
<input type="checkbox"/>	Medium	A database containing sensitive data is directly accessible by a web server, but the database only accepts requests from the web server. Other devices cannot make connections to the database.
<input type="checkbox"/>	Low	Web servers can connect to database servers directly, but alternate protections are in place to defend the database from a web server compromise, such as a Web Application Firewall in front of the web server. (Describe in the notes how the protective technology protects the database from a web server compromise.)
<input type="checkbox"/>	Addressed	Web servers cannot connect directly to database servers due to network segmentation, firewall rules, etc. Web servers interact with database servers

		through an application server that only permits a white list of known good transactions (a three tier architecture). Web servers also have defenses against typical attacks (such as SQL injection) via parameterized queries, stored procedures, or other techniques that do not pass arbitrary strings to the SQL command interpreter.
<input type="checkbox"/>	Addressed	None of the systems in this project have access to a database containing sensitive data.
<input type="checkbox"/>	Addressed	This question is not applicable for this project because all of the following are true: <ul style="list-style-type: none"> ● No ASU equipment will be used to store a database with sensitive data. ● If a vendor has a database with sensitive data, the vendor has accepted responsibility for protecting the data by signing a contract that includes ISO language.

Additional information (optional)

Secure Communications

How does the components of the architecture communicate and authenticate to each other?

<input type="checkbox"/>	High	One or more servers initiate or accept connections with their peers, but do not verify or otherwise restrict which servers can connect.
<input type="checkbox"/>	High	When a server logs in to another server, a password or other secret is transmitted across a network connection without encryption.
<input type="checkbox"/>	Medium	Firewalls, network segmentation, or other controls make it impossible for connections to be opened between anything other than the intended servers. Connections are limited by a "black list" identifying which addresses are not allowed to connect.
<input type="checkbox"/>	Low	Firewalls, network segmentation, or other controls make it impossible for connections to be opened between anything other than the intended servers. Connections are limited by a "white list" specifically identifying which addresses are allowed to connect, and denying all others by default.
<input type="checkbox"/>	Low	Servers use credentials to identify each other, but there are weaknesses (explain in the notes). For example: (A) the credentials are not unique to one application (B) the credentials are not safely stored, or (C) it is difficult to change the credentials.
<input type="checkbox"/>	Addressed	Each server uses a standard mechanism, such as https, to verify the other server's identity when initiating a connection to another server. If using https, servers have valid https certificates, and clients verify certificate validity. (The certificates are correctly configured and installed so that no warnings are seen.) The listening server authenticates the requesting server using credentials that are unique to this application. The credentials are not stored where they can be

		accessed without authorization. Credentials are periodically updated, and can be quickly updated if a compromise is suspected.
<input type="checkbox"/>	Addressed	The project does not have more than one server, so there is no need for servers to authenticate each other.
<input type="checkbox"/>	Addressed	The changes being made as part of this project will not affect a situation where two or more servers are communicating with each other, so the question does not apply.

Additional information (optional)

Software Integrity

Whoever writes your software gains control of your computer, sensitive data, and identity. Thus it is important to be sure the software comes from sources you trust. Verify the origin of software before installing it, and keep it up to date if security fixes have been released.

Current versions should be originally installed, upgrades should be applied when available, and security patches should be applied promptly. During original installation or subsequent updates, controls should be in place to ensure that all software comes from trustworthy authors, and has not been tampered with along the way.

Are current versions of software being deployed? Will upgrades and patches be promptly applied?

<input type="checkbox"/>	High	Some systems run outdated versions of their operating system, utilities, or installed applications. Or, systems are initially deployed with current software, but nothing will be in place to keep them current in the future.
<input type="checkbox"/>	Medium	There is a capability in place to distribute the most recent software version or updates, but it does not have controls to protect against fake (malicious) updates.
<input type="checkbox"/>	Low	Initial install files and/or updates carry a signature (e.g. a hash or checksum) to verify file integrity, but the file must be (and will be) manually checked against a trusted list of valid signatures.
<input type="checkbox"/>	Addressed	Software, including operating system, utilities, applications, and any other executable code, is only obtained from trusted sources. It is distributed using mechanisms that automatically ensure it is not altered, for example, files are cryptographically signed or delivered over a channel that ensures end-to-end file integrity. Current versions of software are initially installed. Patching and upgrades are performed regularly and as needed. Patches are automatically verified so that administrators and users cannot be tricked into installing a malicious update.
<input type="checkbox"/>	Addressed	This project does not include any new software. Nothing new is installed on user computers or on servers used by this system. There are no new web pages with code that runs on the server (for example, receiving form input) and no new web

		pages with code that runs on the browser (such as media players, Java, Active X, JavaScript etc.)
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Additional information (optional)

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Other Risks

If you are aware of other risks you would like to document, describe them here and assign what you think is the appropriate risk rating, considering the classification of the data involved. (Copy and paste a table cell containing the rating you want to apply.)

<input type="checkbox"/>		
<input type="checkbox"/>		
<input type="checkbox"/>		

Additional information (optional)

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SECTION XIV- CONTINUED (REFERENCE DOCUMENT #2)

Upon award, the successful Proposer(s) is expected to submit a Security Architecture Diagram.

How to Create a Security Architecture Diagram Revised 2016-05-27

This describes how to make a Security Architecture Diagram for a security review.

Here is the information you will need to gather to create a Security Architecture Diagram:

- Identify each role your new system will support. A role is a group of users who can all do pretty much the same things. For example your system may offer one collection of services to *students* and other services to *faculty*. These are two roles. Roles may also depend on the type of device being used. For example if mobile devices use an "app" instead of using the web site provided for desktop users, you probably have a *mobile users* role and a *desktop users* role, although different descriptions may be more applicable.
 - Don't leave out the administrators. The *administrator* role is an important part of system maintenance, and privileged roles are an attractive hacker target.
- Identify each endpoint in the system. Each role will be an endpoint, and each type of server is also an endpoint. Endpoints include any device that sends or receives data. But if there are multiple devices that perform the same operation, they can be represented as a single endpoint. For example, we don't need to distinguish each end user computer when they all do the same thing. Similarly, if there is a cluster of identical servers doing the same thing, that's one endpoint.
- Identify each connection between endpoints. If data is moving, there must be a connection to carry it. But unlike a data flow diagram, what matters here is not *which way* the data flows (it might be both ways) but *which endpoint* initiates the connection. Usually a connection is requested by a client (for example, your web browser) and accepted by a server (the web site). The server is listening for connections, usually on a predefined port.
- If you make backups, that is yet another data flow from one endpoint to another. How does the data get there? Show the connection if it is network based, or describe the physical security if sensitive data is moved by hand (e.g. backup tapes to a vault).
- For each server, determine what IP address and/or Fully Qualified DNS hostname will be used by the server, and on what port(s) it will be listening. What protocol is being used to communicate over each connection? Is the data protected in transit? How do the endpoints of the connection authenticate each other? (How do they verify that they have connected to the correct endpoint?)

You are now ready to start making your drawing.

- Choose a symbol to represent the endpoints. Typically this is a box, but it could be something else. Draw a box (if that's your choice) for each endpoint. Again, that would be one box to represent all the users who share a single role, and another box for each server (or group of identical servers). If different users connect to different servers, that would be a distinct endpoint. Don't forget the users! The system can't work without them.
- Label endpoints that are permanent (e.g. servers) with their IP address and/or Fully Qualified DNS hostname*. Users, of course, come and go all the time, and their IP address or name doesn't matter.
- Choose a symbol to represent the connections. Typically this is a line, but it could be something else. Draw a line (or whatever) from each endpoint to each other endpoint with which it communicates.
- Choose a symbol to identify which end of the connection is the client and which end is the server. Remember that the server is passively listening on a port for requests, and the client is initiating those requests. You could represent this, for example, by an arrowhead on the server end of the line, indicating that the client sends a connection request to the server.
- Near the server end of the connection, identify the port number on which the server is listening.
- Indicate the communication protocol used by the connection. For example, a web site may use the http or https protocol. Even for public sites, https is preferred.
- Describe, on the diagram or elsewhere, what type of data is flowing along each connection. Is it confidential? Regulated? If the data is sensitive, describe how it is protected in transit. For example, is it encrypted? Using what type of encryption? Describe any controls to limit who or what can connect and fetch the information.
- If there is confidential or sensitive data, describe how it is protected at each endpoint of the connection. Is it encrypted at rest? If so, how? Is the endpoint protected by a firewall? If so, what does the firewall block or allow? Is the data viewed but not stored (e.g. by a client) so that secure storage is a non-issue?

*See https://en.wikipedia.org/wiki/Fully_qualified_domain_name

Summary

So for each server (anything that accepts connections) you should have:

- Fully Qualified DNS name and/or IP address
- Description of what it is or what it does (web server? database?)

For each connection you should have:

- Port number where the server is listening

- Protocol (http, ssh...)
- Sensitivity of data flowing across that connection
- Protection of data flowing across that connection, if it is not public (encryption? what type?)
- If the server authenticates the client, how? (User ID and password?)
- If the client authenticates the server, how? (For example https uses a server certificate signed by a known certificate authority, which the client can verify.)

Additional Info

It may also help to distinguish existing endpoints, to which you will merely connect, from new endpoints that will be created as part of your project.

It may also help, if it is not obvious, to briefly describe the role or purpose of certain endpoints. For example: web server, database server, normal user, administrative user -- don't forget to show them too if they use different connections! Use consistent and unique names throughout; don't call it the "data server" here and "MySQL server" somewhere else and "repository" a third place.

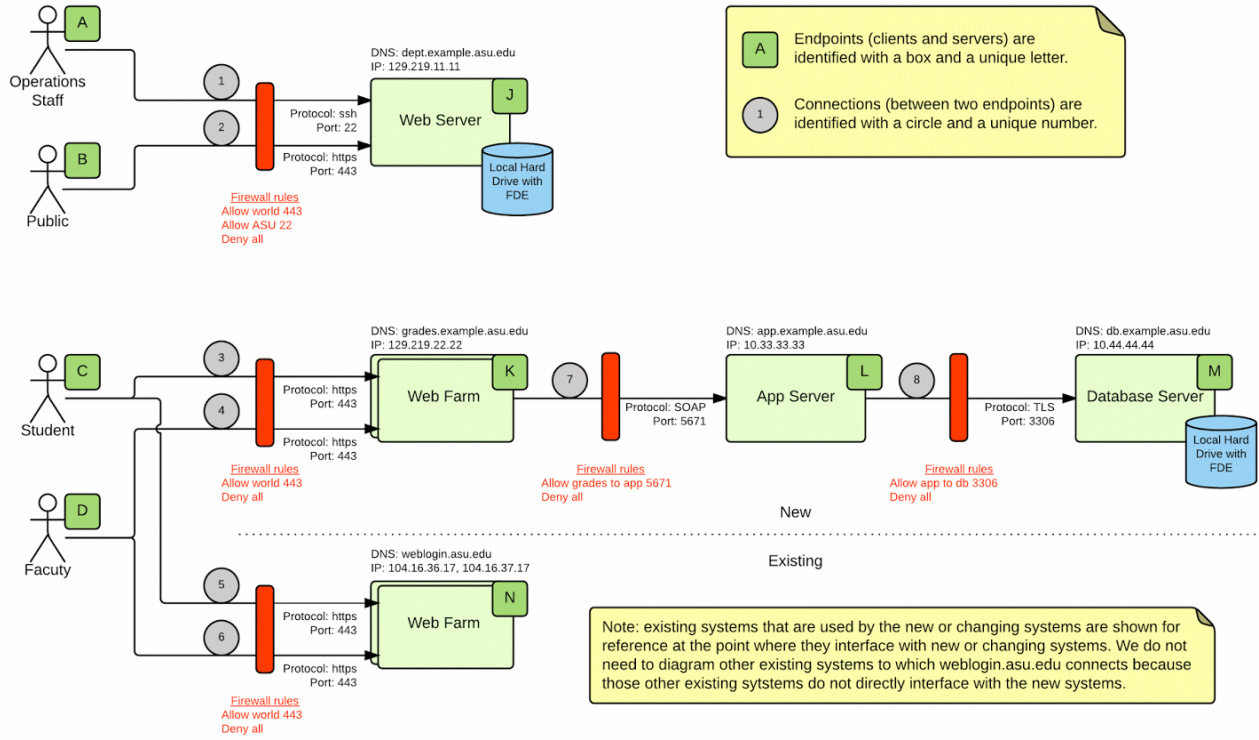
It is not necessary to show disk drives that are physically within a single server. However network shares are most likely part of a file server, and the file server should also be shown as a distinct endpoint.

When you are done, save your diagram in a format that will open on other types of computers (e.g. pdf) for people who may not have your software.

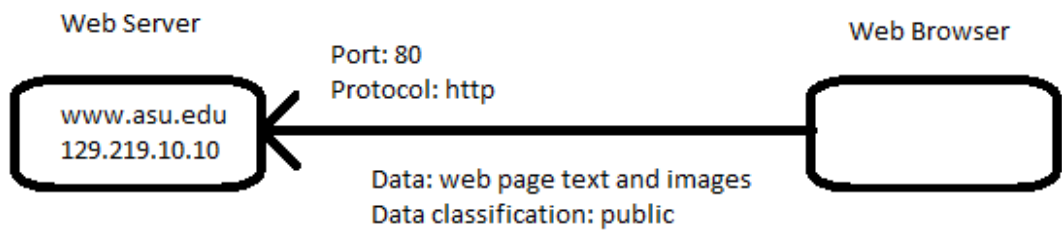
EXAMPLES:

Example Security Architecture Diagram

Revised 2015-07-31



The diagram need not be colorful. Although this diagram (below) is very simple, it conveys all the requested information. Visual appeal can be beneficial, but the factual information is what really matters.



APPENDIX 1 - RFP CHECKLIST/COVER PAGE

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

<input type="checkbox"/>	RFP Checklist/Cover Page, Mandatory Certifications, Voluntary Product Accessibility Template (VPAT), & Supplier Sustainability Questionnaire.
<input type="checkbox"/>	Proposer Qualifications, Section VII – Exhibit A – Respondent Questionnaire
<input type="checkbox"/>	Response to the Specifications/Scope of Work (Section V) – Exhibit A – Respondent Questionnaire
<input type="checkbox"/>	Pricing Schedule, Section IX – (Exhibit B)
<input type="checkbox"/>	Exceptions to Terms and Conditions reviewed by Legal or Contract team and Insurance Requirements acknowledged, Section XII
<input type="checkbox"/>	Confidential/Proprietary Justification Letter with Sealed documents, if applicable. Section IV, page 8, item 13.

In addition, the proposer must provide their review and acknowledgement of the following documents provided in this RFP. Please mark off each box to acknowledge that you have reviewed the below documents in the RFP:

<input type="checkbox"/>	RFP 122001 (PDF Document)
<input type="checkbox"/>	All RFP Addenda (PDF Document)

Company Name	Point of Contact Name	Title

Date	Email Address	Phone #