



October 31st, 2019

REQUEST FOR PROPOSAL

ENTERPRISE SERVICE BUS

RFP 302001

DUE: 3:00 P.M., MST, 12/4/19

Time and Date of Pre-Proposal Conference	11:00 A.M., MST, 11/7/19
Deadline for Inquiries	3:00 P.M., MST, 11/15/19
Time and Date Set for Closing	3:00 P.M., MST, 12/4/19

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SECTION I – REQUEST FOR PROPOSAL

RFP 302001

Arizona State University is requesting sealed proposals from qualified firms or individuals for **Enterprise Service Bus**.

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 December 4th, 2019** 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.

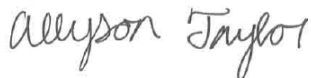
Arizona State University's Overnight Delivery (FedEx, Airborne, and UPS) address is:

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



Allyson Taylor
Buyer

AT/AP

SECTION II – PURPOSE OF THE RFP

1. **INTENT**

Arizona State University is seeking proposals for an Enterprise Service Bus (ESB) and Application Programming Interface (API) development and enablement platform.

Arizona State University has a broad and diverse set of software applications, both custom developed and third party provided, which operate across various operational platforms. A business critical function for the University Technology Office (UTO) acting as the central IT organization at ASU, is to provide the ability to connect these disparate applications with each other by sending data or triggering events between systems. The UTO also has assumed the responsibility to provide a Services Oriented Architecture as well as in general, exposing ASU owned data and services through APIs. An ESB is a key component to support a service oriented architecture.

The University may choose to enter into multiple contracts under this solicitation. After awarding, the University does not guarantee a certain amount of hours or work or projects per year. At the university's discretion, a successful proof of concept (POC) may be required as part of the award process.

2. **BACKGROUND INFORMATION**

ASU is soliciting proposals from those in the ESB technology space and requesting proposals which will meet or exceed our ASU integration and API requirements.

In 2014, ASU began using the Mulesoft Enterprise Service Bus on-premise technology platform as the application product to connect ASU systems as well as creating APIs and other web-services for a variety of business functions. ASU has dozens of systems that need ESB integrations such as: Workday Financials, PeopleSoft Human Capital Management, PeopleSoft Campus Solutions, Salesforce (multiple organizations), Canvas (Student LMS), Cornerstone (Faculty/Staff PDMS), ServiceNow, Atlassian (JIRA/Confluence), Slack Enterprise Grid, StarRez (Student Housing), AdAstra (Classroom scheduling), CollegeScheduler (Civitas – Student schedule planner), AWS Redshift and Aurora (Datawarehouse environments), AWS S3, Dropbox, DocuSign, hundreds of Drupal CMS sites, and many ASU custom built applications serving a multitude of business functions.

Enterprise Service Bus Architecture

The existing ASU Enterprise Service Bus utilizes an on-premise solution. All ESB instances, production and pre-production are hosted within the ASU datacenter. ASU is currently in the process of migrating the ESB platform to the Amazon Web Services public cloud infrastructure utilizing AWS as Infrastructure as a Service (IaaS). All ESB management and administration will still be controlled by ASU UTO staff. The ASU Operations team uses a product called Control-M to initiate all batch ESB flows and also to check and report on processing status.

The production environment uses fourteen processor cores which is split between functional business groups as follows: PeopleSoft, Salesforce, Workday, DocuSign, and UTO Tools. All ESB flows are assigned to be run in one of these business groups. Additionally, ASU has a

Development (DEV) and Quality Assurance (QA) instance of our ESB. There are six total pre-production processing cores available.

ASU currently has 110 integrations with:

- 50 related to the PeopleSoft business group,
- 40 related to the Workday Financials business group,
- 15 related to Salesforce, and a handful dispersed to the other business groups.

ESB Message Analytics

	Day	Week	Month
Batch Jobs: Records Processed	988,050	5,759,371	24,493,381
API Calls	100,102	496,650	2,024,305

ESB Server Analytics

	Server	Average	Max	Total
Memory	App01	31.7GB	37GB	62%
	App03	16.79GB	17GB	56%
Traffic	App01	735kb/sec	8.9mb/s	55GB/week
	App03	404kb/sec	3.7mb/s	30GB/week
Processor	App01	43%	86%	(Weekly)
	App03	55%	98%	(Weekly)

Note: ASU has four servers, for brevity only data on two are displayed. App01 has 5 cores and handles real-time messaging. App03 has 2 cores and is a batch server.

The majority of our existing ESB flows originate with an HTTP endpoint which then connects to a database or uses a delivered connector to one of our main target systems of Workday Financials or Salesforce. There are some flows which also connect to other APIs such as JIRA, Canvas, or other miscellaneous supplier provided APIs. Of the developed ESB integrations, approximately 40 utilize batch data processing and the remainder are real-time. At the moment, almost all of our developed APIs are private to ASU applications or trusted suppliers are provided firewall access with credentials. We don't currently have publically available APIs.

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

ASU will contract for one (1) year with the possibility of four (4) 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.

In the event a proof of concept (POC) is part of the final awarded contract, the initial term of the contract would be the length of that POC.

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 specific in the Pricing Schedule (Attachment A). Note: Alternative terms cannot be in lieu of the term stated above.

SECTION III – PRE-PROPOSAL CONFERENCE

A pre-proposal conference will be held on **Thursday, November 7th 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/5f9c0471949806c07510d14dfea9e911>

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:

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

Tel: 480-965-2074
E-mail: allyson.taylor@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.

Proposers are prohibited from communicating directly to any member of the RFP committee other than the named Buyer during the RFP process except those activities conducted under the committee's purview. Participants with other business with the University that does not fall under the purview of this RFP may conduct that business as would normally be required to maintain that business.

- 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

A. Requirements and Desired Qualifications

Review each of the following requirements and desired functionalities that we are seeking for an enterprise service bus provider. This section provides descriptions for each qualification. No responses are needed for this section.

Additional information regarding if and how your solution meets each of these requirements and desired qualifications will be addressed in Tabs 1 – 5 of Exhibit A – Respondent Questionnaire.

a. Integration Mechanisms

- i. **Connector** – Respondent must have adapters/connectors to commonly used endpoints such as files, databases, HTTP, SFTP and also include connectors to popular third party products such as many of those listed in Section II.
- ii. **Message Exchange Patterns** – Respondent must support a variety of both Synchronous and Asynchronous data exchanges including Request-Response, Request-Callback, One-way Asynch, Publish and Subscribe.
- iii. **Communication & Message Structure** – Respondent must support standards based integrations using protocols and message formats such as AS2, (s)FTP, HTTP(s), SMTP, XML, XSD, SOAP, REST, JSON, and other common resource adapters.
- iv. **Transformations** – Respondent should have the capability to transform data between common formats such as but not limited to: XML, XSLT, JSON, CSV, EDI (ANSI X.12, EDIFACT, XML), and inputs from data pulled from common databases and enterprise applications.
- v. **Scripting Language** – Respondent should support at least one type of proprietary or preferably a standards based scripting language such as JavaScript, Python, Ruby, or Groovy.
- vi. **Routing/Flow Control** – Respondent must allow for various routing options of the message. This includes different routings based on data values or content type.
- vii. **Polling** – Respondent should support a mechanism for polling for items/end-points based on a given scheduling strategy.
- viii. **Change Data Capture** – Respondent should have a mechanism to monitor or trigger events when changes occur to enterprise data sources.
- ix. **Batch** – Respondent should support batch jobs for processing large datasets in an asynchronous manner.
- x. **Queue** – Respondent should include a message queueing technology or support some common third party queues such as: RabbitMQ, ActiveMQ, Amazon Simple Queue Service, and Azure Queue. Queue support should include both publish and subscribe.
- xi. **Stateless Business Process** – A stateless business process is one that does not persist its state to a database. Respondent must support these stateless logical transactions.
- xii. **Stateful Business Processes** – Stateful business processes are usually more complex with long running logic where the state is maintained over a period of time such as hours/days/weeks, usually waiting for a triggering event to resume business processing. This is not a requirement but respondent should be able to support Stateful processing would be a positive additional feature.

- xiii. **Custom Coding** – Respondent should have a facility to allow for custom developed transformations, custom business processing logic, and custom routing logic.

b. Security Mechanisms

- i. **Authentication Methods** – Respondent should support common authentication methods including but not limited to Basic Auth, OAuth 2.x, SAML, Kerberos, and LDAP.
- ii. **Authorization Methods** – Respondent should support access control such as Role Based or Attribute-based; or integrating to common identity and authorization products which support these methods.
- iii. **Common Industry Compliance** – Respondent should detail what common compliance standards and procedures can be supported with the product. Examples include Payment Card Industry Data Security Standard (PCI DSS), Health Insurance Portability and Accountability (HIPAA), National Institute of Standards and Technology (NIST 800), SOC 2 compliance.
- iv. **Data Security** – Respondent must have the ability to support Tokenization, encryption, and data masking.

c. Monitoring and Scheduling Mechanisms

- i. **Real-Time Monitoring** – Respondent should support a dashboard or similar interface which can be used to gain insights into ESB flow deployments and their activity over time.
- ii. **Logging** – Respondent must have the capability to log information at various points of an ESB flow, including to Splunk which is used at ASU extensively for logging, alerting, and general application reporting.
- iii. **Analytics/KPI** – Respondent should have either a built-in capability to provide system analytics and common Key Performance Indicators, or a straightforward reporting mechanism that analytic information can be relatively easily obtained.
- iv. **Debug** – Respondent must have a facility to assist with development and troubleshooting which provides detailed information which can be controlled by the level of Debug chosen.
- v. **Remote Scheduling** – ASU uses application scheduling software by BMC called Control-M. The solution should be able to integrate with the Control-M application to allow Control-M to initiate batch jobs, get a unique instance ID, and call back to the supplier application for processing status. For instance the returned status may be 'Successful' when complete, 'Failed' when there is an error condition, and 'Executing' when running.

d. API or Service Flow Design

- i. Respondent must support a modern UI and visual design interface to build the integration flows or APIs.
- ii. Respondent must support a pre-production to production flow migration and publication path similar to the common Development, Quality Assurance (Test), and Production software delivery process.
- iii. Development platform must support the ability to step through the flow/code.
- iv. Source Code Repository/Version Control System – Ideally, the supplier product will support integration to third party code repositories and technologies such as Git (Github), Bitbucket, or Apache Subversion (SVN).

e. Operational Platform

- i. **On-Premise or Supplier Hosted** – ASU is now running most non-SaaS products on the Amazon Web Services (AWS) public cloud. Respondent must be compatible with running on the AWS public cloud or have their own SaaS platform for operating the ESB which will be able to easily connect to the ASU AWS accounts.
- ii. **Performance** – Respondent must describe general performance expectations for the platform and what options exist to change the relative performance configuration as needs may change. Describe how the platform can scale and if the option exists for dynamic performance scaling.
- iii. **Quality of Service** – Respondent must allow an architecture design that allows for the incorporation of fault tolerance. This may include load balancing, utilizing clustering deployments, creation of separate domains, or other high-availability and disaster recovery architectures. Also list out any guarantees of system availability if platform is in any way operated by the Supplier.
- iv. **Limitations** – Respondent must list out known product limits. This for instance could be performance limitations, maximum number of requests, data or message size limitations, etc. Additionally, if there are not specific product limits, but a cost is incurred when reaching some threshold, please elaborate.

f. Support

- i. **Levels of Support** – Respondent must describe the support model, whether there exists any tiered levels of support, and the differences. Cost differences for the various support levels must be listed in Exhibit B – Pricing Schedule.
- ii. **Issue Creation and Resolution** – Respondent must describe the avenue for customers to log or request support and include details for any specific service level agreement such as that which may be dependent on issue priority or possibly tier subscription level.
- iii. **Forums** – Respondent must explicitly detail the existence and location of any commonly used public community forums used for support and knowledge transfer. Respondent must also detail any customer specific forums and knowledge base options.

g. Proof of Concept

- i. Please describe your process for a proof of concept (POC). Proposers must detail their planned approach or a Gantt chart, recommended timeline (less than 1 year), and resources required for the POC.

h. Service Level Agreements (SLAs)

- i. Submit proposed service level agreements in Exhibit A.

i. Integrations

- i. Submit responses to the integration questions located in Exhibit A.

j. Transition In/Out Plan

- i. 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:
 1. No later than 30 calendar days from date of Contract award, contractor must finalize the details of the proposed Transition-In/Out Plan and submit it to the University Project Director for review and approval.
 2. The Transition-In/Out Plan must, at a minimum, include:
 - a. 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;
 - b. Assumptions and dependencies associated with the Transition-In/Out; and
 - c. Estimated timelines and milestones for specific tasks throughout the Transition- In/Out Period.
 - d. 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.
- ii. During execution of the approved Transition-In/Out Plan, the Transition-In/Out Team (composed of University staff, contractor, 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.
- iii. The Transition-In/Out Plan submitted by the contractor 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.
- iv. During a transition-in/out period, contractor will be required to work cooperatively and expeditiously to transfer the existing responsibilities to the University or another service provider.

k. Value Added Services

- i. Provide responses to any value added services as requested in Exhibit A.

B. Respondent Questionnaire (Exhibit A)

See Exhibit A and provide responses directly in Excel sheet. Tabs 1 –5 relate to item A – Requirements and Qualifications above and additional questions related to the technical functionalities of the proposed solution. Tab 6 relates to Section VII – Proposer Qualifications.

C. Use Case Scenarios

Please review each Attachment or Appendix related to the following use case scenarios below. Each use case reflects existing ASU integrations or APIs. Please respond to each use case with as much detail as possible including how each case would be implemented using your product. The goal is to indicate to ASU what is or is not possible with your product.

- a. Use Case 1 – Simple User API Development**
- b. Use Case 2 – Batch Hire Integration from PeopleSoft to Workday Financials**
 - i. Hire Appendices
 - 1. Appendix A
 - 2. Appendix B
 - 3. Appendix C
 - 4. Appendix D
 - 5. Appendix E
- c. Use Case 3 – Form Post to SFDC and SFMC Journey**
- d. Use Case 4 – Financial Data Model Transformation**

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.

Please submit your responses to each of these items directly in the Exhibit A – Respondent Questionnaire Excel sheet under Tab 6.

1. The proposer shall present evidence that the firm or its officers have been engaged for at least the past three (3) years in providing services as listed in this Request for Proposal.
2. The proposer must provide a minimum of two (2) references, 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. The proposer must provide details if their firm, or any member of their firm, has been declared in default, suspended, terminated or removed from a contract or job related to the services their firm provides in the regular course of business within the last five (5) years. If so, please explain how it was handled.
4. What are three key differentiators that separate your product from the competition in the connectivity platform space?
5. Provide an example of a recent innovative solution you have provided to one of your customer.
6. The proposer must provide primary and secondary contacts for this RFP. Please include each contact's name, title, email address, and phone number.
7. 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

8. The proposer must provide demonstrated experience in implementing large, scalable technology solutions at large institutions, similar to size and scope of ASU. Higher education experience is preferred similar to the size and scope of ASU.

9. 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 installation timeline and proposed project milestones and matches as close as possible to all components outlined within Section V Specifications/Scope of Work. The Gantt chart must estimate a project kickoff from (date) to (date) for full implementation.
10. 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.
11. 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.
12. The proposer must provide a white paper that describes specifications of their system/software, security measure, and other technical information that informs concisely about the complexity of their product.
13. 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:

- Response Specifications/Scope of Work (50%)
- Response Proposer Qualifications (25%)
- Response Pricing Schedule (20%)
- Sustainability Efforts – Section VI 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 in Exhibit B – Pricing Schedule and answer the Cost Questions within the document.

The Proposer should include in their pricing response costs associated with growing the platform in size. For purposes of the response, the vendor can assume 10% year over year growth needs for five years and should detail what, if any, costs will need to be outlaid to achieve this type of platform growth.

The Proposer should also be sure that both enterprise costs are included as well as any potential fees associated with a proof of concept.

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
4. Section V – Specifications/Scope of Work, Respondent Questionnaire (Exhibit A), and Use Case Scenarios
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 9, item 9.

SECTION XI – PROPOSER INQUIRY FORM

Pre-Proposal Questions, General Clarifications, etc. – **Email to allyson.taylor@asu.edu**

PROJECT NAME: _____

PROPOSAL NUMBER: _____

INQUIRY DEADLINE: 3:00 P.M., MST, November 15th, 2019

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.

• General Aggregate	\$5,000,000
• Products – Completed Operations Aggregate	\$1,000,000
• Personal and Advertising Injury	\$1,000,000
• Contractual Liability	\$1,000,000
• Fire Legal Liability (only if Agreement is for leasing space)	\$ 50,000
• 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 \$10,000,000
- Annual Aggregate \$10,000,000

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:

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

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

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

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	<p>Sensitive data will be traveling across one or more external connections outside of the ASU data Center without any protection.</p>
<input type="checkbox"/>	High	<p>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.</p>
<input type="checkbox"/>	High	<p>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.</p>
<input type="checkbox"/>	Addressed	<p>All sensitive data is encrypted as it travels over each network connection.</p>
<input type="checkbox"/>	Addressed	<p>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.)</p>
<input type="checkbox"/>	Addressed	<p>This project has no sensitive data.</p>
<input type="checkbox"/>	Addressed	<p>This question is not applicable for this project because all of the following are true:</p>

	<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.
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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	<p>This question is not applicable for this project because all of the following are true:</p> <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)

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.
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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.)

Additional information (optional)

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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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
<input type="checkbox"/>	Response to the Specifications/Scope of Work (Section V) – Exhibit A – Respondent Questionnaire and Use Case Scenarios
<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 9, item 9.

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 302001 (PDF Document)
<input type="checkbox"/>	All RFP Addenda (PDF Document)

Company Name	Point of Contact Name	Title

Date	Email Address	Phone #