



South Texas Academy of Medical Academy
South Texas Business, Education & Technology Academy
South Texas High School for Health Professions
South Texas Preparatory Academy
The Science Academy of South Texas

100 Med High Dr. Mercedes, TX 78570
Phone: (956) 565-2454 – (956) 565-4639

Dear Prospective Vendors:

Sealed proposals will be received by the South Texas Independent School District for:

ITEM: PROPOSAL FOR THIRD PARTY ADMINISTRATOR SERVICES, TPA 403(b) AND ROTH 403(b) PLANS

BID NUMBER: RFP 14-047

EFFECTIVE DATES: 2014-2015 SCHOOL YEAR

Sealed bids will be received no later than **2:00 PM, Monday, November 10, 2014.** Bids must be plainly marked on the outside of envelope **SEALED PROPOSAL: Proposal for Third Party Administrator Services (TPA) 403(b) and Roth 403(b) Plans.** Business Office, STISD, 100 Med High Drive, Mercedes, Texas, 78570 or delivered to the STISD Business Office, at the same address. **Bids must be made on the enclosed bid document. Faxed bids will not be accepted.**

Only bids received by the date and time specified will be considered. Bidders are invited to be present at the opening of the bids at the above address, on the above date and time. Proposals will be opened but not read publicly.

The STISD reserves the right to accept or reject any or all bids, to award contracts for individual items as they may appear advantageous to the District, and waive any or all formalities.

All contracts will be made through STISD Purchase Orders.

Proposals received without proper signature will not be accepted.

Your proposal will be appreciated.

Sincerely,

Marla Knaub,
Assistant Superintendent for Finance

TABLE OF CONTENTS

TABLE OF CONTENTS.....	2
ACKNOWLEDGEMENT OF RECEIPT	3
IMPLEMENTATION SCHEDULE	4
SCOPE OF SERVICE.....	5
SPECIFIC REQUIREMENTS	7
CHECKLIST OF 403(b) PLAN FEATURES	8
PLAN ADMINISTRATION, EDUCATION AND CUSTOMER SERVICE	8
ELIGIBILITY, BILLING, PAYMENT AND RECONCILIATION.....	9
PLAN PERFORMANCE, MONITORING AND RENEWAL	9
INFORMATION REQUESTED	9
EVALUATION FACTORS	10
REFERENCES	11
CURRENT CLIENT REFERENCE	11
FORMER CLIENT REFERENCES	12
AGENT / BROKER/ TPA REQUIREMENTS.....	13
GENERAL QUESTIONNAIRE	13
ORGANIZATION AND HISTORY	14
COMMUNICATION AND EDUCATION	14
IMPLEMENTATION.....	15
FEES AND EXPENSES.....	15
REPORTING	15
PRICES AND FEES.....	15
EXECUTION OF OFFER.....	16
FELONY CONVICTION NOTICE FORM.....	17
W-9	18
SUSPENSION OR DEBARMENT CERTIFICATE	21
NEWSPAPER AD	22

ACKNOWLEDGEMENT OF RECEIPT

**THIS FORM MUST BE COMPLETED AND FAXED
UPON RECEIVING THE REQUEST FOR PROPOSAL
ACKNOWLEDGEMENT OF RECEIPT**

Please fill in the requested information below as acknowledgement that you have received the Request for Proposal noted above. If your firm is interested in participating, it is highly recommended that this sheet be completed and returned or e-mailed to:

**Rene.layton@stisd.net
SOUTH TEXAS ISD
BUSINESS DEPARTMENT
100 MED HIGH DRIVE, MERCEDES, TX 78570
Phone (956) 565-2454, Fax (956) 565-4639**

By doing this, we will be able to provide notification of any addenda to the RFP.

Name of Firm: _____

Address: _____

City/State/Zip: _____

Phone: _____ Fax: _____

E-Mail _____

Name: (Print): _____

Title: _____

Signature: _____ Date: _____

_____ Yes, our company does have an interest in responding.

_____ No, our company does not have an interest in responding.

IMPLEMENTATION SCHEDULE

Third Party Administrator Services (TPA) 403(b) and Roth 403(b) Plans

<u>Activity</u>	<u>Dates</u>
Advertise proposals	October 29 and November 5, 2014
Distribute RFP's to firms	October 29, 2014
Issuance of addenda	To be determined
Receive/open proposals	November 10, 2014
Analyze proposals	November 10, 2014
Recommendation to Board of Trustees	November 18, 2014

SCOPE OF SERVICE

1. The successful proposer will be responsible for administering the 403(b), and Roth 403(b) programs. The Administrator must be an unbiased firm that is not involved in the sale of mutual funds, insurance-style annuity wraps or life insurance products. The Administrator must have no revenue sharing agreements or arrangements of any kind whatsoever with South Texas ISD vendors participating in 403(b) and Roth 403(b) programs. The Administrator must be able to consolidate information from all vendors in order to ensure contribution and reporting compliance.
2. This proposal addresses the 403(b) and Roth 403(b) Administrative Services only.
3. The current arrangement is for a two year contract after that:
 - 1) The contract will renew on an annual basis. Changes to the contract or termination must be in writing with 90 days advance notice prior to contract termination date by either party.
4. South Texas ISD will review all proposals and recommend the most advantageous plan meeting the specific criteria detailed herein. South Texas ISD's goal is to award the contract for the Administrative Services with an effective date of January 1, 2015. All pricing must be firm with no additional information required. South Texas ISD reserves the sole discretion to cancel this proposal, to reject any or all proposals or any part thereof received prior to contract award, or to waive any formalities
5. The South Texas ISD 403(b) and Roth 403(b) programs are required to comply, with state and federal regulations. The District is seeking to contract with a Third Party Administrator (TPA) for 403(b) and Roth 403(b) programs plan administrative services. The Third Party Administrator selected will provide comprehensive recordkeeping services to the district which will include the development of a 403(b) and Roth 403(b) written plan, screen product providers to comply with Texas laws on 403(b) and Roth 403(b), evaluate all provider contract information sharing agreements for compliance with 403(b) and Roth 403(b) rules, and perform all of the services necessary to maintain a tax compliant plan under IRS Code for 403(b) and Roth 403(b).
6. Successful proposer shall provide at least the following services:

Section 403 (b)

- Assist in the development of a program which will best serve the employee's needs.
- Disburse contributions to the various carriers and vendors monthly.
- Act as a liaison between the vendors/carriers and South Texas ISD administration.
- Communicate tax deferred annuity plans to employees on a generic basis at least once a year, on a voluntary basis.
- Administer the existing tax deferred annuity plans currently on payroll, as well as new products.
- Coordinate the tax deferred annuity plans with existing plans, such as Section 125.
- Provide necessary standard forms for enrollment to writing representatives.
- Instruct staff/personnel on administrative responsibilities.

Section 403 (b) Continues

- Assure compliance with 403(b) and Roth 403(b) governmental rules and regulations and TRS Certification rules.
 - Reporting - provide detailed consolidated quarterly reports on all contributions.
 - Prepare 403(b) Written Plan Document.
 - Keep Written Plan in compliance with all IRS guidelines.
 - Prepare and Distribute Information Sharing Agreements/Preferred Provider Agreements.
 - Assist Employer in complying with Universal Availability.
 - Monitor TRS certification of Preferred Providers and Products.
 - Act as South Texas ISD's liaison with Preferred Providers.
 - Act as South Texas ISD's liaison with IRS in the event of an audit.
 - Provide Representation in the event of an IRS audit.
 - Hold South Texas ISD Harmless.
 - Assume responsibility of approving/denying hardship withdrawals.
 - Notify Employer to cease employee contributions upon approval of hardship withdrawal.
 - Notify Employer to stop all 403(b) contributions if employee defaults on a loan.
 - Guarantee a two-business day turnaround of funds and data.
 - Plus any other services required to service the Plan.
7. The successful proposer must also provide a web-based platform that will allow the employees to access plan information. The successful proposer must provide a method to retain the TRS Disclosure form. This platform must provide periodic reports (at least quarterly), to the District's Employee Benefits Manager.
8. South Texas ISD reserves the right to revise and amend the specifications prior to the date set for the opening. Respondents are requested to clarify any ambiguity, conflict, discrepancy, omission or other error(s) in the RFP in writing and request modification or clarification desired. Revisions or amendments, if any, will be made by issuing an addendum. Every effort will be made to send addenda issued to the parties who have completed and sent back to South Texas ISD the Acknowledgement Receipt form.
9. **All questions must be received in writing by Marla Knaub. Via e-mail: marla.knaub@stisd.net or via fax (956-565-4639), no later than noon (Thursday, November 6, 2014). No addenda will be issued later than Thursday, November 6, 2014,** except an addendum withdrawing the proposal or postponing the opening of the proposal. It is the responsibility of each Proposer, prior to submitting the proposal, to contact the Purchasing Department to determine if addenda were issued and, if so, to obtain such addenda for attachment to the Proposal.

SPECIFIC REQUIREMENTS

If a bidder/company cannot meet any of the following qualifications, such exceptions must be notated on the bidder's cover letter.

1. Proposers must comply with the following requirements.
 - a) All proposals shall include certificates of coverage for fiduciary liability, errors and omissions and fidelity bond including carriers, policy numbers, expiration dates and limits. A certificate of insurance or a copy of the insurance policy will be furnished to South Texas ISD within ten (10) days after award of proposal. South Texas ISD will receive ten (10) days prior written notice before any change or cancellation of any policy. South Texas ISD must be named as additional insured on all policies. A minimum of \$1,000,000 per line of coverage is required. Proof of the coverages will be required.
 - b) All respondents must be licensed as a Third Party Administrator in the State of Texas.
2. South Texas ISD is interested in contracting with a full service 403(b) Third Party Administrator. The TPA selected will assist the district by providing a 403(b) written defined contribution plan, perform administrative services to meet the terms and conditions of the plan, screen grandfathered contracts and screen the TRS Certified List to determine which of these contracts have the administrative capability to meet the terms and conditions of South Texas ISD's 403(b) and Roth 403(b) written plan. Additional required services; provide for a common remitter; provide an on line platform for the district to monitor plan activity and transactions; keep the district informed on changes in IRS rules.
3. The Administrator must be an unbiased firm that is not involved in the sale of mutual funds, insurance-style annuity wraps or life insurance products. The Administrator must be able to aggregate information from all contract providers in order to ensure the following:
 - Contribution Compliance
 - IRC section 402(g) elective deferral limit.
 - Catch-up contribution limits under IRC sections.
 - IRC section 415(c) annual contribution limit.
 - IRC section 401(a) (17) annual compensation limit
4. Plan Compliance (including, but not limited to), Distribution Compliance, Loan Compliance and Hardship Withdrawals Compliance.

CHECKLIST OF 403(b) PLAN FEATURES

1. Eligibility for salary reduction contributions. Includes all common law employees except student workers and employees that work less than 1,000 hours per year.
2. Eligibility for Roth 403(b) contributions.
3. Eligibility for employer contributions.
4. Normal contribution limits. Includes the required contribution limits.
5. Higher catch-up contribution limits for aged 50+.
6. Roth 403(b) contributions (after-tax employee contributions).
7. Timing of deferral elections. Permits deferral elections and investment changes.
8. Investment and vendor options. Authorized vendors must be identified in the plan document; multiple vendors permitted.
9. Distributions from the plan. Authorizes distributions upon death, disability, separation from service, age 59½, and financial hardship. Requires distributions upon the latter of age 70½ or termination of employment.
10. Loans. Permits loans.
11. Exchanges. Permits exchanges between vendors authorized under the plan and any other vendor that will sign an information sharing agreement with the employer.
12. Rollovers into a 403(b) plan.
13. Rollovers from the 403(b) plan.

PLAN ADMINISTRATION, EDUCATION AND CUSTOMER SERVICE

1. The Administrator must provide a single point-of-contact account manager. This person shall be available through a toll-free telephone number and a direct telephone number. Properly staffed and supervised customer/member service representatives must be available via a toll-free number. This number should be available with a live voice providing customer service in English and Spanish from 8:00 a.m. to 6:00 p.m. C.S.T.
2. All outsourced services impacting South Texas ISD participants must be disclosed within your RFP General Questionnaire-Organization and History response. South Texas ISD expects the outsourcing services to remain the proposing Administrator's responsibility. Administrator is responsible for assuming any outsourced vendor's fees.
3. The Administrator awarded the contract must develop, print and mail to the employee's home addresses summary plan descriptions, enrollment materials, investment education and retirement planning communication materials at implementation, to all new employees, and annually at open enrollment.

ELIGIBILITY, BILLING, PAYMENT AND RECONCILIATION

1. The selected Administrator must process and administer all new and existing payroll deductions with insurance companies and brokers for payroll deducted financial and insurance products under Section 403(b) and Roth 403(b).
2. The selected Administrator shall monitor each participant's related payroll reduction request to ensure compliance with TRS rules for 403(b) and Roth 403(b) Certified Companies and to ensure annual IRS contribution limits are not exceeded. Any discrepancies must be resolved by the Administrator with the employee before submitting the monthly consolidated monthly billing.
3. The selected Administrator shall provide a consolidated monthly billing, including plan recaps which allow the South Texas ISD payroll department to submit one check to the Administrator for all 403(b) and Roth 403(b) employee contribution collections. The selected Administrator shall disburse appropriate amounts to individual Administrators via electronic funds transfer within two working days after receipt of funds from South Texas ISD.

PLAN PERFORMANCE, MONITORING AND RENEWAL

1. The Administrator must assure continuing compliance with Internal Revenue Code and Department of Labor regulations and rules of the employer; including but not limited to, reviewing Salary Reduction Agreements, Benefit Election Forms for annuity products, Plan Documents, Summary Plan Descriptions, Plan changes and amendments and other Internal Revenue Service filings. Additionally, the Administrator must maintain all plan records in a fashion conducive to providing verification of plan compliance.
2. The Administrator that is awarded a contract providing an insured coverage must provide South Texas ISD with specific comprehensive participation reports quarterly and annually.
3. The Administrator must perform discrimination testing and provide appropriate reports of results to South Texas ISD at least annually.

INFORMATION REQUESTED

1. Financial
 - a. Copy of your most recent audited annual financial statements and the annual reports of your parent company.
 - b. Most recent A.M. Best, Standard & Poor's, Weiss, and Moody's rating (If applicable). If no rating is available, please explain why.
2. Contracts
 - a. Administrators should list specific services included in the pricing.
 - b. A copy of your general agreement contract.
3. Please provide a copy of your Third Party Administrator license.

4. Implementation Timetable and Materials

a. Detailed implementation timetable, including an outline of the activities you expect to be performed prior to the stated effective date, completion dates, and the individuals or groups who will have major responsibility for each activity, including:

- Contracts completed
- Customer service toll-free phone line operational
- Electronic access established with South Texas ISD
- Summary Plan Documents
- Welcome packets including financial planning education

EVALUATION FACTORS

The District will award purchase orders and contracts to the offeror who submits the best value Proposal to the District. In determining to whom to award the contract, the District will consider the following criteria with the relative weighted value listed in parenthesis:

1. Experience and expertise in 403 (b) Plan and Roth 403(b) plan administration (20 Points)
2. Customer service capabilities (15 Points)
3. Investment options (20 Points)
4. Price/fees (25 Points)
5. Companies providing investment products/services (5 Points)
6. Liability protection (5 Points)
7. Enrollment assistance/ongoing connection to plan (5 Points)
8. Computer support/interface (5 Points)

REFERENCES

Using the format outlined on the following two pages, please provide three current client references and three former client references for which you provided the same services. References should be based on the office that will be providing services to South Texas ISD. Please include at least one school district in current and former client references (if possible).

CURRENT CLIENT REFERENCE

Current Client Reference 1

Organization name:	Contact and title:
Address:	Phone number:
Effective date of contract:	Number of enrolled employees:
Description of services provided:	

Current Client Reference 2

Organization name:	Contact and title:
Address:	Phone number:
Effective date of contract:	Number of enrolled employees:
Description of services provided:	

Current Client Reference 3

Organization name:	Contact and title:
Address:	Phone number:
Effective date of contract:	Number of enrolled employees:
Description of services provided:	

FORMER CLIENT REFERENCES

Former Client Reference 1

Organization name:	Contact and title:
Address:	Phone number:
Effective date of contract:	Number of enrolled employees:
Number of enrolled employees at date of termination:	
Description of services provided:	Reason for termination

Former Client Reference 2

Organization name:	Contact and title:
Address:	Phone number:
Effective date of contract:	Number of enrolled employees:
Number of enrolled employees at date of termination:	
Description of services provided:	Reason for termination

Former Client Reference 3

Organization name:	Contact and title:
Address:	Phone number:
Effective date of contract:	Number of enrolled employees:
Number of enrolled employees at date of termination:	
Description of services provided:	Reason for termination

AGENT / BROKER/ TPA REQUIREMENTS

1. Company must be licensed in the state of Texas and maintain a good relationship with school districts in the state of Texas.
2. Company must be licensed as a third party administrator in the state of Texas and maintain a good working relationship with school districts in the state of Texas.
3. Company must provide all administrative services including, but not limited to 403(b) and Roth 403(b) and consolidated billing services.
4. The effective date of the new contract(s) will be January 1, 2015.
5. The selected company or companies will be responsible for providing all enrollment materials.
6. Company must provide customer service representatives that are easily accessible.
7. Company will provide a toll-free telephone line and internet access for customer service.
8. Bilingual representatives will be available during enrollment periods and during normal working hours.
9. Company will report any recommendations concerning possible improvements or changes in approved products to administrators and staff.
10. Company will process and deliver all new and existing payroll deductions with the insurance companies for payroll deducted insurance products.
11. Company will provide South Texas ISD with a spreadsheet of deductions in a format that is compatible with the payroll software.
12. Company will act as a liaison for plan operations to assist with the resolution of employee and administrative problems as they arise.
13. Company will provide an online enrollment system that is capable of transferring enrollment data to selected carriers and payroll systems.
14. Company will provide the South Texas ISD with all needed forms to facilitate plan operations and compliance.
15. Company will provide up to date information and ongoing education to South Texas ISD on the insurance products and how best to use the selected products. The company will make it a goal for every employee to understand and know how to utilize benefits.

GENERAL QUESTIONNAIRE

SPECIAL NOTE: All responses to questions herein must be answered in accordance with providing services for each type of plan proposed or administered.

All bidding companies must complete this questionnaire. Please re-type each question with your corresponding answer.

ORGANIZATION AND HISTORY

1. Where is your organization headquartered? Where is the management office located? State the location where administrative services will be provided for South Texas ISD (customer service, claims processing, etc.).
2. Have any lawsuits been filed against your organization or principal employees dealing with the management of a Section 403(b) and Roth 403(b) plan? If so, please provide details.
3. Are the company and all employees bonded? If so, please provide details.
4. Describe any state, federal or statutory reserve, filing or reporting requirements to which the plan adheres. Is the plan in compliance with these requirements? Please describe any noncompliance issues.
5. Do you have any insurance companies with whom you must do business?
6. Do you require vendors to execute agreements which hold you and the school system harmless from any problems resulting from the vendor's participation in the plan?
7. What services that are proposed in this proposal do you plan to subcontract with outside vendors? South Texas ISD expects the Administrator to be responsible for any outsourced vendor's fees.
 - Electronic Fund Transfer
 - Website
 - Other (please specify)

COMMUNICATION AND EDUCATION

1. Do you provide sample Plan Documents and other legal forms? If yes, please list all costs.
2. Do you provide personnel resources as part of both the initial and on-going communication and education program?
3. Do you provide communication and education material in a foreign language? If so, what language(s) and what material?
4. Does your organization provide any services (i.e., personal questionnaires, software) that would help individual participants with financial planning? Describe any electronic education tools you provide, both software-based and web-based.
5. Describe your position on providing investment advice to participants. What fiduciary responsibility do you assume if advice is provided?
6. If advice is offered, is it in-house or via a third party? Describe your process, mode and scope of advice.
7. Describe education tools or programs designed to support IRA rollovers and/or retirement distributions.

IMPLEMENTATION

1. Will an implementation manager and support team be assigned to lead and coordinate the implementation activities with South Texas ISD?
2. What minimum amount of notice would you require to be able to implement administration by January 1, 2015?

FEES AND EXPENSES

1. How are your fees established?
2. Are fees due and payable on the first of the month, quarterly, annually or a combination of these?
3. Is a fee structure available that incorporates various levels of participation?
4. Are you paid any commissions from the vendors?
5. Are you currently participating in any alliances or joint marketing efforts? If so, please describe in detail.
6. Are there any additional charges to South Texas ISD as a result of administrative changes that may be necessary in response to legislative or regulatory changes? Please explain any costs.

REPORTING

1. Please provide a copy of the standard reporting package for proposed plan types and list the frequency in which reports are generated and distributed.
 - a) Is a specified minimum enrollment required to obtain/receive any standard South Texas ISD-specific reports requested? If yes, please give the required enrollment numbers.
 - b) What is the policy for handling an employer's request for additional ad hoc reports? What is the charge per report? How long does it take to receive a special report?
 - c) Please identify any reports that cannot be provided as requested in the Plan Performance, Monitoring and Renewal section.

PRICES AND FEES

1. How are your fees established?
2. Are you paid any commissions or fees from the vendors? If so, how are vendor fee agreements handled?
3. South Texas ISD has:
 1. 516 Employees
 2. 153 Employees participate in 403(b) contracts
 3. 2 Employees participate in Roth 403(b)
 4. Deals with 51 - 403(b) companies. Based on your pricing structure what would be the first year cost and cost of subsequent years assuming no changes.

EXECUTION OF OFFER

In compliance with this RFP, and subject to all the conditions herein, the undersigned offers and agrees to furnish any or all commodities or services at the prices quoted.

By signature hereon, the Respondent hereby certifies that he/she is not currently delinquent in the payment of any franchise taxes owed the State of Texas under Chapter 171, Tax Code.

By executing this offer, Respondent affirms that he/she has not given, offered to give, nor intends to give at anytime hereafter, any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or service to a public servant in connection with the submitted offer. Failure to sign the offer, or signing it with a false statement, shall void the submitted offer or any resulting contracts, and the Respondent may be removed from all vendor lists.

By the signature hereon affixed, the Respondent hereby certifies that neither the Respondent nor the firm, corporation, partnership, or institution represented by the Respondent or anyone acting for such firm, corporation, or institution has violated the antitrust laws of this State, codified in Section 15.01, et seq., Texas Business and Commerce Code, or the Federal antitrust laws, nor communicated directly or indirectly the offer made to any competitor or any other person engaged in such line of business. By signing this offer, Respondent certifies that if a Texas address is shown as the address of the Respondent, Respondent qualifies as a Texas Resident Bidder as defined in Rule 1 TAC 113.8.

Proposal should give Payee Identification Number (PIN) (Formerly Vendor ID), full firm name and address of Respondent. Failure to manually sign proposal will disqualify it. The person signing the proposal should show title or authority to bind his/her firm in contract. The Payee Identification Number is the taxpayer number assigned and used by the Comptroller of Public Accounts of Texas. Enter this number in the spaces provided on the Execution of Offer. If this number is not known, complete the following:

Payee Identification Number (PIN): _____

Sole Owner should also enter social security No.: _____

Respondent/Company: _____

Signature: _____

Name (Typed/Printed): _____

Title: _____

Street: _____

City/State/Zip: _____

Telephone No.: _____

Fax No.: _____

THIS SHEET MUST BE COMPLETED, SIGNED, AND RETURNED WITH RESPONDENT'S PROPOSAL. FAILURE TO SIGN AND RETURN THIS SHEET MAY RESULT IN THE REJECTION OF YOUR PROPOSAL.

FELONY CONVICTION NOTICE FORM

THIS FORM MUST BE COMPLETED, SIGNED, AND RETURNED WITH BID

State of Texas legislative Bill No. 1 Section 4.034, Notification of Criminal History, Subsection (a) states "a person or business entity that enters into a contract with a school district must give advance notice to the district if the person or an owner or operator of the business entity has been convicted of a felony. The notice must include a general description of the conduct resulting in the conviction of a felony."

Subsection (b) states "a school district may terminate a contract with a person or business entity if the district determines that the person or business entity failed to give notice as required by Subsection (a) or misrepresented the conduct resulting in the conviction. The district must compensate the person or business entity for services performed before the termination of the contract."

THIS NOTICE IS NOT REQUIRED OF A PUBLICLY-HELD CORPORATION

Please check off one box and sign the form in the appropriate space

I, the undersigned agent for the firm named below, certify; that the information concerning notification of felony convictions has been reviewed by me and the information furnished is true to the best of my knowledge.

VENDOR'S NAME: _____

AUTHORIZED COMPANY OFFICIAL'S NAME (PRINTED): _____

A. My firm is a publicly held corporation; therefore, this reporting requirement is not applicable.

SIGNATURE OF COMPANY OFFICIAL _____

B. My firm is not owned nor operated by anyone who has been convicted of a felony.

SIGNATURE OF COMPANY OFFICIAL _____

C. My firm is owned and/or operated by the following individual(s) who has/have been convicted of a felony:

Name of Felon(s) _____

Details of Conviction(s) _____

SIGNATURE OF COMPANY OFFICIAL _____

Request for Taxpayer Identification Number and Certification

Give form to the
requester. Do not
send to the IRS.

Print or type
See Specific Instructions on page 2.

Name (as shown on your income tax return)	
Business name, if different from above	
Check appropriate box: <input type="checkbox"/> Individual/ Sole proprietor <input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Other ▶	
<input type="checkbox"/> Exempt from backup withholding	
Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
City, state, and ZIP code	
List account number(s) here (optional)	

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on Line 1 to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Social security number								
			+			+		
or								
Employer identification number								
			+					

Note. If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Part II Certification

Under penalties of perjury, I certify that:

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

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN. (See the instructions on page 4.)

Sign Here	Signature of U.S. person ▶	Date ▶

CONFLICT OF INTEREST QUESTIONNAIRE

Form CIQ

For vendor or other person doing business with local governmental entity

This questionnaire is being filed in accordance with chapter 176 of the Local Government Code by a person doing business with the governmental entity.

By law this questionnaire must be filed with the records administrator of the local government not later than the 7th business day after the date the person becomes aware of facts that require the statement to be filed. See Section 176.006, Local Government Code.

A person commits an offense if the person violates Section 176.006, Local Government Code. An offense under this section is a Class C misdemeanor.

OFFICE USE ONLY
Date Received

1 Name of person doing business with local governmental entity.

2 Check this box if you are filing an update to a previously filed questionnaire.

(The law requires that you file an updated completed questionnaire with the appropriate filing authority not later than September 1 of the year for which an activity described in Section 176.006(a), Local Government Code, is pending and not later than the 7th business day after the date the originally filed questionnaire becomes incomplete or inaccurate.)

3 Describe each affiliation or business relationship with an employee or contractor of the local governmental entity who makes recommendations to a local government officer of the local governmental entity with respect to expenditure of money.

4 Describe each affiliation or business relationship with a person who is a local government officer and who appoints or employs a local government officer of the local governmental entity that is the subject of this questionnaire.

Amended 01/13/2006

CONFLICT OF INTEREST QUESTIONNAIRE

For vendor or other person doing business with local governmental entity

Form CIQ

Page 2

**5 Name of local government officer with whom filer has affiliation or business relationship.
(Complete this section only if the answer to A, B, or C is YES.)**

This section, item 5 including subparts A, B, C & D, must be completed for each officer with whom the filer has affiliation or other relationship. Attach additional pages to this Form CIQ as necessary.

A. Is the local government officer named in this section receiving or likely to receive taxable income from the filer of the questionnaire?

Yes No

B. Is the filer of the questionnaire receiving or likely to receive taxable income from or at the direction of the local government officer named in this section AND the taxable income is not from the local governmental entity?

Yes No

C. Is the filer of this questionnaire affiliated with a corporation or other business entity that the local government officer serves as an officer or director, or holds an ownership of 10 percent or more?

Yes No

D. Describe each affiliation or business relationship.

6 Describe any other affiliation or business relationship that might cause a conflict of interest.

7

Signature of person doing business with the governmental entity

Date

SUSPENSION OR DEBARMENT CERTIFICATE

Non-Federal entities are prohibited from contracting with or making sub-awards under covered transaction to parties that are suspended or debarred or whose principals are suspended or debarred. Covered transactions include procurement for goods or services equal to or in excess of \$100,000.

Contractors receiving individual awards for \$100,000 or more and all sub-recipients must certify that the organization and its principals are not suspended or debarred.

By submitting this offer and signing this certificate, this offeror:

- Certifies that no suspension or debarment is in place, which would preclude receiving a federally funded contract under the Federal OMB, A-102, Common Rule (§_.36)

NEWSPAPER AD

**REQUEST FOR PROPOSALS
THIRD PARTY ADMINISTRATOR**

The South Texas Independent School District is soliciting proposals for Third Party Administrator (TPA) Services for 403(b) and Roth 403(b) Plans. Sealed Proposals should be submitted to Ms. Marla Knaub, Asst. Supt. for Finance, 100 Med High Drive, Mercedes, TX 78570. Please mark your envelope plainly:

**“Proposal for Third Party Administrator Services
(TPA) 403(b) and Roth 403(b) Plans.
Due date: Monday, November 10, 2014 at 2:00 p.m.”**

Interested vendors may obtain specifications and information from the Administration Office, 100 Med High Drive, Mercedes, Texas 78570 or by calling 956-565-2454.

Only sealed proposals will be considered and are due by 2:00 p.m., Monday, November 10, 2014 at 2:00pm at the Administration Office, 100 Med High Drive, Mercedes, Texas 78570. Proposals will be opened but not read publicly. The District reserves the right to hold all bids for 90 days and may accept or reject any or all bids in the best interest of the District.

Marla Knaub
Assistant Superintendent for Finance