REQUEST FOR PROPOSAL

403(b) RETIREMENT PLAN INVESTMENT

CONSULTING AND ADVISORY SERVICES

DAWSON COUNTY SCHOOL SYSTEM

28 Main Street

Dawsonville, GA 30534

RFP Submittal Information

Proposals must be mailed or hand delivered. An electronic copy may also be submitted to the email provided. No faxed or late proposals will be accepted.

Location: Dawson County School System

28 Main Street

Dawsonville, GA 30534

Date: June 6, 2017

Time Deadline: 2:00 PM

An original and three (3) copies of the proposal must be submitted in a three (3) ring, loose leaf binder. The firm's name and proposer name and number shall be on the cover of the binder. Your submittal must include the following:

- All Mandatory Submittals (Section II of this document) on the forms provided. If additional space is required, please attach additional sheets/pages.

SECTION III
REQUEST FOR PROPOSAL SUBMISSION INSTRUCTIONS

- All proposals received will become a part of the official contract file and may be subject to disclosure. A complete signed proposal must include the documents listed below.

- Offerors are expected to examine the specifications and all instructions. Failure to do so will be at the Offeror's risk. Each Offeror shall furnish the information required by the solicitation. The proposal and price schedule must be signed by an employee of the company who is legally authorized to enter into a contractual relationship in the name of the Offeror.

MANDATORY DOCUMENTS CHECKLIST:

Offeror must complete, execute and include with the bid the following Mandatory documents:

☐ Cover Letter

Cover letter introducing the company and include the corporate name, address and telephone number of the corporate headquarters and local office.

☐ Submittal Form

State the full name and address of your organization and the branch office or other subordinate element that will perform the services described in this proposal.

☐ Reference Form

Indicates qualifications and experience

☐ Questionnaire Form

Questions must be completed and submitted as outlined

☐ Certificate of Insurance

☐ Copy of W-9 & Immigration and Security Form

PLEASE INDICATE BY CHECKING THE APPROPRIATE BOX THAT ITEM IS INCLUDED WITHIN THE BID DOCUMENT

An original and three (3) copies of the proposal must be submitted in a sealed envelope to the address below. The proposals shall include one with original signature. The sealed parcel shall further be identified with the name and address of the bidder and the designation "RFP, 403(b) RETIREMENT PLAN CONSULTING AND ADVISORY SERVICES".

- All pages are to be numbered.
- Information submitted should be arranged in the same order in which it is requested in.
- Each section must re-state each subheading or question, followed by your response.
- Responses must be concise and sufficient in detail to provide a thorough evaluation and assessment.
- Submittals are to be bound in a three ring loose leaf binder.

Submit to:

Dawson County School System

Finance Department

RFP, 403(b) RETIREMENT PLAN CONSULTING AND ADVISORY SERVICES

Attn: Mrs. Jamie Ulrich

28 Main Street

Dawsonville, GA 30534

Phone: 706-265-3246, Ext. 1006

Email: julrich@dawson.k12.ga.us

SECTION IV

SELECTION PROCESS

Responses to this request shall be evaluated by the Evaluation Committee members with the assistance of staff from Human Resources, Benefits, Finance Department, and Purchasing. This evaluation committee may make a recommendation to the Board for approval of the award.

Vendor proposals may be subjected to a two-stage evaluation and selection process. The first stage will begin with a review of the response to the proposal. A proposal must meet all minimum eligibility and other requirements as outlined to be considered.

Proposals not meeting minimum eligibility requirements or found to be incomplete may not be considered. Proposals not deemed within the competitive range may not be considered. The System may disqualify any vendor if it is deemed to be in the best interest of the System.

The System may choose to ask clarification questions in writing and include the additional information gathered in this process to all qualified respondents.

References of the top vendors will be checked to verify their selection.

Evaluation and rating of the responses shall be based on:

- Information provided by the vendor in their response
- Information provided by the vendor in response to System clarification questions
- Information from reference checks

The second stage, if required by the System, shall be a presentation and interview of finalists by the evaluation committee. Presentation/Interview, if applicable, shall be conducted at the School Systems' Administrative Office, 28 Main Street, Dawsonville, GA at a time and date to be determined. Project Manager for the proposing firm shall be required to attend along with other key staff that would be assigned to this project.

EVALUATION CRITERIA

The information listed below is in a random order. Proposals will be evaluated based on the following criteria:

- Relevant experience and qualifications of the firm and the individual consultants and subcontractors (if any) proposed for the System.
- Proposed work plan, soundness of approach and understanding of the needs of the System.
- Demonstrated ability to perform the services referred to in the RFP.
- References and recommendations of other clients.
- Fees
- Contract terms and conditions.
- Miscellaneous

    1. Any contract awarded will include the required provision of O.C.G.A. § 20-2-506. In addition, a termination for convenience provision will be included.
    2. The requirements of this RFP and proposals submitted in response, as agreed to by the DCSS, shall be incorporated into the contract for services.
    3. Respondents agree to waive any claims they have or may have against DCSS, its employees, agents, members, representatives and legal counsel, arising out of or in connection with the: (1) administration, evaluation, recommendation or selection of any proposal or qualifications; (2) waiver of any representations under the proposal or documents; (3) approval or rejection of any proposal or qualifications; and (4) award of a contract.

<u>SECTION V</u>

OVERVIEW OF THE DISTRICT

The Dawson County School System is a public school system in Georgia. The Dawson County Board of Education acts on behalf of the Dawson County School System (hereinafter, "DCSS"). DCSS has a student population of over 3,400.

Based on 2016 data, the County School System employs approximately 550 full and part time employees. Employees include teachers, bus drivers, food service workers, custodians, support staff, office personnel, substitute teachers and administrators.

Dawson County School System consists of four (4) elementary schools, one (1) middle school, one (1) junior high school, one (1) high school and one (1) alternative school.

The following chart illustrates the current voluntary contributions and potential participation levels with the System.

CURRENT RETIREMENT PLAN CONTRIBUTIONS		
Dawson County School System		
Report as of December 31, 2016		
DEDUCTIONS	TOTAL Number of Employees Participating	TOTAL Contributions – FY16 "Includes 4-Quarters"
Vanguard 403b	566	$2,122,812
Other Vendors	1	$1,800
TOTAL	566	$2,124,612
TOTAL ASSETS		$34,097,792

SECTION VI

SCOPE OF WORK

The Dawson County School System is seeking 403(b) qualified retirement plan advisors to perform the full range of services related to the design, implementation, administration, management, compliance, maintenance, communication and improvement of the DCSS plan. Qualified investment advisors include those who are registered with the Securities and Exchange Commission to provide such services and that meet the minimum requirements set forth in this document.

The successful Proposer may provide services and advice in two phases. In Phase I, which is to be completed as soon as practicable, and in no case outside of six (6) months, the Successful Proposer shall be asked to complete a best practices review of the Plan, with these issues as top priorities: (i) review of current Plan design and architecture (i.e., investment option line-up, including analysis of whether to retain the current fund-of-funds approach and whether to add managed accounts, target date funds, or similar "one stop" solutions, as well as financial planning services for participants); (ii) fee analysis; (iii) benchmark analysis; (iv) governance best practices (including, for example, review of System's administrative rules, System operations, System scheduling and agendas, etc.). As to each key review area in Phase I, the Successful Proposer shall be expected to inform the System as to current best-practices and industry trends as well as to recommend, where appropriate, specific changes or action steps.

In Phase II, the plan shall seek a contractor to provide more traditional ongoing advisory services to the System. This will include ongoing review, analysis and recommendations regarding: Plan design and architecture, Plan investment option returns, fund manager performance, macroeconomic trends, benchmark suitability, manager and fund fees, manage and create a successful Proposer RFPs, RFQs, and RFls, System operations, investment education programs, mid and long term strategic planning, and other advisory services as requested.

After the Successful Proposer completes Phase I, whether the Successful Proposer shall continue to be engaged for Phase II or whether a new RFP will be issued or another search completed for Phase II shall be at the System's option. Engagement for Phase I is no guarantee that a Successful Proposer shall be engaged for Phase II. If the System elects to issue an RFP for Phase II, the Successful Proposer shall have an opportunity to submit a proposal. If the Successful Proposer elects not to submit a proposal for Phase II, the System may request the Successful Proposer to lead and otherwise assist in the Phase II RFP or search process.

PHASE I

As soon as practicable after the consultancy contract is executed, but in no case any longer than six (6) months after the contract is executed, the Successful Proposer shall analyze and advise the System regarding each of the below, including where appropriate specific recommendations (the task list below is descriptive, and may be additionally specified or altered after the engagement commences).

1. Plan Design
    a. Should the Plan retain its current design? If not, what architecture/design is recommended?
    b. Review current (or any proposed) investment guidelines
    c. Review current contractual relationships with 403(b) vendors
    d. Review current investment line-up (if current plans retained) Additions? Deletions?
    e. Should the Plan revise its current model portfolios? Should the Plan look to include other "one stop" investment solutions for participants such as target date funds, risk targeted funds, managed accounts (either in the alternative or in addition to the model portfolios)? And if so, assistance with selection of that solution (such as, glide path selections, etc.).
    f. How can the Plan assist participants' integration of their pension benefits into their asset allocations in the Plan?
    g. Can and should the Plan consider allowing participants to access general financial planning services?
    h. How can the Plan best assist participants' long-term retirement income needs?
    i. Other Plan Investment option innovations/trends?
    j. Are the Plan investment options being properly understood and utilized by participants? Suggestions to improve this.

2. Fee analysis and (re) negotiation of fee structure for current and/or proposed funds and/or managers to include fees for 403(b) consultant/advisor.

3. Benchmark analysis and recommendations, including consideration of state-of-the art metrics, including, for example, "active share", section exposure, and tracking error (One concern is that with the fund-of-funds approach, so-called "actively" managed investment options may, in fact, resemble indices, but with higher fee loads.)

4. Governance

    a. If appropriate, develop and implement standardized reporting format for investment managers and other vendors to aid the System's review of manager and other performance.
    b. System administrative rules review
    c. System efficiency, effectiveness, and flexibility review. For example, what sort of regularized agenda cycle should be used, such that in any given period, key governance and architecture issues are addressed and considered, such that in any given period, such as fiduciary best practices, plan architecture, participant asset allocations, manager performance, etc. How can the System make its meeting more efficient?
    d. Transparency
    e. System's education of best-practices, potentially including development of such programs

5. 403(b) behavioral finance innovations (auto-enrollments, auto-increases, loan programs, analysis of participant communications including account statements, etc.)

6. Development of medium and long-term strategic goals and objectives. Operationalize review and implementation of those goals.

PHASE II

After Phase I is completed, the Successful Proposer shall then be engaged in services by the System at the System's sole discretion. The System may elect not to engage the Consultant for Phase II for any reason. The Phase II engagement shall resemble traditional advisory and investment consulting services, and shall require advice, analysis and specific recommendations where appropriate on the below topics. The Consultant's specific duties in Phase II may be significantly altered or additionally specified depending upon actions taken by the System during Phase I. The Successful Proposer would also be expected to assist with any necessary RFPs, RFQs, or RFls, as well as the duties outlined below.

1. Plan Design, Governance, Operations, and Administration
   a. Monitor, review, and advise regarding investment option line-up, keeping in mind the goal to provide a retirement investment program suitable to the long-term needs and risk tolerances of Plan participants.
   b. Monitor, review and advise on Best Practices to move from existing to new vendor i.e. Possible and necessary communication with "grandfather" vendor and future Third Party Administrator.
   c. Monitor, review and advise regarding how to best integrate employee pension benefits into participant asset allocations in the plan.
   d. Monitor, review and advise regarding investment guidelines for all investment options.
   e. Monitor, review and advise regarding industry and plan sponsor trends and innovations, including new investment products and behavioral finance developments.
   f. Monitor, review and advise regarding regulatory changes
   g. Monitor, review and advise regarding System operations.
   h. Assist with implementation of strategic plan and agenda-cycle management.
   i. Education programming for participants.
   j. Monitor, review and advise regarding best-practices.
   k. Monitor, review and advise regarding fiduciary obligations.
   l. Administer plan in compliance with all IRS rules and regulations.
   m. Determine eligibility for transfers to and from Plan System vendors.
   n. Determine eligibility and amount of hardship withdrawals.

2. Investment Manager Oversight and Performance Evaluation
   a. Provide on-going monitoring and oversight of investment managers to ensure compliance with laws and regulations, investment policies and guidelines and manager mandates.
   b. Advise on manager retention and termination.
   c. Assist with negotiating appropriate investment manager guidelines and fees.
   d. Conduct meetings with investment managers, including those not currently hired as part of general due diligence process.
   e. Monitor, review and advise regarding fees of funds and managers (particularly returns net of all fees and transparency issues). Monitor, review and advise regarding fee reporting to participants.
   f. Monitor, review and advise regarding performance benchmark selection
   g. Evaluate overall performance and compare the investment performance of the total fund, asset classes and investment managers to relevant benchmarks and peer groups.

h. Conduct performance attribution analysis for the total Fund and for each investment manager to isolate and measure the value added by investment policy, asset allocation and security selection.
i. Prepare and present a quarterly performance report analysis to the System.

3. Search, Review and Selection of Investment Managers or Other Consultants
   a. Provide investment manager/vendor/consultant search and selection services, including, but not limited to, identifying evaluation factors, screening prospective managers/vendors/consultants and making recommendations as necessary.
   b. Provide advice and recommendations on custodial arrangements.
   c. Assist with negotiating appropriate investment manager guidelines.
   d. Assist with negotiating appropriate investment manager/vendor/consultant fees.

4. General Communications and Service
   a. Attend all special meetings that may be necessary from time to time
   b. Present quarterly evaluations to the Executive Director of Finance on investment performance
   c. Present quarterly evaluations to the Executive Director of Finance on macroeconomic trends
   d. Upon the System's request, appear and present before any formal or informal group, committee or political body
   e. Coordinate effectively with the Plan staff and vendors
   f. Respond to inquiries between meetings in an appropriate and timely manner.
   g. Assist on special projects as needed
   h. Provide all other investment advisory-related services as requested.

PROPOSERS SHALL ANSWER ALL QUESTIONS INCLUDED IN THIS PROPOSAL PACKAGE.

MINIMUM ELIGIBILITY REQUIREMENTS

For a firm's response to be considered, the firm must meet the following minimum eligibility requirements:

1. The investment consulting firm must be registered investment advisor under the Investment Company Act of 1940
2. The investment consulting firm must demonstrate they understand the complexity and nuances of the K-12 industry incorporating knowledge of both multi-vendor and single vendor plans.
3. The investment consulting firm must demonstrate they have provided no less than three similar RFP and/or benchmarking services to K12 schools within the last 18 months.
4. The investment consulting firm must have provided investment consulting services to other public retirement systems or corporate pension plans which are approximately the size of the System's plan participants.
5. The individual(s) assigned to the System as lead consultant(s) must have a minimum of three (3) years professional experience in the investment consulting field.
6. The investment consulting firm must agree to be a fiduciary to the plan as that term is defined in (state law or policy).
7. The investment consulting firm must agree to disclose all conflicts of interest, all sources of revenue and all affiliations.
8. The investment consulting firm will comply with E-Verify and must submit affidavit with proposal.

SECTION VII

SCHEDULE OF EVENTS

The following is the schedule of events for the RFP submittal and selection process. The System reserves the right to change the schedule.

EVENT	DATE and TIME
Deadline for Questions and Answers	May 31, 2017 at 2:00 pm
Email Questions to: Mrs. Jamie Ulrich Dawson County Schools julrich@dawson.k12.ga.us	
Request for Proposals Due Date	June 6, 2017 at 2:00 pm
Evaluation/Presentation/Interviews	To Be Determined
Projected Contract Award	To Be Determined
Implementation	January 1, 2018

SECTION VIII

QUESTIONNAIRE FORMS

The written proposal must include the following information:

1. Relevant experience of the firm and the individual consultants proposed for the System

1.1. ***Firm's Background, Operational Procedures:***

1.1.1. Briefly describe your firm's background, history, and ownership structure, including any parent, affiliated or subsidiary company, and any business partners or joint ventures.

1.1.2. Provide a representative listing of current and past clients, including the size of the client fund, the type of fund (school system or local government), and the number of years the services were provided.

1.1.3. Provide an organization chart of your firm and describe the relationship between each component and your consulting group.

1.1.4. Within the past three years, have there been any significant developments in your organization such as changes in ownership, restructuring, or personnel re-organizations? Do you anticipate future significant changes in your organization?

1.1.5. List the address of your main corporate office and indicate which office(s) shall support the System.

1.1.6. Describe any services of your organization that may not be offered by other consultants or which distinguish you from your peers.

1.1.7. Describe the total staff of the firm and designate support staff, investment consultants, analysts and professionals.

a. Of those, number of employees who are Investment Advisory Representatives (IAR)? _____

b. Do you use sub-contractors? Yes____ No____
If Yes, who and for what services?

1.1.8. Discuss the ways you manage growth, including any limits to the client/consultant ratio.

1.1.9. What is the position of your firm in the retirement plans business?

a. Percentage of revenue is from retirement plan investment advisory services?
b. Plan assets under advisement
c. Total number of clients with investment plans under your advisement
d. Number of core client plans (with whom your firm have regular quarterly contact)
e. Number of client plans added over the past 24 months
f. Number of clients lost over the past 24 months
g. Publications your firm has created or contributed to
h. Recognition received from independent sources demonstrating expertise and credibility

1.1.10. Please list the types of services your firm offers for retirement plans.

1.1.11. Please describe your firm's experience helping clients through retirement plan vendor search/request for proposals.

1.1.12. How does your firm define and measure the success of retirement plan consulting relationships?

1.1.13. Please list the federal, state and other regulatory agencies with which your firm is licensed or registered, and the type of license held.

1.1.14. Please indicate which employees are not registered or licensed and why.

1.1.15 Have individuals from your firm ever been disciplined by any government regulator for unethical or improper conduct or been sued by a client who was not happy with the work performed by the firm?

1.2. ***Standards of Conduct and Conflict of Interest:***

1.2.1. Attach your firm's code of conduct policy. How is it monitored and enforced?

1.2.2. How are consultants' recommendations to clients reviewed and monitored by your organization? Does your firm adhere to a level of consistency in consultant recommendations?

1.2.3. Within the last five years, has your organization or an officer or principal been involved in actual or threatened litigation, administrative or regulatory or similar proceedings relating to your investment consulting assignments? If so, provide an explanation and indicate the current status or disposition. Under disposition, include any censures or reprimands received from regulatory bodies.

1.2.4. Please attach your conflict of interest policy. Are there any potential conflict of interest issues your firm would have in servicing the System? If so, describe them.

1.2.5. Are there any circumstances under which your firm, or any individual in your firm, receives compensation, finder's fees or any other benefit from investment managers, investment funds or third parties? If yes, describe in detail.

1.3. ***Consulting Team***

1.3.1. Provide contract information for each consultant that will be assigned to the System in a grid similar to this.

Name	Title	Business Role on this Contract	Work Location	Employee or Sub-contractor?

1.3.2. Describe your team's experience with similar work performed for other public retirement systems.

2. Proposed work plan, soundness of approach and understanding of the needs of the System; demonstrated ability to perform the services referred to in the RFP.

2.1. Asset Allocation:

2.1.1. Discuss the theory and methodology of the asset allocation models your firm employs. How do you develop asset class assumptions?

2.1.2. Explain your firm's position/approach on the use of active versus passive management in the major asset classes.

2.1.3. Describe your firm's methodology for identifying and evaluating new investment opportunities, including real estate, derivatives and alternative investment options. Describe the elements of a due diligence process for assessing the risk control and performance characteristics of such investments specific to the district's plan's.

2.1.4. Describe your capabilities in the development of risk/return characteristics of the asset mix as a whole and of each asset category and manager style.

2.2. ***Investment Policies:***

2.2.1. Describe your approach to the analysis of applicable legal parameters/restrictions under which the System must operate.

2.2.2. Describe your approach to the development of an investment policy statement including the development of asset class structures, investment objectives, and risk control policies (i.e., derivatives, securities lending, etc.).

2.2.3. Describe your process for maintaining a continuous review of investment policies and any changes in the underlying investment fund operations which would require review of the Committee.

2.3. ***Investment Manager Searches:***

2.3.1. Describe your firm's process for evaluation and selection of investment managers.

2.3.2. Describe how your firm's process for evaluating and selecting investment managers adds value beyond the mere provision of raw data.

2.4. ***Investment Services:***

2.4.1. Describe your firm's approach to 403 (b) plan investment consulting

2.4.2. What investment policy statement support do you offer?

2.4.3. What tools does your firm use to evaluate investment funds and managers?

a. Which of these tools are proprietary to your firm, developed in-house or specifically for your firm?

2.4.4. Describe your investment research resources and capabilities

a. How are investment benchmarks determined?

b. Is your investment research proprietary or from a third party?

2.4.5. Do you hold performance review meetings with client and what reports do they receive?

2.4.6. Do you have an investment watch list and what is your termination recommendation process?

2.4.7. Will your firm offer investment advice to our plan?

Yes____ No____

a. Please explain

2.5. ***Performance Evaluation:***

2.5.1. What asset classes are tracked in your performance measuring system? How many managers are included within each asset category? How many years of performance data are on the system for each asset class?

2.5.2. What factors do you consider to be critical in reporting performance?

2.5.3 How are performance benchmarks for the total fund, different asset classes and investment manager styles chosen and constructed?

2.5.4. Do you use investment style benchmarks in your performance measurement process? What are the sources of the underlying data and how are these benchmarks calculated and maintained?

2.6. ***Reporting***

2.6.1. What period of time is required to prepare reports after the end of each quarter?

2.6.2. Give a brief overview of the hardware and software systems used in the production of performance reports.

2.7. Research:

2.7.1. Describe the manner in which external resources and sources of information are used in the research process. How does your firm integrate internal and external research?

2.7.2. Describe your firm's process for monitoring industry and market trends affecting investment funds.

2.8. ***System's Staff Education:***

2.8.1. Does your firm offer training of plan fiduciaries and staff as it relates to their investment responsibilities? If so, describe the type of training available and the qualifications of the individuals assigned to conduct the training.

3.1. ***Other Information:***

3.1.1. Describe areas or processes, not included in the scope of this engagement that your firm may examine in order to provide more complete and thorough services.

3.1.2. Provide any additional information that you believe to be relevant to the RFP and your capability to provide the services requested.

3.2. ***References and Previous Clients:***

3.2.1. Provide three references who are clients for whom work similar to that requested in the RFP has been performed. Include their names, titles and telephone numbers.

3.2.2. List public sector clients who have terminated your consulting relationship during the past three years and their reasons for doing so. Include their names, titles and telephone numbers.

3.3. ***Fees:***

3.3.1. How is your firm compensated for services?

3.3.2. What percentage of your firm's revenue is derived from?

a. Commission relationships?

b. Advisory relationships?

3.3.3. Provide a proposal regarding the fees to be paid to your firm for the services identified in the Scope of Services. The proposal should provide fees based upon a bundled fee for all services identified as ongoing. Please include a list of staff and their hourly billing rates which would apply to work identified as ad-hoc.

3.3.4. Does your firm's proposed fee arrangement consist of any incentive or contingent payments? If so, describe the manner of calculation in detail.

3.3.5. Are you willing to guarantee your fees for a specific period of time?

3.3.6. Does your firm provide written agreement or a letter of engagement detailing services provided to our plan?

Yes____ NO____

4.1 Insurance and Liability:

4.1.1. What limitation on liability, if any, do you impose through your contract?

4.1.2. Describe the following coverage's that you carry and the levels of coverage that you carry for:

- Professional liability or errors and omissions insurance
- Fiduciary coverage

4.1.3. List the insurance carriers for each coverage you carry.

4.1.4. Describe your disaster and facilities recovery plan.

5.1. ***Provider/Vendor Services:***

5.1.1. Describe your vendor benchmark service and process

5.1.2. Describe your service provider search RFP service and process

5.1.3. With how many different service providers does your firm work to support current clients?

5.1.4. What plan design change initiatives have you led with your clients in the past 24 months?

6.1 ***Fiduciary Status and Compliance:***

6.1.1. Do you intend to act as a fiduciary for the plan and or its participants?

6.1.2. What compliance resources does your firm provide?

6.1.3. Describe your fiduciary responsibility to our plan participants.

6.1.4. Describe potential conflicts of interest that may arise with the proposed advisory relationship.

Appendix A. Form ADV Parts 1 and 11:

Attach your firm's current Form ADV Parts I and II. ***Appendix***

Appendix B. Annual Financial Report:

Attach your firm's current audited Annual Financial Report.

Appendix C. Sample Contract or Agreement:

1. Attach a sample contract or agreement your firm has used with a governmental entity for investment consulting services.
2. Standard terms and conditions of the System to be included in the contract are attached as Sample Agreement. In submitting a proposal, the firm shall be deemed to have agreed to each provision set forth in the Sample Agreement unless the firm identifies the provision to which objection is made and submits alternative language to make the provision acceptable to the firm.

REFERENCES

References: Three references are required with your bid. These references should relate to projects of a comparable scope completed by your firm.

REFERENCE #1

Company Name

Address

Contact/Title

Email ***Phone*** ***Fax***

REFERENCE #2

Company Name

Address

Contact/Title

Email ***Phone*** ***Fax***

REFERENCE #3

Company Name

Address

Contact/Title

Email ***Phone*** ***Fax***

SUBMITTAL FORM

SIGNATURE OF FIRM'S AUTHORIZED REPRESENTATIVE

By signing below, contractor acknowledges that it is a competent firm capable of providing the items and/or services requested, is properly licensed for providing the items or services specified, has read this Request for Proposal, understands it, and agrees to be bound by its terms and conditions. Contractor hereby agrees to furnish items and/or services, at the prices proposed, pursuant to all requirements and specifications contained in this document, upon receipt of notification of award. Contractor further agrees that the language of this document shall govern in the event of a conflict with its bid. The undersigned, being duly authorized to sign bidding documents and act on behalf of the contractor in an official capacity, certifies that the items and/or services offered in this Request for Proposal meets or exceeds all specifications, terms and conditions as described herein without exceptions. I understand that items and/or services not meeting all specifications, terms and conditions shall be rejected and all cost shall be borne by the contractor.

Please fill in all spaces below:

Company Name_____

Address_____

City, State, Zip_____

Phone Number_____ Fax Number_____

Email_____

Contact Person for Clarification of Bid Response_____

Acknowledgment of Amendment/Addendum

Specify Number(s) and Date(s)_____ _____ _____ _____ _____

Date # Date # Date # Date # Date

Printed/Typed Name and Title of Individual Signing_____

Signature of Member Authorized to Sign for Firm_____

Date of Authorized Signature_____

NON-SUBMITTAL RESPONSE FORM

RFP NAME: 403(B) RETIREMENT PLAN CONSULTING AND ADVISORY SERVICES

NOTE TO VENDOR:

If your company's response is a "non-submittal", the Dawson County School System is very interested in the reason for such response since DCSS desires to ensure that the procurement process is fair, non-restrictive and attracts maximum participation from interested companies. We therefore, appreciate your responses to this non-submittal response form.

Please complete and fax this form to: Dawson County School System, Finance Department

Fax: 706-265-8769

Please indicate your reason for responding with a "non-submittal".

☐ Unable to meet the requirements for this solicitation.

☐ Unable to provide the goods or services specified in this solicitation

☐ Unable to meet time frame established for start and or completion of project.

☐ Received too late to submit a bid Received on:_____

☐ Please remove our company's name from receiving similar type solicitations.

Other (Please explain):_____
_____

Your response will be reviewed and placed in the solicitation file. Your input will assist DCSS in determining changes necessary to increase participation in the solicitation process.

_____
Company Name

_____
Company Address

_____ _____

Company Phone Number Company Fax Number

_____ _____ _____

Authorized Company Official Signature Title Date

PRIMARY VENDOR/SUBCONTRACTOR UTILIZATION

RFP Name: 403(b) RETIREMENT PLAN CONSULTING AND ADVISORY SERVICES, RFP

Primary Vendor Name:_____

If subcontractors will not be used check this box: ☐

List all subcontractors to be used during the performance of this contract. Submit additional forms if needed.

(1)_____
Company Name

_____
Street Address (to include City, State, Zip Code)

_____ _____

Company Phone Number Company Fax Number

Primary Contact:_____

E-mail Address:_____

Services to be Provided:_____

_____ _____ _____

Authorized Company Official Signature Title Date

(2)_____
Company Name

_____
Street Address (to include City, State, Zip Code)

_____ _____

Company Phone Number Company Fax Number

Primary Contact:_____

E-mail Address:_____

Services to be Provided:_____

_____ _____ _____

Authorized Company Official Signature Title Date

DEBARMENT/SUSPENSION STATUS & NON-COLLUSION AFFIDAVIT FORM

DEBARMENT/SUSPENSION STATUS

1. The vendor/contractor certifies that it is not suspended, debarred or ineligible from entering into contracts with the Executive Branch of the Federal Government, or in receipt of a notice of proposed debarment from any State agency or local public body.
2. The vendor/contractor agrees to provide immediate notice to DCSS's Finance Department in the event of being suspended, debarred or declared ineligible by any State or Federal department or agency, or upon receipt of a notice of proposed debarment that is received after the submission of this bid/proposal but prior to the award of the purchase order/contract.

NON-COLLUSION AFFIDAVIT

The undersigned, duly authorized to represent the persons, firm and/or corporation joining and participating in the submission of the foregoing bid/proposal (such persons, firm and/or corporation hereinafter being referred to as the vendor/contractor), being duly sworn, on his/her oath, states that to the best of his/her belief and knowledge no person, firm, or corporation, nor any person duly representing the same joining and participating in the submission or the foregoing bid/proposal, has directly or indirectly entered into any agreement or arrangement with any other vendor/contractors, or with any employee of DCSS, or any person, form or corporation under contract with DCSS whereby the contractor, in order to induce the acceptance of the foregoing bid/proposal by DCSS has paid or is to pay any other vendor/contractor or to the aforementioned persons anything of value whatsoever, and that the vendor/contractor has not directly or indirectly entered into any agreement or arrangement with any other vendor/contractor which tends to or does lessen or destroy free competition in the letting of the contract sought for by the foregoing bid/proposal.

CERTIFICATION

The undersigned hereby certifies that he/she has read the above Non-Collusion Affidavit and Debarment/Suspension Disclosure Statement and that he/she understands and shall comply with these requirements. The undersigned further certifies that he/she has the authority to certify compliance for the vendor/contractor named below.

Name_____ Date_____

Print or Type

Company_____

Signature_____ Title_____

DRUG-FREE WORK PLACE CERTIFICATION

I hereby swear or affirm that this company has established a drug-free work place program by completing the following requirements:

1) Published a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the work place and specifying the actions that shall be taken against employees for violations of such prohibition.

2) Informed employees about the dangers of drug abuse in the work place, the business's policy of maintaining a drug-free work place, any available drug counseling, rehabilitation, and employee assistance programs and the penalties that may be imposed upon employees for drug violations.

3) Given each employee engaged in providing the commodities or contractual services that are under bid a copy of the statement specified in subsection (1).

4) In the statement specified in subsection (1), notified the employees that, as a condition of working on the commodities or contractual services that are under bid, the employee shall abide by the terms of the statement and shall notify the employer of any conviction of, or plea of guilty or nolo contendere to, any violation of chapter 893 or of any controlled substance law of the United States or any state, for a violation occurring in the work place no later than five (5) days after such conviction.

5) Imposed a sanction on, or required the satisfactory participation in a drug abuse assistance or rehabilitation program if such is available in the employee's community, by any employee who is so convicted.

6) Make a good faith effort to continue to maintain a drug-free work place through implementation of this section.

As the person authorized to sign the statement, I certify that this firm complies fully with the above requirements.

_____ _____

Vendor's Signature Date

_____

Company Name