

City of Shreveport



REQUEST FOR PROPOSALS

RFP 20-816

City Pension Plans Administration Support
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INDEX

	Page Numbers
Proposal Invitation	2
General Information - Part I	3
Introduction - Part II	5-8
Scope of Work - Part III	9-11
Evaluation Criteria - Part IV	12
Submission Requirements - Part V	13
Fair Share Program Requirements - Part VI	14-17

NOTE: All items listed in Part V must be submitted with your proposal

Index of reference items **not** included herein that is incorporated by reference with the same force and effect as if set forth in full text. Should any of these be in conflict with those listed herein, the more stringent will apply.

The General Contract Clauses (**Section 20**), the Standard Instructions/Conditions for Request for Proposals (**Section 30**) will no longer be incorporated in solicitations but will be incorporated by reference in the City of Shreveport (hereinafter the City) book of Standard Solicitation Instructions / Provisions and General Contract Clauses; which are available at www.shreveportla.gov (click on Business, then on Bids & RFPs). If you do not have a computer, you can use one of the public use computers that are available at the Shreve Memorial Library or at most library branches.

EXHIBITS

APPROACH AND METHODOLOGY	A-18
OFFERORS EXPERIENCE	B-19
PERSONNEL STAFFING	C-20
OPERATIONAL CONSIDERATIONS	D-21
IT/SYSTEMS CONSIDERATIONS	E-22-25
OTHER CONSIDERATIONS	F-26
FORMAT FOR THE LAST PAGE OF THE COST PROPOSAL	G-27-28
FORMAT FOR THE RETURN ENVELOPE	H-29

***Required for all RFPs**

APPENDIX

#1- FAIR SHARE FORMS 1-4 & 6 (should be furnished with your proposal)	30-34
#2- ADJUDICATED OR LIEN PROPERTY AFFIDAVIT (do not furnish with your proposal)	35
#3- FELONY CONVICTION STATEMENT	36

Revised 12-04-19

CITY OF SHREVEPORT-PURCHASING DIVISION

P.O. BOX 31109 SHREVEPORT, LOUISIANA 71130-1109 □ Suite 610, 505 TRAVIS SHREVEPORT, LA 71101-3042
Phone 318/673-5450 web site: www.shreveportla.gov Fax 318/673-5408

August 28, 2020

RFP 20-816

MUST BE RECEIVED NOT LATER THAN 3:00 P.M. (CST) ON: September 24, 2020

PROPOSAL TITLE: **City Pension Plans Administration Support**

You are invited to submit proposals in accordance with the requirements of this solicitation which are contained herein.

In order for your proposal to be considered, it must be received in the Purchasing office not later than the date and time as listed above. Solicitation documents are posted on BidSync.com. To view the general RFP information and receive notices by email, register with BidSync. Registration is free. If you wish to view or download entire RFP packages, you may do so for an annual fee. It takes about two weeks to get a digital signature. *Allow additional time to set up the digital signature in BidSync.* **Go to BidSync.com for more information on this.** Solicitation documents are also available at www.shreveportla.gov/Solicitations. BidSync shall be the official source of solicitation documents.

It shall be the responder's responsibility to make inquiry as to the addenda issued. All inquiries pertaining to this RFP shall reference RFP number as shown above. Paper proposals received by the Purchasing Office after the time specified will be documented and then returned to the Offeror unopened. Due to the possibility of negotiation with all Offerors, the identity of any Offeror or the contents of any proposal will not be public information until after the contract award is made. Paper proposals and modifications received in response to this Request for Proposals shall be time stamped upon receipt and secured in the Purchasing Division until the established due date. Attendance by the submitter on the established due date is unnecessary, because submittals will be opened at a later time in the presence of a procurement employee or selection committee member.

The proposals must be signed in ink by an official authorized to bind the Offeror, and it shall contain a statement to the effect that the proposal is firm for a period of at least 120 days from the closing date for submission of proposals. **Paper proposals must be submitted using the envelope format as provided in this solicitation document in a sealed opaque envelope/container showing the above proposal title, number, opening date, time of opening and appropriate license number(s) on the outside of the envelope or if a sealed container is used, then all this information shall be shown on the top of the container. The City does not accept faxed or emailed responses for formal solicitations.**

All submittals (see Part V, Submission Requirements) received in response to this Request for Proposals will be rated by the City's Selection Committee, based upon the Evaluation Criteria as listed in Part IV. If the best Offeror is clearly identified from the point summary, there will not be a need for oral presentations. If not, then an oral presentation from a minimum of two (the highest rated) firms shall be required. This solicitation does not commit the City to award a contract, to pay any costs incurred in the preparation of a proposal, or to procure or contract for the articles of goods or services. The City reserves the right to accept or reject any or all proposals received as a result of this request, to waive informalities, to negotiate with all qualified Offerors, or to cancel in part or in its entirety this proposal, if it is in the best interest of the City to do so.

City of Shreveport

Wendy Wagnon, CPPO
Purchasing Agent

Important- If you consider the specifications as restrictive or have a problem with this document please contact the Purchasing Agent at least five days before the proposal opening at (318) 673-5457.

PART I

GENERAL INFORMATION

- 1.0 Proposals will be considered as specified herein or attached hereto under the terms and conditions of this proposal.
- 2.0 Proposals must be made in the official name of the firm or individual under which business is conducted (showing an official business address) and must be signed in ink by a person duly authorized to legally bind the person, partnership, company, or corporation submitting the proposal.
- 3.0 Offerors are to include all applicable requested information and are encouraged to include any additional information they wish to be considered.
- 4.0 It is up to you to make sure that all the information requested is returned to us by using the envelope format shown in this package.

5.0 ***Each Proposer shall submit one (1) signed original response. Nine (9) additional copies of the proposal are required.***

5.1 Proposals should be sent to:

- 5.1.1 City of Shreveport
5.1.2 Office of The Purchasing Agent
5.1.3 Government Plaza-Suite 610
5.1.4 505 Travis Street
5.1.5 Shreveport, LA 71101-3042

6.0 QUESTIONS

- 6.1 Offerors requiring additional information may email or fax their questions so that they will be received at least five (5) working days prior to proposal opening to:
- 6.2 Email Renee.anderson@shreveportla.gov or fax Renee Anderson at 318-673-5408.
- 6.3 Answers to questions received that should change and/or clarify this solicitation will be provided in writing to all Offerors via an amendment.

7.0 EXPENDITURE

7.1 Estimated Expenditure: \$150,000

8.0 CONFIDENTIAL INFORMATION, TRADE SECRETS, AND PROPRIETARY INFORMATION

- 8.1 The designation of certain information as trade secrets and/or privileged or confidential proprietary information shall only apply to the technical portion of the proposal. **The financial proposal will not be considered confidential under any circumstance.** Any proposal copyrighted or marked as confidential or proprietary in its entirety may be rejected without further consideration or recourse.
- 8.2 For the purposes of this procurement, the provisions of the Louisiana Public Records Act (La. R.S. 44.1 et. seq.) shall be in effect. Pursuant to this Act, all proceedings, records, contracts, and other public documents relating to this procurement shall be open to public inspection. Proposers are reminded that while trade secrets and other proprietary information they submit in conjunction with this procurement may not be subject to public disclosure, protections must be claimed by the Proposer at the time of submission of its Technical Proposal. Proposers should refer to the Louisiana Public Records Act for further clarification.
- 8.3 The Proposer shall clearly designate the part of the proposal that contains a trade secret and/or privileged or confidential proprietary information as "confidential" in order to claim protection, if any, from disclosure. The Proposer shall mark the cover sheet of the proposal with the following legend, specifying the specific section(s) of the proposal sought to be restricted in accordance with the conditions of the legend:
- 8.4 "The data contained in pages _____ of the proposal have been submitted in confidence and contain trade secrets and/or privileged or confidential information and such data shall only be disclosed for evaluation purposes, provided that if a contract is awarded to this Proposer as a result of or in connection with the submission of this proposal, the City of Shreveport shall have the right to use or disclose the data therein to the extent provided in the contract. This restriction does not limit the City of Shreveport's right to use or disclose data obtained from any source, including the Proposer, without restrictions."

- 8.5 Further, to protect such data, each page containing such data shall be specifically identified and marked "CONFIDENTIAL".
- 8.6 If the Proposer's response contains confidential information, the Proposer should also submit a redacted copy of their proposal along with their original proposal. When submitting the redacted copy, the Proposer should clearly mark the cover as such - "REDACTED COPY" - to avoid having this copy reviewed by an evaluation committee member. The redacted copy should also state which sections or information has been removed. The proposer should also submit one (1) electronic redacted copy of its proposal on a USB flash drive. The redacted copy of the proposal will be the copy produced by the City if a competing proposer or other person seeks review or copies of the Proposer's confidential data.
- 8.7 **If the Proposer does not submit the redacted copy, it will be assumed that any claim to keep information confidential is waived.**
- 8.8 Proposers must be prepared to defend the reasons why the material should be held confidential. By submitting a proposal with data, information, or material designated as containing trade secrets and/or privileged or confidential proprietary information, or otherwise designated as "confidential", the Proposer agrees to indemnify and defend (including attorney's fees) the City and hold the City harmless against all actions or court proceedings that may ensue which seek to order the City to disclose the information.
- 8.9 The City reserves the right to make any proposal, including proprietary information contained therein, available to other agencies or organizations for the sole purpose of assisting the City in its evaluation of the proposal. The City shall require said individuals to protect the confidentiality of any specifically identified proprietary information or privileged business information obtained as a result of their participation in these evaluations.
- 9.0 Additionally, any proposal that fails to follow this section and/or La. R.S. 44:3.2.(D)(1) shall have failed to properly assert the designation of trade secrets and/or privileged or confidential proprietary information and the information may be considered public records.

Part II

1.0 **INTENT**

1.1 The City of Shreveport is seeking offerors to support the existing Pension Administration Services. The City plans to maintain a minimum of two city employees to help support the face to face pension function, a Pension Manager and a Management Assistant. The City will consider proposals contemplating services for all, some, or only one of the areas listed below. The City expects the successful Firm(s) to provide exemplary professional, responsive, and reliable service at the most competitive cost. It is the intent of the City to award to a single Firm to limit administrative complexity. However, the City, at its sole discretion, reserves the right to make such determination and to make single, be multiple, or no award. The resultant agreement(s) will be for a period of three (3) years from the date of the award.

2.0 **PROJECT BACKGROUND**

2.1 The City of Shreveport administers three defined benefit pension plans: the Firemen's Pension and Relief Fund (FPRF), the Policemen's Pension and Relief Fund (PPRF) and the Employees' Retirement System (ERS), a cost-sharing multiple employer plan.

2.2 The City also participates in two state-administered cost-sharing multiple-employer defined benefit pension plans. They are the Municipal Police Employees Retirement Systems (MPERS) and the Firefighters' Retirement System (FRS).

2.3 The **FPRF** created under La R.S. 11:3431 is a single-employer defined benefit pension plan that temporarily covers firefighters who retire after January 1, 1983 and meet the eligibility requirements of the local retirement plans but not the State plan. The pension plan is closed to new members. The Board of Trustees, composed of nine (9) members, meets four times a year. Total membership includes 334 retirees. The fair market value of the plan assets was approximately \$14.7 million as of January 1, 2020.

2.4 The **PPRF** created under La R.S 11:3711 is a single-employer defined benefit pension plan that temporarily covers policemen who retire after January 1, 1983 and meet the eligibility requirements of the local retirement plans but not the state plan. The pension plan is closed to new members. The Board of Trustees, composed of eight (8) members, meets four times a year. Total membership includes 196 retirees. The fair market value of the plan assets was approximately \$17.9 million as of January 1, 2020.

2.5 **Deferred Compensation (457(b)) Plans** are a type of non-qualified, tax advantaged deferred-compensation retirement plan that is available for governmental and certain non-governmental employers in the United States. In general, an employer provides the plan and the employee defers compensation into it on a pre-tax or after-tax basis. The City offers four deferred compensation plans, Nationwide, VALIC, Mass Mutual, and AXA, which permanent employees have the option to participate in.

2.6 The **ERS (Chapter 66-Personnel, Article II-Employees' Retirement System)** is a cost-sharing multiple-employer defined benefit pension plan that covers all full-time classified employees of the City other than policemen and firemen and is administered by the City. The ERS system is managed and controlled by a Board of Directors, composed of seven members. The board meets monthly.

2.7 As of January 1, 2020, there are 1,244 active employees covered by the system (462 vested and 782 non-vested), 19 term vested participants, as well as 1,122 retirees and beneficiaries. Non City employees that participate in the plan include the Shreve Memorial Library and Caddo-Shreveport Sales and Use Tax Commission.

2.8 ERS system assets as of January 1, 2020 were approximately \$189.4 million. The system invests in domestic equities, international equities and fixed-income securities. Its assets are managed by external money managers. Its current policy establishes asset allocation targets at 60% equities and 40% fixed-income. The system currently uses Russell Investments to manage its portfolio.

2.9 The ERS system currently employs Milliman as its actuary. According to the most recent actuarial report, dated January 1, 2020, the system has assets equal to 43.84% of its long-term liabilities.

2.10 The scope of this RFP and requested service does NOT include co-management of the City health benefits plan. The City sponsors post-retirement medical plans for employees of the City of Shreveport. Retirees are

eligible to keep city insurance benefits (medical, life, dental, and vision) if they draw a pension. The City contributions are medical at 67% paid, dental at 50% paid, and life insurance at 50% paid. Life insurance is 1 times salary with cost at \$2.28 per thousand as of 2019 and a reduction of benefit at age 70. The City's funding policy is that it contributes 58% and retirees 42% of the required contribution rate as determined annually by the Health Care Board of the self-insured pay-as-you go plan. In addition to providing pension benefits, the City provides medical, dental and life insurance coverage through a cost-sharing single-employer defined plan that can include non-City employees as described under the Employees' Retirement System for any retiree who receives a monthly retirement check from one of the City's retirement plans and their legal dependents. The benefits, employee contributions, and employer contributions are governed by the Health Care Board and can be amended annually. No assets are accumulated in a trust. The plan does not issue a separate report. The activity of the plan is reported in the City's Employees Health Care Fund, an internal service fund.

2.11 The pension office is currently managed by two employees, the Pension Manager and a Management Assistant. The Pension Manager serves as Office Manager and Supervisor of the Pension Office and Supervisor of Pension staff.

2.12 Prepare and process pension benefit applications and related forms. Forms includes verification of eligibility, preparation of pension calculations, coordination of pension benefits with State systems, etc. The pension manager also meets with and/or answers questions from members regarding qualifications for various pension benefits. Coordinate long-term disability benefits.

2.13 The pension manager is responsible for entering new hires into the ERP system, New World, process terminations, manage matters of the ERS, PPRF, and FPRF board of trustees including agendas, meetings, and minutes, process retirements, process DROP requests, post check payments and post contribution refunds to terminated employees, service phone calls/walk-ins from retired and active employees. On site file maintenance, assist MPERS and FRS agencies and retirement systems.

3.0 **TERM OF CONTRACT**

3.1 Contract Term: The term of any contract resulting from this solicitation shall be for three years from the date of award, unless terminated or extended in accordance with the provisions listed herein. The City of Shreveport reserves the right to renew any resultant contract(s), if mutually agreeable with the consultant, for two additional years in one year increments after an initial three year period with price changes limited to Price Changes paragraph below, unless prices are requested for a longer period in this RFP.

4.0 **PRICE CHANGES**

4.1 Prices will be firm for the contract term as specified in the paragraph above. After the term of the contract, the Consultant may request price increases based on their documented cost increase to be approved by the Chief Financial Officer and the Purchasing Agent. Written requests for price increases must be sent to the Purchasing Agent. The City reserves the right to accept or reject the price increase within fifteen days after receipt of the request. Should the City reject the price increase, the City reserves the right to cancel the contract and award to the next best Offeror or to solicit new proposals. No increase will be effective until approved in writing by the Purchasing Agent. Any decrease in the cost of the contract items shall be forwarded to the Purchasing Office with immediate inception into the contract. Any decrease in pricing shall not be less than the appropriate CPI or PPI.

5.0 **AWARDS**

5.1 An award resulting from this request shall be awarded to the responsive and responsible Offeror whose proposal is determined to be most advantageous to the City, taking into consideration price and the evaluation factors set forth in the RFP; however, the right is reserved to reject any and all proposals received, to waive any informalities, and in all cases the City will be the sole judge as to whether an Offerors proposal has or has not satisfactorily met the requirements of this RFP.

6.0 **Evaluation of Proposals for Multiple Awards**

6.1 In addition to other factors, proposals will be evaluated on the basis of advantages to the City that might result from making more than one award (multiple awards). For the purpose of making this evaluation, administrative costs to the City for issuing and administering each contract awarded under this invitation will

be considered, and individual awards will be for the items and combinations of items which result in the lowest aggregate price to the City, including administrative costs.

7.0 **INSURANCE REQUIREMENTS**

Prior to commencing work hereunder, Contractor, as this expense, shall furnish insurance certificate showing the certificate holder as City of Shreveport, P. O. Box 31109, Shreveport, LA 71130, Attention: Purchasing Agent with a special notation **naming the City as an additional insured on the liability coverage.**

7.1 The Contractor shall at its own expense provide and maintain certain insurance in full force and effect at all times during the term of this Agreement and any extensions hereto. Such insurance, at a minimum, must include the following coverages and limits of liability.

- (1) Commercial General Liability Insurance in an amount not less than a combined single limit of \$1,000,000 per occurrence. This policy should be endorsed to name the City as an additional insured. It is the intent of the City that the policy coverage should not be limited by an annual aggregate limitation. If this policy is to be limited by an aggregate annual limitation, the aggregate limitation shall not be less than \$2 Million otherwise the contractor must provide a \$1,000,000 per project aggregate applicable for the project specified in this contract.
- (2) Comprehensive Auto Liability Insurance, including hired, rental or non-owned automobiles, in an amount not less than a combined single limit of \$300,000 per occurrence. This policy should be endorsed to name the city as an additional insured.
- (3) Workers' Compensation Insurance as required by the laws of the State of Louisiana and Employer's Liability Insurance in a minimum amount of \$1,000,000. This policy shall contain a Broad Form All States Endorsement. When required by the City, this policy shall also be endorsed to include coverage required by the United States Longshoreman and Harbor Workers' Compensation Act and Maritime Coverage. The certificate of insurance required by section C, below, must have the following statement shown in the remark section: This policy for workers' compensation protects all members of the insured organization, including an employer, a sole proprietor, a partner or bona fide officer of the insured organization, and all employees.
- (4) Fidelity Bond in the amount of \$25,000. Any deductibles, self-insured retentions and/or retroactive dates, must be disclosed on the Certificate of Insurance and receive prior approval by the Chief Financial Officer.

7.2 All coverage provided for in Subsection A shall be effective under insurance policies issued by solvent insurance carriers qualified to do business in the State of Louisiana and having an A.M. Best Company rating of B+VII or better. The City reserves the right to inspect any and all insurance policies required pursuant to this Agreement, prior to commencement of the services specified in the Agreement and anytime thereafter.

7.3 Proof that such insurance coverage exists shall be furnished to the City by means of a Certificate of Insurance form provided by the City before any part of the service specified by this Agreement are commenced. The said Certificate shall name the City as an additional insured as indicated in subsection A and include a provision that in case of cancellation or any material change in the coverage stated above the City shall be notified thirty (30) days prior to any such change or cancellation. Said provision shall include cancellation for non-payment of premium. The Contractor shall be liable for its subcontractors' insurance coverage of the types and in the amounts stated above, and shall furnish the City with copies of such Certificates of Insurance.

7.4 The Contractor and all of its insurers shall, in regard to the above stated insurance, waive all right of recovery or subrogation against the City, its officers, agents or employees and its insurance companies.

7.5 The payment of any deductible specified by such insurance policies shall be the responsibility of the Contractor and will be paid solely by the Contractor. If any of the insurance policies referred to above do not have a flat premium rate and such premium has not been paid in full, such policy must have a rider or other appropriate endorsement or waiver sufficient to establish that the issuer of the policy is entitled to look only to the Contractor for premium payment and has no right to recover premium payment for the City.

7.6 The City will give the Contractor prompt notice in writing if the institution of any suit or proceeding and permit the Contractor to defend same, and will give all needed information, assistance, and authority to enable the Contractor to do so. The Contractor shall similarly give the City immediate notice of any suit or action filed or prompt notice of any claim arising out of the performance of the Contract. The Contractor shall furnish immediately to the City copies of all pertinent papers received by the Contractor.

7.7 If any parts of the services specified by this agreement are sublet, similar insurance shall be provided by or on behalf of the subcontractor to cover their operations, and evidence of such insurance, satisfactory to the City, shall be furnished to the City by the Contractor.

7.8 The information described above sets forth minimum amounts and coverages and is not to be construed in any way as a limitation on the Contractor's liability.

7.9 The City of Shreveport reserves the right to require the contractor to provide additional types of insurance coverage and to require the contractor to provide additional limits of liability if necessary in the future.

8.0 **PURCHASE ORDER REQUIREMENT**

8.1 The City of Shreveport shall not be responsible for invoices exceeding \$1,000 that do not have a written purchase order covering them.

9.0 **PUBLIC ACCESS TO PROCUREMENT INFORMATION**

10.0 Proposals will be available for public inspection at the time and date approved by the Purchasing Agent

11.0 **PAYMENTS DUE THE CITY**

11.1 Section 26-211 of the City's Code of Ordinances requires the following:

11.1.1 On every contract to which the City is a party and for which written specifications are prepared, the specification shall include the requirement that before the contract is awarded the contractor shall pay all taxes, licenses, fees, and other charges which are outstanding and due to the City.

11.1.2 No contract to which the city is a party shall be awarded to any person who:

11.1.3 Has not paid all taxes, licenses, fees and other charges which are outstanding and due the city, or

11.1.4 Owns any property which is adjudicated to the city or which has demolition liens, grass cutting liens, or any other property standards liens on it, or

11.1.5 Owns more than 25% of a legal entity that owns any property which is adjudicated to the city or which has demolition liens, grass cutting liens, or any other property standards liens on it.

11.1.6 For purposes of this section, Own shall mean to be the last record owner of property prior to a tax sale or adjudication.

11.1.7 Proposals will not be accepted from or contract awarded to any person, firm, or corporations which have at any time failed to execute a contract that has been awarded to them by the City, or which is in arrears to the City upon debt or contract, or which is a defaulter as surety or otherwise upon any obligation to the City.

12.0 **ASSIGNMENT**

12.1 This contract shall not be assigned without the prior written consent of the city through its Mayor.

13.0 **UNSATISFACTORY WORK**

13.1 The City shall not be obligated to pay for unsatisfactory work.

14.0 **COMPLIANCE WITH CIVIL RIGHTS LAWS**

14.1 By submitting and signing this proposal, the proposer agrees to abide by the requirements of the following as applicable: Title VI and VII of the Civil Rights Act of 1964, as amended by the Equal Opportunity Act of 1972, Federal Executive Order 11246, Federal Rehabilitation Act of 1973, as amended, the Veterans Readjustment Assistance Act of 1974, Title IX of The Education Amendments of 1972, the Age Act of 1975, and the proposer agrees to abide by the requirements of the Americans with Disabilities Act of 1990. Proposer agrees not to discriminate in its employment practices, and will render services under any contract entered into as a result of this solicitation without regard to race, color, religion, sexual orientation, national origin, veteran status, political affiliation, or disabilities. Any act of discrimination committed by proposer, or failure to comply with these statutory obligations when applicable, shall be grounds for termination of any contract entered into as a result of this solicitation.

PART III

1.0 SCOPE OF WORK

1.1 General Retirement Plan Consulting Services and Pension Systems Administration in a Co-Sourcing Environment

- Duties shall augment and not replace the current pension office employees that will continue to provide phone and walk in service.
- Duties are to be performed at the contractor's place of business in a co-sourcing environment

1.2 General Retirement Plan Consulting Services

- Assist with the overall administration of the retirement funds business and operations, particularly for ERS, and to include assistance with the deferred compensation plan, FPRF, PPRF, and the state-administered plans MPERS and FRS; including active participant employees, terminated employees (vested and non-vested), retirees, and beneficiaries.
- Plan and coordinate the benefits support project including all review, setup, and implementation activities. Assist with communications with employees, retirees, and beneficiaries as support services are rolled out
- Plan redesign and benchmarking

Compliance

- Review and maintain the Summary Plan Description, calculations and all other plan documents, ordinances, amendments, and administrative procedures as required to most effectively support the plan. Provide valuation information to City's actuarial team annually
- Working closely with City Officials in an advisory capacity and recommend, develop and implement administrative policies, develop electronic forms and notifications, plan amendments and changes as approved by the city, and identify and help troubleshoot problems. Also to occasionally provide population data and statistics to decision-maker
- Identify participant population to receive annual funding mailing, compile addresses, and coordinate mailing with third party vendor
- Create and mail required begin date notification for 70.5/72
- Performance of annual non-discrimination testing required for the plan
- Internal and/or external audit support as needed

Governance

- Attend all board meetings at least quarterly in person or by phone
- Provide quarterly delivery statistics:
 - Case handling
 - Calculations and processing
- Conduct annual review meeting to review plan activities, service levels, and future initiatives
- Research and consulting the City on matters related to ERISA including regulatory compliance with IRS, DOL, and Qualified domestic relations order (QDRO) administration
- Consulting on emerging issues and legislation
- Keep the City abreast of industry trends or pending legislation that may impact its benefit programs

1.3 Administration System and Support

- Provide a call center and call center support for active, retired employees, and beneficiaries under the city pension plans to be able to receive answer to questions including payments, eligibility, benefit calculations, benefit election package, vesting status, normal or early retirement eligibility, plan updates, new hire package, termination refunds, rollovers, beneficiary/survivor advisory support and options, full participant requests for forms, summary plan description, etc
- Collect and maintain historical, existing, and new electronic data of active and retired employees, and beneficiary records and up to date payment information in a quality format approved by the city, including assist with data cleanup
- Under this model the selected Firm will provide a fully functioning pension calculation and database system through software that could be installed on the City's hardware (on-premise) or housed on the Firm's hardware (cloud-based)
- Implement Firm's standard administration forms
- Update address sheet on existing forms/letters to include Firm's PO Box
- Respond to participant inquiries, document responses and research in case management log for reference

Pension Benefit Calculation

- Process calculations and produce participant correspondence as follows:
 - Terminations
 - Retirement commencements
 - Late retirements, inclusive of 70.5/72 calculations
 - Disability
 - Qualified Domestic Relations Order
 - Pre-retirement deaths
 - Retirement commencements

Fulfillment

- Distribute participant kits and notices
- Store and attach documents to participant records within the administration system for research and historical tracking
- Flag records with incorrect addresses
- Notify terminated vested participants approaching retirement age
- Prepare and mail notice of vested benefits for recently terminated active participants
- Coordinate an annual lost participant address search and inactive search using a third-party vendor

1.4 Employee Self-Service Site

- Provide an online portal with a menu of self-service options for active and retired employees to view pension data and make standard forms, customary calculations, updates, beneficiary changes, requests, and reports
- Allow pension estimates and modeling for active and terminated vested participants
- Provide personalized estimate results, including eligible forms of payment, calculation details, and any benefit-related caveat statements
- Configurable modeling options based upon personalized eligibility information
- Allow terminated vested participants to update address and contact information
- Repository for plan information and summary plan descriptions

- Access to City of Shreveport and City of Shreveport City, and/or the Firm administrators to assist participants with site navigation
- Mobile enabled website access for participants

1.5 Retiree Administration

- Compiling and distributing required affidavits and questionnaires to disability retirees; verifying that disabled retirees are still disabled and eligible to receive pension benefits
- Review and process election forms
- Prepare and transmit pension payment starts, stops, and benefit changes to the City's record-keeper via electronic feed
- Reconcile pension payroll activity on a monthly basis
- Survey recipients as required to identify deceased retirees and beneficiaries

PART IV- EVALUATION CRITERIA

RFP#: _____ Title of RFP: _____

Evaluator: _____ Phone #: _____

Date: _____ Company Name: _____

		POINT RANGE	POINTS ASSIGNED
1	Experience and capacity of Offeror, including recent and related experience.	0-25	
2	Demonstrated understanding of the problems and needs presented by the project.	0-20	
3*	Cost effectiveness and reasonableness of Offerors proposed fee.	0-15	
4	Qualifications of project personnel and Offerors ability to commit a capable staff and support for a project of this size under the time constraints as listed in the RFP. Also, commitment to change computer system to accommodate the processing of data during the current year and beyond.	0-15	
5	Soundness of Offerors approach to the problems and needs presented by the project, including Offerors methodology for achieving specific tasks and objectives.	0-15	
6	Offerors commitment to meet Fair Share Requirements.	0-10	

TOTAL POINTS: 100 Points

*The points for cost shall be furnished by the Purchasing Agent, based upon the standard formula as listed below: Fee schedules, including total life cycle costs (when applicable), will be scored by applying the maximum number of points permissible to the responsible firm submitting the lowest responsive fee. All other Offerors are prorated points, by determining the percentage of differential between the low Offerors responsive total and cost and each of the other Offerors total cost, and then applying the percentage of differential accordingly.

PART V

PROVIDE SUBMISSION REQUIREMENTS IN THE FOLLOWING FORMAT
Proposals submitted in the prescribed format and with properly completed exhibit forms, as provided herein, will be evaluated for contract award.

1.0 SUBMISSION REQUIREMENTS & CHECKLIST

1.1 To achieve a uniform review process and allow for adequate comparability, the proposals must be organized in the manner specified below:

- 1.1.1 A Table of Contents - clearly identify the material, by section and page number.
- 1.1.2 Executive Summary – Provide a brief narrative describing the following key areas:
 - 1.1.3 ___ Provide company history, ownership and structure, including line of business
 - 1.1.4 ___ Company background in pension consulting services and relevant experience and knowledge demonstrated with similar projects
 - 1.1.5 ___ The percentage of total company revenue from pension advisory services
 - 1.1.6 ___ Current number of Clients with defined benefit plans under your advisement
 - 1.1.7 ___ Current number of Clients with defined contribution plans under your advisement
 - 1.1.8 ___ How many full-time employees you have in total and in the applicable pension consulting unit
 - 1.1.9 ___ Your understanding of the City’s needs and objectives
 - 1.1.10 ___ Assets, tools and other differentiators for your company
 - 1.1.11 ___ Qualifications and experience of the Firm especially as it relates to key individuals who will be assigned to the project. **(end of Executive Summary)**

- 1.2 Provide narrative on the approach to the scope of work (proposed project plan) using the format of **Exhibit A**.
- 1.3 Document five of Offerors prior similar projects with name, address, and phone number of a contact with whom City can discuss Offerors past performance using the format of **Exhibit B**.
- 1.4 Submit qualifications of personnel that will work on this project using the format of **Exhibit C**.
- 1.5 Provide Operational Considerations using format of **Exhibit D**.
- 1.6 Provide IT/Systems Considerations using format of **Exhibit E**.
- 1.7 Provide Other Considerations using format of **Exhibit F**.
- 1.8 Provide cost proposal using the format of **Exhibit G**.
- 1.9 Provide Completed Fair Share forms (Appendix 1) which includes the amount and percentage of commitment.
- 1.10 **Submit Appendix #3 – FELONY CONVICTION STATEMENT.**
- 1.11 List proposed terms and conditions, etc.
- 1.12 List any exceptions to this RFP (and/or the City’s Standard Agreement).
- 1.13 Other information and materials which the Offeror wishes to submit in support of this proposal, qualification, etc.

Section 40-Fair Share Requirements (Revised 3-14-2019)

Applies to IFB, RFP, RFS, and RFQ Documents except when a Commodity Purchase or if for the Airport.

1.0 DEFINITIONS

1.1 **Bid**-shall mean bid for IFBs, proposal for RFPs, and quote for RFQs.

1.2 **Contractor**-shall mean prime contractor for IFBs, RFPs, and RFQs. For RFSs, **Contractor** shall mean Prime Consultant.

1.3 **Offeror**-shall mean a person who submits an RFP.

1.4 **Subcontractor**-shall mean subcontractor for IFBs, and RFQs. For RFSs, Subcontractor shall mean Sub consultant.

1.5 **FSC**-is Fair Share Certified (specific to City-Funded Projects and included in the Fair Share computation). **Fair Share Certification applications may be obtained as follows:**

1.5.1 City of Shreveport Fair Share Office... 318-673-5009

1.5.2 505 Travis Street

1.5.3 Shreveport, LA 71101

1.5.4 FSC Application Affidavits maybe downloaded at::

http://www.shreveportla.gov/fair_share/pdf/Fairshare_download.pdf

1.6 **DBE**- is Disadvantaged Business Enterprise (specific to Federally-funded Projects - generally FAA, DOTD or FTA projects). DBE- a group that is defined by the Government as presumptively disadvantaged by provisions of CFR 49.

1.7 **DBE applications may be obtained as follows:** <http://www8.dotd.louisiana.gov/UCP/UCPdownloads.aspx>

1.8 **MBE**-is Minority Business Enterprise. The designation of MBE is obtained through the submission of a Vendors Application that can be obtained through the Purchasing Office. Vendor Applications may be downloaded at: <https://www.shreveportla.gov/140/Bids-RFPs>

2.0 PURPOSE OF THE PROGRAM

2.1 The City of Shreveport has implemented this program to ensure that their **construction and service** contracts provide employment and growth opportunities for small disadvantaged businesses.

2.2 Therefore, when the goal has not been met, prime contractors are required to submit proof showing that good faith efforts have been made to contract with FSC or DBE subcontractors.

2.3 All efforts must be documented.

2.4 Direct commodity purchases made by the City are exempt from the program.

3.0 FAIR SHARE CONTRACT CLAUSES

3.1 The following Fair Share Contract Clauses and Good Faith Effort Requirements are only a small part of the Fair Share Program.

3.1.1 The Fair Share Program full text and forms that will be needed are posted in the Purchasing Office, or available upon request, or available on our web site at www.shreveportla.gov, and are incorporated by reference in all solicitation documents with the same force and effect as if set forth in full text.

3.1.2 ANY DEVIATIONS FROM THE FAIR SHARE REQUIREMENTS LISTED HEREIN MUST BE CLEARLY IDENTIFIED WITH EACH SOLICITATION RESPONSE.

3.1.3 PLEASE CALL THE FAIR SHARE OFFICE AT (318) 673-5009 OR THE PURCHASING DIVISION AT (318) 673-5450 IF YOU HAVE ANY QUESTIONS.

3.2 Prompt Payment Clause

3.2.1 The City of Shreveport will, after acceptance of goods or services and the receipt of a proper invoice from the contractor, process request for payment, said payment to be paid within thirty (30) days.

3.2.2 Prime contractors shall then be required to ensure payment is made to any designated small or disadvantaged business (subcontractors), within fifteen (15) business days of receipt of payment to the prime

contractor from the City.

3.2.3 Upon satisfactory completion of a contract, the City and/or prime contractor will ensure that any retainage payments are returned within thirty (30) business days.

3.2.4 Failure to comply with the terms of this requirement may be grounds for termination of the contract by the City.

3.3 Affirmative Action Clause

3.3.1 The contractor, sub recipient, or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract.

3.3.2 The contractor shall carry out applicable requirements of the appropriate funding guidelines for each contract. Failure by the contractor to carry out these requirements is a material breach of the contract which may result in the termination of this contract or such other remedy as the City deems appropriate.

3.4 **Participation of Small Disadvantaged Business Concerns**

3.4.1 It is the policy of the City of Shreveport that all prime contractors and service providers utilize qualifying small disadvantaged business concerns.

3.4.2 The City has set a goal of 25% for participation of these said business concerns in all City-let contracts and/or purchases.

3.4.3 Specific goals are set on federally funded contracts as determined by the regulating federal agency and language to that effect shall be included in those contracts.

3.4.4 Failure by a contractor or service provider to include these designated businesses could constitute breach of contract and result in remedial action.

3.4.4.1 Assurance of utilization of FSC and DBE subcontractors is given through FSC FORM 4, Letter of Intent.

3.5 **Subcontractor Payment Certification**

3.5.1 Every contract by the City for the performance of work will contain a provision requiring the prime contractor to certify in writing that all subcontractors and suppliers have been paid for work and materials from previous progress payments received (less any retainage) by the prime contractor prior to receipt of any further progress payments.

3.5.2 In the event a contractor is unable to pay subcontractors or suppliers until it has received a progress payment from the City, the prime contractor shall pay all subcontractors or suppliers funds due, from said progress payments within forty-eight hours of receipt of payment from the City.

3.5.3 During the contract and upon completion of the contract, the City may request documentation to certify payments to subcontractors or suppliers. This provision in no way creates any contractual relationship between any subcontractor and the City or any liability on the City for the contractor's failure to make timely payment to the subcontractor.

3.6 Fair Share Certified (FSC) or DBE PARTICIPATION-GOOD FAITH EFFORT REQUIREMENTS

3.7 PRE-BID EFFORTS REQUIRED REGARDING FSCs or DBEs

3.8 Bidders are **required** to contact, and make good faith efforts to contract with City and Louisiana Unified Certification Program (LAUCP) Certified FSC or DBE firms for each division of work identified in these documents which will be performed by a subcontractor.

3.9 A list of FSC or DBE contractors specializing in the divisions of work identified for subcontracting on this project can be found at the following Web Sites...City Projects: <http://www.shreveportla.gov/Forms/Fairshare/index.asp> Federal Projects: <http://www8.dotd.louisiana.gov/ucp/>

3.10 These requirements are contractual obligations and are included in all contracts.

3.11 Failure to comply may result in a finding of breach of the contract, disqualification of the bidder to bid on future contracts, or a claim for damages.

3.12 Who to contact

3.12.1 For each division of work identified in these documents that will be performed by a subcontractor, Bidders must contact:

3.12.2 Every FSC or DBE firm that attended the pre-bid meeting (if one was held) which specializes in a division of

work that will be subcontracted, and

3.12.3 In addition to the above, a minimum of five (5) other FSC or DBE firms.

3.12.4 If there are less than 5 firms listed for a particular division of work, all of the subcontractors in that division must be contacted.

3.13 When to contact

3.13.1 All Bidders must provide project information to FSC or DBE firms in sufficient time to permit the firm to have an equal opportunity to compete for work that the successful bidder will subcontract together with the date and time that sub-contractors bids are due.

3.13.2 The first documented contact with each FSC or DBE firm must be at least seven (7) working days before bid opening.

3.14 How to contact

3.14.1 First contact: Bidders shall contact FSC or DBE subcontractors by letter or fax to advise them of potential subcontracting opportunities.

3.14.2 Follow-up: Bidders shall follow up with telephone calls to each FSC or DBE firm contacted to determine if a bid will be submitted or if further information is required.

3.14.3 A firm need not be contacted if that firm responds to the first contact with a statement that the firm will not bid on this project.

3.15 What information must be provided

3.15.1 **The apparent lowest construction/service provider bidder shall be required to complete/submit Fair Share Forms 1 through 4 within 72 hours after notification. If additional information is needed, it must be turned in within 24 hours or the bid will be declared as non-responsive when additional time is not approved by the Fair Share office.**

4.0 **ADDITION/REPLACEMENT OF SUBCONTRACTORS AFTER SUBMISSION**

4.1.1 The successful bidder will not be permitted to add or replace a subcontractor without the consent of the DBE Compliance Manager and/or the Fair Share Office and the Originating Department.

4.1.2 If any subcontractor is added or replaced after the contract award, the contractor shall make good faith efforts to contract with another FSC or DBE for the work to be performed by that subcontractor.

4.1.3 Documentation of these efforts is required, and must be submitted to the Purchasing Agent and the Fair Share Office **on FSC FORM 2.**

5.0 **DOCUMENTATION OF GOOD FAITH EFFORTS**

5.1 **FAIR SHARE DOCUMENTS TO BE SUBMITTED BY THE APPARENT LOWEST CONSTRUCTION/SERVICE PROVIDER BIDDER.**

5.1.1 **COMPLIANCE AGREEMENT-FSC FORM 1.** Submit completed **FSC FORM 1.**

5.1.2 **UTILIZATION/CONTRACT TRACKING-FSC FORM 2.** Submit **FSC FORM 2** showing all subcontractors/all sub-subcontractors to be used on this contract and use for any changes also. **Note:** Construction Bidders, including 100% Fair Share/DBE, must turn in this form showing all subcontractors to be used on this contract.

5.1.3 **PROJECT CONTACT SHEET-FSC FORM 3.** Submit **FSC FORM 3** showing a completed log of contacts with FSC or DBE firms.

5.1.4 **LETTER OF INTENT-FSC FORM 4.** Submit a signed **FSC FORM 4**, Letter of Intent indicating FSC and DBE Subcontractors and Sub-Subcontractors along with the scope of work to be performed and price/cost of goods or services to be performed by the Subcontractor. There must be a separate Letter of Intent for each FSC or DBE Subcontractor or Sub-subcontractor. This **letter of Intent** must be submitted within 72 hours of the bidder being designated as the apparent lowest construction/service provider bidder, or his/her bid **will** be declared non-responsive.

5.1.5 Failure to submit these documents shall make a bid non-responsive and the apparent lowest bidder ineligible to receive an award of the contract.

5.1.6 The Purchasing Agent and/or the DBE Compliance Manager and/or the Fair Share Office shall have the right to seek clarification to assure good faith effort compliance.

6.0 **DOCUMENTS TO BE SUBMITTED AFTER CONTRACT AWARD.**

6.1.1 **MONTHLY SUBCONTRACTOR PAYMENT UTILIZATION REPORT-FSC FORM 5:** All subcontractors (including FSC or DBE firms) and second tier subcontractors shall be reported on the FSC **FORM 5** as well as contract amounts and payments.

6.1.2 **Copy of letter or fax sent to FSC or DBE firms:** *When requested, provide one copy of the letter or fax sent to FSC or DBE firms to solicit bids for this project. If more than one form of letter or fax was sent, submit a copy of each form sent.*

6.2 **Optional Good Faith Efforts**

6.2.1 Contractors should consider efforts such as:

6.2.2 Did the contractor advertise in general circulation, trade association, and small disadvantaged-focus media concerning subcontracting opportunities?

6.2.3 Did the contractor provide written notice to a reasonable number of specific FSCs or DBEs that interest in the contract was being solicited, in sufficient time to allow the FSCs or DBEs to participate effectively?

6.2.4 Did the contractor follow up initial solicitations of interest by contacting FSCs or DBEs to determine certainty whether the FSCs or DBEs were interested?

6.2.5 Did the contractor select portions of the work to be performed by FSCs or DBEs, including, where appropriate, breaking down contracts into economically feasible units to facilitate participation?

6.2.6 Did the contractor provide interested FSCs or DBEs with adequate information about the plans, specifications, and requirements of the contract?

6.2.7 Did the contractor negotiate in good faith with interested FSCs or DBEs, not rejecting them as unqualified without sound reasons based on a thorough investigation of their capabilities?

6.2.8 Did the contractor make efforts to assist interested FSCs or DBEs in obtaining bonding, lines of credit, or insurance required by the recipient or contractor?

6.2.9 Did the contractor effectively utilize the services of available community organizations; contractors groups; local, state, and federal business assistance offices; and other organizations that provide assistance in the recruitment and placement of FSCs or DBEs?

END

Approach and Methodology

Provide a description for the overall approach, strategies and offerings you will use if engaged to provide consulting services. Outline tasks, deliverables, timelines and assumptions. Also describe the City expectations process (e.g. status reports, feedback). Please include a list of the types of services your firm provides to retirement participants

- Provide a list of advice/education topics your firm offers
- Provide examples of model allocations
- What resources do you have dedicated to participants?
- Please provide 2 specific examples of ways in which your firm has made a positive impact on retirement plans you support over the past 24 months (For examples: increased participation, increased deferrals, enhanced services, lowered fee)
- Please propose other beneficial services not included in this RFP that should be considered by the city

OFFERORS EXPERIENCE - Please provide a list of clientele for which you currently provide plan consultation for and a minimum of three (3) references in which your company provides similar services for pension systems similar to the City(indicate co-sourcing, full outsourcing, or systems only where applicable. Include length of contract.)

Organization	Public Entity? Y / N
Point of Contact	No. Years as City
Title	
Phone Number	
Email Address	

Organization	Public Entity? Y / N
Point of Contact	No. Years as City
Title	
Phone Number	
Email Address	

Organization	Public Entity? Y / N
Point of Contact	No. Years as City
Title	
Phone Number	
Email Address	

Organization	Public Entity? Y / N
Point of Contact	No. Years as City
Title	
Phone Number	
Email Address	

PERSONNEL STAFFING – Describe how this engagement will be staffed (roles, names of individuals, responsibilities in the engagement, % of time on-site vs. off-site for each role). Describe the succession plan for your firm and for the primary contact who will be servicing the City. Indicate if you will use sub-contractors, who, and for what services. Include one-page resumes of team that you will propose to manage our engagement.

Name	Resume Attached Y / N
Title	No. Years with Firm?
Experience	

Name	Resume Attached Y / N
Title	No. Years with Firm?
Experience	

Name	Resume Attached Y / N
Title	No. Years with Firm?
Experience	

Name	Resume Attached Y / N
Title	No. Years with Firm?
Experience	

Name	Resume Attached Y / N
Title	No. Years with Firm?
Experience	

Operational Considerations – Address the following operational questions:

Are there other services offered by your Firm that might be complimentary to the scope of services proposed herein (e.g. communications, compliance, etc.) list those here and reference any included informational brochures.

Explain your implementation and transition process including timeframe for each area of service contemplated in Section II. Do you have a separate implementation team and what type of involvement would be needed from the City in each area?

**IT/Systems Considerations
 Pension System Administration**

Question	Offerors Response
Section 1 – Systems Capabilities and Hardware	
1. Describe the hardware and software that your Firm proposes to use to provide the City with a calculator and database system.	
2. Was the software developed internally, leased, or bought from another provider? Who has the ultimate responsibility/authority to make sure the software remains current to laws, regulations, City needs, etc.? How often is the system upgraded?	
3. Describe any limitations on media formats with which your system can interface.	
4. Describe any limitations on your system’s capacity to retain historical plan data.	
5. Describe any limitation on forms of benefit distributions that can be calculated on your system.	
6. Please indicate any process, functions or plan features included in this RFP that your system cannot accommodate, including multiple source payroll feeds and frequencies.	
7. Please describe your system’s process for QDROs, death audits, and missing participants	
8. How often is your technology upgraded? Briefly describe the last upgrade.	
9. How will data be protected, both at rest and in transit?	
10. What authentication technology will be used, and how will the City data be protected by it?	
11. Can your solution make use of 2 Factor Authentication?	
12. Does the design include or depend on Application Service Providers, SaaS, IaaS, PaaS, or any other sort of services operated externally to the City? Please describe.	
13. What monitoring is provided to ensure the security and integrity of the system?	
14. Does your product consider Section 508 compliance issues?	

Question	Offerors Response
16. Provide details regarding corporate certifications, awards, and formal standards conformity. (For example, is the company ISO-9001 conforming, or have you adopted ISO-17799 or ISO-27001 for security practices?) 9. Provide additional details regarding community and formal standards that are adhered to by the product(s) being offered. For example, do you conform to WCAG for web accessibility, OWASP for application coding practices, or have you achieved an ISO 15408 EAL (Evaluation Assurance Level)?	
17. Describe how users authenticate themselves to your product. Identify supported technologies for integration with external, customer-operated, authentication services (e.g. LDAP, RADIUS, Active Directory with Kerberos, Active Directory with NTLMv2, SAML) and provide details of the interoperability requirements for each.	
18. If this is a browser-based application, tell us which browsers are tested and supported.	
19. Describe your processes for security vulnerability, event, and incident management.	
20. Describe your processes for security vulnerability, event, and incident management.	
21. Under what circumstances do you allow any third party to access customer data? Describe what type of data is provided under these circumstances.	
Section 2 – Questions for Software Housed on Firm’s Hardware (Cloud)	
1. Describe your operating system and capacity for networking with the City system and remote access by City/City Pension staff.	
2. Describe your documented disaster recovery plan, including where it is geographically located in relation to your ongoing operations. How often do you test your recovery system?	
3. Describe your maintenance and backup procedures including daily backups, retention timetable and off-site backup storage approach.	
4. What is your system operating time guarantee? Does this include any downtime due to scheduled outages or maintenance?	
Section 3 – Questions for Software Housed on City’s Hardware (On-premise)	
1. Please describe all requirements for the City hardware.	
2. Describe your software installation requirements and how you assess hardware compatibility.	

Question	Offerors Response
3. Describe how you test the integrity of the installation (i.e. absence of inadvertent intrusion into unintended processes or functions on City's system).	
4. Describe how you test for complete functionality after installation.	
5. Describe your program for updating and maintenance of software, including how you will update for plan changes or Pension Plan changes required by law.	
Section 4 – Implementation/Transition of New Pension Plan System	
1. Explain your implementation and transition process, including timeframe. Do you have a separate implementation team?	
2. What City involvement will be required during the transition and implementation process?	
3. Describe your training program for City/City Pension staff.	
4. Describe how historical data will be converted and any limits on such conversion.	
5. Describe the testing of the conversion of historical data.	
Section 5 – Reporting/Documentation	
1. Describe your proposed reporting format for confirming data transmittals and data anomalies.	
2. Describe your reporting of changes to data from both payroll transmittals and online changes.	
3. Describe your process and format for transmittal of annual information to the auditor, actuary and plan sponsor.	
4. Describe your reporting process to apprise management of system transactions such as benefit calculations, new employees added, retirements, terminations, deaths, changes in status, transfers, etc., as well as the volume of such transactions.	
Section 6 – City Interface	
1. Provide a description of how your system permits access by City Pension staff to view and update data, as well as to request estimated benefit calculations.	
2. Describe any system limitations to such interface.	
3. How does your system protect the security of data related to such interface?	
4. Does your system allow for Web access by plan participants for benefit estimates and retirement planning, should the City decide to expand offerings to include such service?	

Firm _____

RFP NO. _____
PAGE _____ of _____

EXHIBIT E, CONT'D

Question	Offerors Response
Section 7 – Security and Business Continuity	
1. Describe your firm's data security measures	
2. Describe your firm's disaster recovery plans	

Firm _____

RFP NO. _____
PAGE _____ of _____

EXHIBIT F

Others Considerations

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

Describe what differentiates your firm from other investment consulting firms?

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

Have any 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?

Has your firm or any advisor of your firm been found guilty of any violation or paid any fines because of violations of securities regulations or ERISA?

Is your firm bonded/insured? If so, to what amount?

.

COST PROPOSAL/FEE STRUCTURE- Please provide a fixed fee price and expenses, for each area of services outlined in the Scope of Services. Indicate the hours of effort you anticipate for each key member of the team along with their rate card, and any assumptions utilized for determining the fees. You must state any pertinent services that are not included in the scope of the fixed fee. Please include your Fee per hour for any other non-standard or additional services per request. The fee structure submitted should contemplate services for the initial three-year agreement term, price adjustments in applicable renewal periods will be subject to mutual written agreement of the parties but Firms are encouraged to propose price increase caps or extended price locks in their proposal. Additionally, please disclose all sources of income as applicable (Float, commissions, etc.).

City of Shreveport Plans Support Scope of Services & Cost Proposal	Fixed fee	Expenses	Total fee & expenses	Total Rate Cap and/or Extended price lock	Describe services within the scope that are not included
General retirement plan consulting services, Compliance, Governance					
Administration system and support, Pension benefit calculation, Fulfillment					
Employee self-service site					
Retiree Administration					
TOTAL					

Special Request of the City (not in scope of services)

\$ _____ fixed rate per hour

ACKNOWLEDGEMENT

_____ (initial)

_____ (initial)

OFFERORS CERTIFICATIONS

Has a federal agency or a federally certified state or local agency performed any review of your accounts or records in connection with any grant or contract within any grant or contract within the past twelve months?

YES _____ NO _____ (IF YES GIVE NAME, ADDRESS, AND TELEPHONE NUMBER OF REVIEWING OFFICE.)

- 1.0 In compliance with this Request for Proposal, and subject to all conditions thereof, the undersigned agrees:
- 1.1 This proposal, as stated, is open for acceptance for a period of 120 calendar days from date of opening; and
- 1.2 To furnish all services, materials, and equipment necessary and incidental to perform the proposed project;
- 1.3 That this proposal is made without prior understanding, agreement, or connection with any corporation, firm, or person submitting a proposal for the same services, and is in all respects fair and without collusion or fraud. I agree to abide by all conditions of this proposal and certify that I am authorized to sign this proposal.
- 1.4 Acting on behalf of the Offeror, this is to attest that the undersigned is a duly authorized representative of the below captioned firm, corporation or business.
- 1.5 By signing this document, the Offeror understands and agrees that the identity of any Offeror or the contents of any proposal will not be public information until after the contract award is made.
- 1.6 If awarded a contract/purchase order, my company understands and agrees to provide the sub consultant information as listed in **GENERAL CONTRACT PROVISIONS (www.shreveportla.gov/bids/bids.htm)**, paragraph 16, **SUBCONTRACTOR TRACKING. I hereby certify that sub consultant(s) _____ (would/would not) be used.**
- 1.7 In accordance with the Fair Share Requirements of this RFP, the Offeror assures the City that he or she will meet or exceed the Fair Share goal, or if cannot meet the required goal, the Offeror will assure the City that he or she will document good faith efforts made toward meeting the goal requirement in accordance with the fair share requirements. Fair share goal for this project is 25%.

Signature Offerors Representative
authorized to enter into contract with
the City of Shreveport

Title

Company

Authorized Signature (typed/printed)

State Contractors License Number

Telephone

Fax Number

Emergency Number(s)

Date

Email Address

Offerors Federal Employer I.D. Number

FROM: _____

*License # _____
*State Contractors License Number or Insert EXEMPTION, IF NOT REQUIRED.

PLEASE RUSH TO:

CITY OF SHREVEPORT
OFFICE OF THE PURCHASING AGENT
505 Travis Street, Suite 610
SHREVEPORT, LOUISIANA 71101-3042

SEALED PROPOSAL FOR:

RFP Number: 20-816 _____

Project Name: _____

Opening Date/Time: _____

Attention: Use this format on the outside of your container when responding with a paper proposal.
We do not accept faxed responses for formal solicitations! Revised 12-15-11

EXHIBIT H

City of Shreveport
COMPLIANCE AGREEMENT-FSC FORM 1

RFP# 20-816 (Revised 9-10-07)

By signing this document, the bidder hereby certifies, understands, and affirms that:

- 1.0 It has not discriminated against any FSC, S/DBE, or DBE firms in awarding subcontracts for this project.
- 2.0 The good faith efforts requirements are contractual obligations that must be fulfilled whether or not listed on these forms.
- 3.0 **The apparent lowest construction/service provider bidder shall be required to complete/submit Fair Share Forms 1 through 4 within 72 hours after notification. If additional information is needed, it must be turned in within 24 hours or the bid will be declared as non-responsive when additional time is not approved by the Fair Share office.**
- 4.0 Failure to provide information may result in a loss of the bidder's bid bond.
- 5.0 Replacement of a subcontractor during contract performance without: a) obtaining the prior written consent of the DBE Compliance Manager and/or the Fair Share Office and the originating department; and b) subsequent good faith efforts in selection of a replacement; is prohibited and a breach of contract. **See UTILIZATION/CONTRACT TRACKING-FSC FORM 2 AS REQUIRED FOR ALL SUBS/SUB of SUBS.**
- 6.0 Consideration was given to waiving bonding requirements for FSC, S/DBE, or DBE subcontractors.

And, Executes this Compliance Agreement as:

Company Name: _____

Address: _____

Phone Number: _____ Fax Number: _____

By: _____

Signature of Authorized Owner or Representative

Title

Date

Print Name: _____

APPENDIX 1, Form 2

**City of Shreveport
UTILIZATION/CONTRACT TRACKING-FSC FORM 2**

This multipurpose form is used to list all types of subs and changes to their status for Fair Share and Contract Tracking Reporting. (Revised 8-30-07)

1. RFP # _____ 2. Project Name _____
 3. Prime Contractor _____ 4. Bid Amount of Total Project (\$) _____
 5. Prime Contractor's Federal Tax ID # _____ Change Order? Yes or No C/O # _____

List all Subcontractors (copy as needed)	Status – Circle all that apply	Type of work to be performed	Subcontracted Amount \$ + or (--)
Federal I.D. # _____ Company _____ Name _____ Address _____ Phone # _____ Fax _____ E-Mail _____ State Class/License # _____	AEC, DBE, FSC, LBE, MBE, SBE, WBE		
Federal I.D. # _____ Company _____ Name _____ Address _____ Phone # _____ Fax _____ E-Mail _____ State Class/License # _____	AEC, DBE, FSC, LBE, MBE, SBE, WBE		
Federal I.D. # _____ Company _____ Name _____ Address _____ Phone # _____ Fax _____ E-Mail _____ State Class/License # _____	AEC, DBE, FSC, LBE, MBE, SBE, WBE		
Federal I.D. # _____ Company _____ Name _____ Address _____ Phone # _____ Fax _____ E-Mail _____ State Class/License # _____	AEC, DBE, FSC, LBE, MBE, SBE, WBE		

Prime Contractor's Signature _____ Date: _____ Phone: _____

Project Mgr. Signature: _____ Date: _____ Fair Share Office Approval: _____ Date: _____

City of Shreveport

PROJECT CONTACT SHEET-FSC FORM 3

(Revised 8-30-07)

Name of Project: _____ Bid Number: _____

Bidder's Name: _____

Bidders should record their contacts with potential FSC or DBE subcontractors through use of this log. Additional forms may be copied if needed.

Name of Subcontractor	Type of Contact(s)	Date & Time of Contact	Person making/receiving call or other communications	Contact made? Yes/No	Quote received Amount (\$)	Quote accepted Or rejected?	Comments

APPENDIX 1, Form 4



Bid # _____ PROJECT# _____ FSC FORM 4

Fair Share / Disadvantaged Business Enterprise Compliance Management

LETTER OF INTENT TO PERFORM AS A PRIME CONTRACTOR AND UTILIZE A SUBCONTRACTOR/SUBCONSULTANT

[NOTE: Pursuant to the City of Shreveport's Fair Share Program for Equal Business Opportunity, established by Ordinance No. 105, 1999, 7-27-99, DBE firms participating in the Program must have current certification status prior to award of a contract where they are counted towards subcontracting participation. If the City of Shreveport determines that a firm is not an eligible DBE firm, that firm is advised to immediately submit a completed certification application to the State of Louisiana, Department of Transportation and Development, LAUCP Section, P.O. Box 94245, Baton Rouge, LA 70804-9245 for consideration on subsequent projects.

- 1. Name of Project _____
2. Name of offeror/prime contractor _____
3. The undersigned is prepared to perform the following described work and/or supply the material listed in connection with the above project (where applicable specify "supply", "install" or "perform particular services"):

_____ at the price of \$ _____

(Name of DBE/FSC Firm) (Date)

Circle one (Owner/Authorized Agent of DBE/FSC firm) Type or Print Name (Signature of Owner or Authorized Agent of DBE /FSC Firm)

(Phone Number) (Fax Number)

AFFIDAVIT OF PRIME CONTRACTOR

I HEREBY DECLARE AND AFFIRM that I, _____ am the duly authorized representative of (Circle one-Owner/Authorized Agent)

_____ and that I have personally reviewed the material and Name of Prime Contractor

facts set forth in this Letter of Intent to Perform. To the best of my knowledge, information, and belief, the facts in this form are true, and no material facts have been omitted.

Pursuant to the City of Shreveport Ordinance, No. 105, 1999, 7-27-99, Sec. 2-414, Intentional failure by a contractor or service provider to include these designated businesses could constitute breach of contract and result in remedial action. Further, any person [entity] who makes a false or fraudulent statement in connection with participation of a DBE or FSC in any City of Shreveport contract may be referred for debarment procedures from subsequent contracts with the City of Shreveport.

I do solemnly swear or affirm that the signatures contained herein and the information provided by the Prime Contractor are true and correct, and that I am authorized on behalf of the Prime Contractor to make this affidavit.

Circle One (Owner/ Authorized Agent) Type or Print Name

(Name of Prime Contractor company/firm -Print or Type)

(Signature of Owner or Authorized Agent)

(Date)

(Phone Number)

(Fax Number) (Revised 8-30-07)



AFFIDAVIT

ATTESTING THAT ENTITY OR PERSON DOES NOT OWN ADJUDICATED OR LIEN PROPERTY AND DOES NOT OWE OUTSTANDING DEBT TO CITY

** This affidavit is submitted to document compliance with Shreveport City Code 26-211. **

BEFORE ME, the undersigned Notary Public duly qualified and commissioned, came and appeared

_____ authorized representative of:

_____ with a Federal Tax Identification Number (EIN) of:

_____ and with a current email address of:

_____ who does hereby state as follows, to-wit:

- 1 Business Entity or Person does not own any property which is adjudicated to the City of Shreveport, Louisiana or which has demolition liens, grass cutting liens, or any other Property Standards liens on it. For purposes of this subsection, the term "own" shall mean to be the last record owner of the property prior to a tax sale or adjudication.
2 Business Entity or Person does not own more than twenty-five percent (25%) of a legal entity that owns any property which is adjudicated to the City or which has demolition liens, grass cutting liens, or any other Property Standards liens on it.
3 Business Entity or Person has paid all taxes, licenses, fees, fines and other charges which are outstanding and due to the City. E.g. false alarm fees, property standard fines, over-due water bills.
4 Business Entity or Person will provide written notification to the City's Purchasing Agent no later than the next work day after any of the above statements becomes invalid.
5 Upon request of the Purchasing Agent the City reserves the right to require a newly dated/issued Affidavit.

BY: _____
Printed Name: _____
Title: _____

SWORN TO AND SUBSCRIBED BEFORE ME, this ____ day of _____, 20____.

Notary Public

Notary Identification Number or LA Bar Roll Number

Mail original affidavit via U.S. mail to: Purchasing Division P.O. Box 31109 | Shreveport, LA 71130
OR Deliver via other carrier or hand-delivery to: Purchasing Division 505 Travis St., Suite 610 | Shreveport, LA 71101
Affidavit must be on file in the Purchasing Office before a contract, purchase order or check is issued.

APPENDIX 3

City of Shreveport
FELONY CONVICTION STATEMENT

This document should be furnished with your proposal. Failure to submit at the specified time may result in the proposal being declared as non-responsive.

RFP Number: _____

By signing this document in accordance with La. R.S. 38:2227, the appearer, as a proposer on the above project, does hereby attest that:

- 1.0 No sole proprietor or individual partner, incorporator, director, manager, officer, organizer, or member who has a minimum of a ten percent (10%) ownership in the bidding entity named below has been convicted of, or has entered a plea of guilty or nolo contendere to any of the following state crimes or equivalent federal crimes:
 - 1.1 Public bribery (R.S. 14:118)
 - 1.2 Extortion (R.S. 14:66)
 - 1.3 Corrupt influencing (R.S. 14:120)
 - 1.4 Money laundering (R.S. 14:23)
- 2.0 Within the past five years from the project proposal date, no sole proprietor or individual partner, incorporator, director, manager, officer, organizer, or member who has a minimum of a ten percent (10%) ownership in the proposing entity named below has been convicted of, or has entered a plea of guilty or nolo contendere to any of the following state crimes or equivalent federal crimes, during the solicitation or execution of a contract or proposal awarded pursuant to the provisions of Chapter 10 of Title 38 of the Louisiana Revised Statutes:
 - 2.1 Theft (R.S. 14:67)
 - 2.2 Identity Theft (R.S. 14:67.16)
 - 2.3 Theft of a business record (R.S.14:67.20)
 - 2.4 False accounting (R.S. 14:70)
 - 2.5 Issuing worthless checks (R.S. 14:71)
 - 2.6 Bank fraud (R.S. 14:71.1)
 - 2.7 Forgery (R.S. 14:72)
 - 2.8 Contractors; misapplication of payments (R.S. 14:202)
 - 2.9 Malfeasance in office (R.S. 14:134)

If evidence is submitted substantiating that a false attestation has been made and the project must be re-advertised or the contract cancelled, the awarded entity making the false attestation shall be responsible to the public entity for the cost of rebidding, additional costs due to increased cost of proposal and any and all delay costs due to the re-advertisement or cancellation of the contract.

And, executes this document as:

Company Name: _____

Address: _____

Phone Number: _____ FAX Number: _____

By: _____
Signature of Authorized Owner or Representative Title Date

Print Name: _____ Email Address: _____

Fax to: 318-673-5408

OR Email to: renee.anderson@shreveportla.gov (12-05-17)