



Dear Prospective Vendors:

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

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

**BID NUMBER: RFP 27-002**

**EFFECTIVE DATES: 2025-2026 SCHOOL YEAR**

Sealed bids will be received no later than **2:00 PM, Tuesday, January 27, 2026**. Bids must be plainly marked on the outside of envelope **SEALED PROPOSAL: Proposal for Third Party Administrator Services (TPA) 403(b) and Roth 403(b) Plans**. Business Office, STISD, 7001 E. Expressway 83, Mercedes, Texas, 78570 or delivered to the STISD Business Office, at the same address. **Bids must be made on the enclosed bid document. Faxed or emailed bids will not be accepted.**

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

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

All contracts will be made through STISD Purchase Orders.

Proposals received without proper signature will not be accepted.

Your proposal will be appreciated.

Sincerely,

Marla Knaub,  
Assistant Superintendent for Finance & Operations



*Always Innovating*

**South  
Texas ISD**

**RIO GRANDE VALLEY | GRADES 6-12**

7001 E. EXPRESSWAY 83, MERCEDES, TX 78570

P: 956.565.2454

[STISD.NET](http://STISD.NET)

## **TIMELINE FOR SOLICITATION PROCESS**

**December 20, 2025** – Bid Posted

**December 22, 2025 – January 9, 2026** - Winter Break: Office Closed, Staff resumes January 12, 2026.

**January 19, 2026** – Last day for question submission 5:00pm

**January 27, 2026** – Bid Due

**MARCO ANTONIO LARA, JR., ED.D.**  
Superintendent

**MARLA R. KNAUB**  
Assistant Superintendent for Finance & Operations

**EFRAIN GARZA**  
Deputy Superintendent

**LISSA FRAUSTO, MBA, SPHR**  
Assistant Superintendent for Human Resources

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**ACKNOWLEDGEMENT OF RECEIPT**

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

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

**REYNALDO.CANTU@STISD.NET  
SOUTH TEXAS ISD  
BUSINESS DEPARTMENT  
7001 E. Expressway 83, MERCEDES, TX 78570  
Phone (956) 565-2454, Fax (956) 565-4639**

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

Name of Firm: \_\_\_\_\_

Address: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

E-Mail \_\_\_\_\_

Name: (Print): \_\_\_\_\_

Title: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

\_\_\_\_\_ Yes, our company does have an interest in responding.

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

## **IMPLEMENTATION SCHEDULE**

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

<b><u>Activity</u></b>	<b><u>Dates</u></b>
Advertise proposals	December 20, 2025 January 3, 2026
Distribute RFP's to firms	December 20, 2025
Issuance of addenda	To be determined
Receive/open proposals	January 27, 2026

## **SCOPE OF SERVICE**

1. The successful proposer will be responsible for administering the 403(b), and Roth 403(b) programs. The Administrator must be an unbiased firm that is not involved in the sale of mutual funds, insurance-style annuity wraps or life insurance products. The Administrator must have no revenue sharing agreements or arrangements of any kind whatsoever with South Texas ISD vendors participating in 403(b) and Roth 403(b) programs. The Administrator must be able to consolidate information from all vendors in order to ensure contribution and reporting compliance.
2. This proposal addresses the 403(b) and Roth 403(b) Administrative Services only.
3. The current arrangement is for a two year contract after that:
  - 1) The contract will renew on an annual basis. Changes to the contract or termination must be in writing with 90 days advance notice prior to contract termination date by either party.
4. South Texas ISD will review all proposals and recommend the most advantageous plan meeting the specific criteria detailed herein. South Texas ISD's goal is to award the contract for the Administrative Services with an effective date of Decemeber 1, 2025 or after board approval. All pricing must be firm with no additional information required. South Texas ISD reserves the sole discretion to cancel this proposal, to reject any or all proposals or any part thereof received prior to contract award, or to waive any formalities
5. The South Texas ISD 403(b) and Roth 403(b) programs are required to comply, with state and federal regulations. The District is seeking to contract with a Third Party Administrator (TPA) for 403(b) and Roth 403(b) programs plan administrative services. The Third Party Administrator selected will provide comprehensive recordkeeping services to the district which will include the development of a 403(b) and Roth 403(b) written plan, screen product providers to comply with Texas laws on 403(b) and Roth 403(b), evaluate all provider contract information sharing agreements for compliance with 403(b) and Roth 403(b) rules, and perform all of the services necessary to maintain a tax compliant plan under IRS Code for 403(b) and Roth 403(b).
6. Successful proposer shall provide at least the following services:

### **Section 403 (b)**

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

- Instruct staff/personnel on administrative responsibilities.

### Section 403 (b) Continues

- Assure compliance with 403(b) and Roth 403(b) governmental rules and regulations and TRS Certification rules.
  - [Reporting](#) - [provide detailed consolidated quarterly reports on all contributions.](#)
  - [Prepare 403\(b\) Written Plan Document.](#)
  - [Keep Written Plan in compliance with all IRS guidelines.](#)
  - [Prepare and Distribute Information Sharing Agreements/Preferred Provider Agreements.](#)
  - [Assist Employer in complying with Universal Availability.](#)
  - [Monitor TRS certification of Preferred Providers and Products.](#)
  - [Act as](#) South Texas ISD's [liaison with Preferred Providers.](#)
  - [Act as](#) South Texas ISD's [liaison with IRS in the event of an audit.](#)
  - [Provide Representation in the event of an IRS audit.](#)
  - [Hold](#) South Texas ISD [Harmless.](#)
  - [Assume responsibility of approving/denying hardship withdrawals.](#)
  - [Notify Employer to cease employee contributions upon approval of hardship withdrawal.](#)
  - [Notify Employer to stop all 403\(b\) contributions if employee defaults on a loan.](#)
  - [Guarantee a two-business day turnaround of funds and data.](#)
  - Plus any other services required to service the Plan.
7. [The successful proposer must also provide a web-based platform that will allow the employees to access plan information. The successful proposer must provide a method to retain the TRS Disclosure form. This platform must provide periodic reports \(at least quarterly\), to the District's Employee Benefits Manager.](#)
8. ADDENDA TO RFP. South Texas ISD reserves the right to revise and amend the specifications prior to the date set for the opening. Respondents are requested to clarify any ambiguity, conflict, discrepancy, omission or other error(s) in the RFP in writing and request modification or clarification desired. Revisions or amendments, if any, will be made by issuing an addendum. Every effort will be made to send addenda issued to the parties who have completed and sent back to South Texas ISD the Acknowledgement Receipt form.
9. **All questions must be received in writing by Marla Knaub via e-mail: [marla.knaub@stisd.net](mailto:marla.knaub@stisd.net) "cc" [reynaldo.cantu@stisd.net](mailto:reynaldo.cantu@stisd.net), no later than 12:00 pm, Novem, October 28, 2025. No addenda will be issued later than Monday, November 3, 2025, except an addendum withdrawing the proposal or postponing the opening of the proposal. It is the responsibility of each Proposer, prior to submitting the proposal, to contact the Purchasing Department to determine if addenda were issued and, if so, to obtain such addenda for attachment to the Proposal. Addenda may also be obtained from the website at [www.stisd.net](http://www.stisd.net).**

## **SPECIFIC REQUIREMENTS**

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

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

## **CHECKLIST OF 403(b) PLAN FEATURES**

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

## **PLAN ADMINISTRATION, EDUCATION AND CUSTOMER SERVICE**

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

## **ELIGIBILITY, BILLING, PAYMENT AND RECONCILIATION**

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

## **PLAN PERFORMANCE, MONITORING AND RENEWAL**

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

## **INFORMATION REQUESTED**

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

3. Please provide a copy of your Third Party Administrator license.

4. Implementation Timetable and Materials

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

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

**EVALUATION FACTORS**

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

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

## **REFERENCES**

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

### **CURRENT CLIENT REFERENCE**

#### Current Client Reference 1

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

#### Current Client Reference 2

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

#### Current Client Reference 3

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

**FORMER CLIENT REFERENCES**

Former Client Reference 1

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

Former Client Reference 2

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

Former Client Reference 3

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

## **AGENT / BROKER/ TPA REQUIREMENTS**

1. Company must be licensed in the state of Texas and maintain a good relationship with school districts in the state of Texas.
2. Company must be licensed as a third party administrator in the state of Texas and maintain a good working relationship with school districts in the state of Texas.
3. Company must provide all administrative services including, but not limited to 403(b) and Roth 403(b) and consolidated billing services.
4. The effective date of the new contract(s) will be January 1, 2026.
5. The selected company or companies will be responsible for providing all enrollment materials.
6. Company must provide customer service representatives that are easily accessible.
7. Company will provide a toll-free telephone line and internet access for customer service.
8. Bilingual representatives will be available during enrollment periods and during normal working hours.
9. Company will report any recommendations concerning possible improvements or changes in approved products to administrators and staff.
10. Company will process and deliver all new and existing payroll deductions with the insurance companies for payroll deducted insurance products.
11. Company will provide South Texas ISD with a spreadsheet of deductions in a format that is compatible with the payroll software.
12. Company will act as a liaison for plan operations to assist with the resolution of employee and administrative problems as they arise.
13. Company will provide an online enrollment system that is capable of transferring enrollment data to selected carriers and payroll systems.
14. Company will provide the South Texas ISD with all needed forms to facilitate plan operations and compliance.
15. Company will provide up to date information and ongoing education to South Texas ISD on the insurance products and how best to use the selected products. The company will make it a goal for every employee to understand and know how to utilize benefits.

## **GENERAL QUESTIONNAIRE**

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

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

## **ORGANIZATION AND HISTORY**

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

## **COMMUNICATION AND EDUCATION**

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

## **IMPLEMENTATION**

1. Will an implementation manager and support team be assigned to lead and coordinate the implementation activities with South Texas ISD?
2. What minimum amount of notice would you require to be able to implement administration by January 1, 2026?

## **FEES AND EXPENSES**

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

## **REPORTING**

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

## **PRICES AND FEES**

1. How are your fees established?
2. Are you paid any commissions or fees from the vendors? If so, how are vendor fee agreements handled?
3. South Texas ISD has:
  1. 650 Employees
  2. 165 Employees participate in 403(b) contracts
  3. 3 Employees participate in Roth 403(b)
  4. Deals with 14 - 403(b) companies. Based on your pricing structure what would be the first year cost and cost of subsequent years assuming no changes.

## **EXECUTION OF OFFER**

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

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

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

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

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

Payee Identification Number (PIN): \_\_\_\_\_

Sole Owner should also enter social security No.: \_\_\_\_\_

Respondent/Company: \_\_\_\_\_

Signature: \_\_\_\_\_

Name (Typed/Printed): \_\_\_\_\_

Title: \_\_\_\_\_

Street: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_

Telephone No.: \_\_\_\_\_

Fax No.: \_\_\_\_\_

**FELONY CONVICTION NOTICE FORM**

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

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

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

**THIS NOTICE IS NOT REQUIRED OF A PUBLICLY-HELD CORPORATION**

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

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

VENDOR’S NAME: \_\_\_\_\_

AUTHORIZED COMPANY OFFICIAL’S NAME (PRINTED): \_\_\_\_\_

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

SIGNATURE OF COMPANY OFFICIAL \_\_\_\_\_

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

SIGNATURE OF COMPANY OFFICIAL \_\_\_\_\_

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

Name of Felon(s) \_\_\_\_\_

Details of Conviction(s)  
\_\_\_\_\_  
\_\_\_\_\_

SIGNATURE OF COMPANY OFFICIAL \_\_\_\_\_

## Request for Taxpayer Identification Number and Certification

Go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9) for instructions and the latest information.

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

**Before you begin.** For guidance related to the purpose of Form W-9, see *Purpose of Form*, below.

<b>Print or type.</b> <i>See Specific Instructions on page 3.</i>	<b>1</b>	Name of entity/individual. An entry is required. (For a sole proprietor or disregarded entity, enter the owner's name on line 1, and enter the business/disregarded entity's name on line 2.)	
	<b>2</b>	Business name/disregarded entity name, if different from above.	
	<b>3a</b>	Check the appropriate box for federal tax classification of the entity/individual whose name is entered on line 1. Check only <b>one</b> of the following seven boxes.  <input type="checkbox"/> Individual/sole proprietor <input type="checkbox"/> C corporation <input type="checkbox"/> S corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> LLC. Enter the tax classification (C = C corporation, S = S corporation, P = Partnership) _____ <b>Note:</b> Check the "LLC" box above and, in the entry space, enter the appropriate code (C, S, or P) for the tax classification of the LLC, unless it is a disregarded entity. A disregarded entity should instead check the appropriate box for the tax classification of its owner. <input type="checkbox"/> Other (see instructions) _____	
	<b>3b</b>	If on line 3a you checked "Partnership" or "Trust/estate," or checked "LLC" and entered "P" as its tax classification, and you are providing this form to a partnership, trust, or estate in which you have an ownership interest, check this box if you have any foreign partners, owners, or beneficiaries. See instructions _____ <input type="checkbox"/>	
	<b>4</b>	Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):  Exempt payee code (if any) _____  Exemption from Foreign Account Tax Compliance Act (FATCA) reporting code (if any) _____  <i>(Applies to accounts maintained outside the United States.)</i>	
	<b>5</b>	Address (number, street, and apt. or suite no.). See instructions.	Requester's name and address (optional)
	<b>6</b>	City, state, and ZIP code	
<b>7</b>	List account number(s) here (optional)		

### Part I Taxpayer Identification Number (TIN)

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

<b>Social security number</b>								
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-	-	-	-					
<b>OR</b>								
<b>Employer identification number</b>								
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> <td style="width: 25%; border: 1px solid black; height: 20px;"></td> </tr> <tr> <td style="text-align: center;">-</td> <td style="text-align: center;">-</td> <td style="text-align: center;">-</td> <td style="text-align: center;">-</td> </tr> </table>					-	-	-	-
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**Note:** If the account is in more than one name, see the instructions for line 1. See also *What Name and Number To Give the Requester* for guidelines on whose number to enter.

### Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

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

<b>Sign Here</b>	Signature of U.S. person	Date
------------------	--------------------------	------

### General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

**Future developments.** For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9).

### What's New

Line 3a has been modified to clarify how a disregarded entity completes this line. An LLC that is a disregarded entity should check the appropriate box for the tax classification of its owner. Otherwise, it should check the "LLC" box and enter its appropriate tax classification.

New line 3b has been added to this form. A flow-through entity is required to complete this line to indicate that it has direct or indirect foreign partners, owners, or beneficiaries when it provides the Form W-9 to another flow-through entity in which it has an ownership interest. This change is intended to provide a flow-through entity with information regarding the status of its indirect foreign partners, owners, or beneficiaries, so that it can satisfy any applicable reporting requirements. For example, a partnership that has any indirect foreign partners may be required to complete Schedules K-2 and K-3. See the Partnership Instructions for Schedules K-2 and K-3 (Form 1065).

### Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS is giving you this form because they

**CONFLICT OF INTEREST QUESTIONNAIRE**  
**For vendor doing business with local governmental entity**

**FORM CIQ**

This questionnaire reflects changes made to the law by H.B. 23, 84th Leg., Regular Session.

This questionnaire is being filed in accordance with Chapter 176, Local Government Code, by a vendor who has a business relationship as defined by Section 176.001(1-a) with a local governmental entity and the vendor meets requirements under Section 176.006(a).

By law this questionnaire must be filed with the records administrator of the local governmental entity not later than the 7th business day after the date the vendor becomes aware of facts that require the statement to be filed. See Section 176.006(a-1), Local Government Code.

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

**OFFICE USE ONLY**

Date Received

**1** Name of vendor who has a business relationship with local governmental entity.

**2**  Check this box if you are filing an update to a previously filed questionnaire. (The law requires that you file an updated completed questionnaire with the appropriate filing authority not later than the 7th business day after the date on which you became aware that the originally filed questionnaire was incomplete or inaccurate.)

**3** Name of local government officer about whom the information is being disclosed.

\_\_\_\_\_  
 Name of Officer

**4** Describe each employment or other business relationship with the local government officer, or a family member of the officer, as described by Section 176.003(a)(2)(A). Also describe any family relationship with the local government officer. Complete subparts A and B for each employment or business relationship described. Attach additional pages to this Form CIQ as necessary.

A. Is the local government officer or a family member of the officer receiving or likely to receive taxable income, other than investment income, from the vendor?

Yes       No

B. Is the vendor receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer or a family member of the officer AND the taxable income is not received from the local governmental entity?

Yes       No

**5** Describe each employment or business relationship that the vendor named in Section 1 maintains with a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership interest of one percent or more.

**6**  Check this box if the vendor has given the local government officer or a family member of the officer one or more gifts as described in Section 176.003(a)(2)(B), excluding gifts described in Section 176.003(a-1).

**7** \_\_\_\_\_  
 Signature of vendor doing business with the governmental entity

\_\_\_\_\_  
 Date

**SOUTH TEXAS INDEPENDENT SCHOOL DISTRICT  
NON-COLLUSION STATEMENT**

The undersigned Proposer, by signing and executing this proposal, certifies and represents to the South Texas Independent School District that Proposer has not offered, conferred or agreed to confer any pecuniary benefit, as defined by Section 1.07 (a)(6) of the Texas Penal Code, or any other thing of value, as consideration for the receipt of information or any special treatment or advantage relating to this proposal;

the Proposer also certifies and represents that Proposer has not offered, conferred or agreed to confer any pecuniary benefit or other things of value as consideration for the recipient's decision, opinion, recommendation, vote or other exercise of discretion concerning this proposal;

the Proposer certifies and represents that Proposer has neither coerced nor attempted to influence the exercise of discretion by any officer, trustee, agent or employee of the South Texas School District concerning this proposal on the basis of any consideration not authorized by law;

The Proposer also certifies and represents that Proposer has not received any information not available to other proposers to give the undersigned an advantage with respect to this proposal;

the Proposer further certifies and represents that Proposer has not violated any state, federal or local law, regulation or ordinance relating to bribery, improper influence, collusion or the like and that Proposer will not in the future, offer, confer, or agree to confer any pecuniary benefit or other thing of value of any officer, trustee, agent or employee of the South Texas Independent School District in return for the person having exercised the person's official discretion, power or duty with respect to this proposal;

the Proposer certifies and represents that it has not now and will not in the future offer, confer, or agree to confer a pecuniary benefit or other thing of value to any office, trustee, agent or employee of the South Texas Independent School District in connection with information regarding this proposal, the submission of this proposal, the award of this proposal or the performance, delivery or sale pursuant to this proposal;

the Proposer certifies that the Proposer has not prepared this proposal and will not prepare any future proposals arising from this Request for Proposal (RFP) in collusion with any other respondent, and that the content of any future proposals arising out of this RFP will not be communicated by the undersigned nor by any employee or agent to any other person engaged in this type of business prior to the District's selection of a contractor for this RFP.

\_\_\_\_\_  
FIRM NAME

\_\_\_\_\_  
ADDRESS

\_\_\_\_\_  
CITY/STATE/ZIP

\_\_\_\_\_  
TYPED NAME OF REPRESENTATIVE(S)

\_\_\_\_\_  
SIGNATURE OF REPRESENTATIVE(S)

\_\_\_\_\_  
DATE

**SUSPENSION OR DEBARMENT CERTIFICATE**

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

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

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

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

\_\_\_\_\_  
FIRM NAME

\_\_\_\_\_  
ADDRESS

\_\_\_\_\_  
CITY/STATE/ZIP

\_\_\_\_\_  
TYPED NAME OF REPRESENTATIVE(S)

\_\_\_\_\_  
SIGNATURE OF REPRESENTATIVE(S)

\_\_\_\_\_  
DATE

# SOUTH TEXAS INDEPENDENT SCHOOL DISTRICT CERTIFICATE OF INTERESTED PARTIES – FORM 1295

## Definitions and Instructions for Completing Form 1295

South Texas ISD is required to comply with House Bill 1295, which amended the Texas Government Code by adding Section 2252.908, Disclosure of Interested Parties. Section 2252.908 prohibits South Texas ISD from entering into a contract resulting from this RFP with a business entity unless the business entity submits a Disclosure of Interested Parties – Form 1295 to South Texas ISD at the time the business entity submits the signed contract. The Texas Ethics Commission has adopted rules requiring the business entity to file Form 1295 electronically with the Texas Ethics Commission.

**As a “business entity,” all vendors must electronically complete, print, sign, notarize and submit Form 1295 with their proposals or contracts even if no interested parties exist.**

Proposers must file Certificate of Interested Parties – Form 1295 with the Texas Ethics Commission using the following online application: [https://www.ethics.state.tx.us/whatsnew/elf\\_info\\_form1295.htm](https://www.ethics.state.tx.us/whatsnew/elf_info_form1295.htm)

- Proposers must use the filing application on the Texas Ethics Commission’s website (see link above) to enter the required information on Form 1295.
- Proposers must print a copy of the completed form, which will include a certification of filing containing a unique certification number.
- The Form 1295 must be printed and then signed by an authorized agent of the business entity, and the form must be notarized.
- The completed Form 1295 with the certification of filing must be filed with South Texas ISD by including a copy of the completed/notarized form with the proposal response.
- South Texas ISD must acknowledge the receipt of the filed Form 1295 by notifying the Texas Ethics Commission of the receipt of the filed Form 1295 no later than the 30<sup>th</sup> day after the date the contract binds all parties to the contract.
- After South Texas ISD acknowledges the Form 1295, the Texas Ethics Commission will post the completed Form 1295 to its website within seven (7) business days after receiving notice from South Texas ISD.

### Instructions to Vendors:

1. Read these instructions,
2. Go to the Ethics Commission Website [https://www.ethics.state.tx.us/whatsnew/elf\\_info\\_form1295.htm](https://www.ethics.state.tx.us/whatsnew/elf_info_form1295.htm)
3. Register and complete Form 1295 online -include the proposal number and the contract/RFP name,
4. Print a copy of the submitted Form 1295 and have it notarized -it will have a certification # in the top right corner,
5. Include a copy of the completed, signed and notarized Form 1295 with the proposal response.

### Definitions:

- **Contract** means a contract between South Texas ISD and/or its cooperative members and a business entity at the time it is voted on by the South Texas ISD Board of Directors or at the time it binds South Texas ISD, whichever is earlier, and includes an amended, extended, or renewed contract.
- **Business Entity** includes an entity through which business is conducted with South Texas ISD and/or its cooperative members, regardless of whether the entity is a for-profit or nonprofit entity. The term does not include a governmental entity or State agency.
- **Controlling Interest** means:
  - 1) an ownership interest or participating interest in a business entity by virtue of units, percentage, shares, stock, or otherwise that exceeds ten percent (10%);
  - 2) membership on the board of directors or other governing body of a business entity of which the board or other governing body is composed of not more than ten (10) members; or
  - 3) service as an officer of a business entity that has four (4) or fewer officers, or service as one of the four (4) officers most highly compensated by a business entity that has more than four (4) officers. This section does not apply to an officer of a publicly held business entity or its wholly owned subsidiaries.
- **Interested Party:** a person who:
  - 1) has controlling interest in a business entity with whom South Texas ISD and/or its cooperative members contracts; or
  - 2) actively participates in facilitating the contract or negotiating the terms of the contract, including a broker, intermediary, adviser, or attorney for the business entity.
- **Intermediary:** a person who actively participates in the facilitation of the contract or negotiation the contract, including a broker, advisor, attorney, or representative of or agent for the business entity who:
  - 1) receives compensation from the business entity for the person’s participation;
  - 2) communicates directly with the governmental entity or state agency on behalf of the business entity regarding the contract; and
  - 3) is not an employee of the business entity.
- **Signed** includes any symbol executed or adopted by a person with present intention to authenticate a writing, including an electronic signature.
- **Value** of a contract is based on the amount of consideration received or to be received by the business entity from the South Texas ISD and/or its cooperative members under the contract.

### Resources:

#### Form 1295 Frequently Asked Questions:

- [https://www.ethics.state.tx.us/whatsnew/FAQ\\_Form1295.html](https://www.ethics.state.tx.us/whatsnew/FAQ_Form1295.html)

#### Instructional Video – First Time Business User:

- <https://www.ethics.state.tx.us/filinginfo/videos/Form1295/FirstLogin-Business/Form1295Login-Business.html>

#### Instructional Video – How to Create a Certificate:

- <https://www.ethics.state.tx.us/filinginfo/videos/Form1295/CreateCertificate/CreateCertificate.html>

**ACCEPTANCE FORM**

We \_\_\_\_\_ have reviewed all of the documents provided in connection with RFP 26-036 and agree to all terms, conditions, criteria and specifications set forth in any of the documents provided by South Texas ISD in connection with the Third Party Administrator Services RFP 26-036. Accordingly, we submit our response as requested. All costs involved in submitting this proposal to the South Texas Independent School District will be liable in full by the proposing firm.

\_\_\_\_\_  
FIRM NAME

\_\_\_\_\_  
ADDRESS

\_\_\_\_\_  
CITY/STATE/ZIP+4

\_\_\_\_\_  
TELEPHONE NUMBER

\_\_\_\_\_  
FAX NUMBER

\_\_\_\_\_  
AUTHORIZED SIGNATURE

\_\_\_\_\_  
PRINTED NAME

\_\_\_\_\_  
POSITION WITH COMPANY

\_\_\_\_\_  
SIGNATURE OF COMPANY OFFICIAL AUTHORIZING THIS PROPOSAL

\_\_\_\_\_  
COMPANY OFFICIAL (PRINT NAME)

\_\_\_\_\_  
OFFICIAL POSITION

## **HB 89 VERIFICATION FORM**

### Prohibition on Contracts with Companies Boycotting Israel

The 85<sup>th</sup> Texas Legislature approved new legislation, effective September 1, 2017, which amends Texas Local Government Code Section 1. Subtitle F, Title 10, Government Code by adding Chapter 2270 which states that a governmental entity may not enter into a contract with a company for good or services unless the contract contains a written verification from the company that it:

- 1.) Does not boycott Israel; and
- 2.) Will not boycott Israel during the term of the contract

Pursuant to Section 2270.001, Texas Government Code:

1. "Boycott Israel" means refusing to deal with, terminating business activities with, or otherwise taking any action that is intended to penalize, inflict economic harm on, or limit commercial relations specifically with Israel or in an Israeli-controlled territory, but does not include an action made for ordinary business purposes; and
2. "Company" means a for-profit sole proprietorship, organization, association, corporation, partnership, joint venture, limited partnership, limited liability partnership, or any limited liability company, including a wholly owned subsidiary, majority-owned subsidiary, parent company, or affiliate of those entities or business associations that exist to make a profit.

---

I, (authorized official) \_\_\_\_\_, do hereby depose and verify the truthfulness and accuracy of the contents of the statements submitted on this certification under the provisions of Subtitle, F, Title 10, Government Code Chapter 2270 and that the company named below:

- 1.) Does not boycott Israel; and
- 2.) Will not boycott Israel during the term of the contract; and
- 3.) Is not currently listed on the State of Texas Comptroller's Companies that Boycott Israel List located at <https://comptroller.texas.gov/purchasing/publications/divestment.php>

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Company Name

---

Signature of Authorized Official

---

Title of Authorized Official

---

Date

