



UNIVERSITY OF
CENTRAL
ARKANSAS™

PROCUREMENT OFFICE
201 Donaghey Avenue
Wingo Hall Ste. 113
Conway, Ar 72035

REQUEST FOR PROPOSAL RFP#UCA-25-024

Retirement Plan Consultant

**PROPOSALS MUST BE RECEIVED BEFORE:
9:00 A.M. CST on Thursday, October 10, 2024**

Proposal Delivery Address and Opening Location:

University of Central Arkansas
Procurement Department
201 Donaghey Ave. Ste. 113
Conway, AR 72035

PROPOSALS WILL BE ACCEPTED UNTIL THE TIME AND DATE SPECIFIED ABOVE. THE PROPOSAL ENVELOPE MUST BE SEALED AND SHOULD BE PROPERLY MARKED WITH THE PROPOSAL NUMBER, DATE, AND HOUR OF PROPOSAL OPENING AND COMPANY'S RETURN ADDRESS.

SECTION 1: UCA BACKGROUND

University of Central Arkansas History

The University of Central Arkansas was established as Arkansas State Normal School by the General Assembly of Arkansas in 1907, with statewide responsibility for preparing citizens to teach Arkansas children. Summer sessions were started in 1910.

The name of the institution was changed to Arkansas State Teachers College in 1925. By legislative enactment, the Board of Trustees was given authority to grant appropriate degrees. In January 1967, the name of the institution was again changed by the State legislature to the State College of Arkansas, expanding its statewide role to a multipurpose institution. On January 21, 1975, the governor of Arkansas signed a bill granting university status to the institution and naming it the University of Central Arkansas.

The first diploma granted by Arkansas State Normal School was the Licentiate of Instruction, and in 1922 the first baccalaureate degrees were granted. Today the university's comprehensive undergraduate curriculum comprises more than 70 major programs and nine different degrees. A program of study leading to the Master of Science in Education degree was inaugurated in 1955, and the Educational Specialist degree was begun in 1980. Since that time, UCA has developed a variety of high-quality offerings in graduate studies, with more than 30 graduate program options and 10 different graduate degrees, including doctoral programs in physical therapy and school psychology. Extension classes were first offered through Correspondence Study courses in 1919-1920 and Study Clubs in 1920-1921. Academic outreach, including extended-learning opportunities for undergraduate and graduate credit and in non-credit courses, continues to play an important role in fulfilling the university's twenty-first century mission.

The changing character of the institution was recognized in 1925 with the change in its name to Arkansas State Teachers College. Marked changes have continued as the institution assumed responsibility for liberal arts and education and increased its specialized programs. Its name was changed in 1967 to State College of Arkansas and in 1975 to the University of Central Arkansas.

Board of Trustees

The University is governed by the Board of Trustees composed of seven members. Each member is appointed by the Governor of Arkansas for a seven-year term. Terms of office are staggered, with one member completing a term each year.

Academic Programs

At present, the University consists of seven colleges - the College of Business, the College of Education, the College of Arts, Humanities, and Social Sciences, the College of Health and Behavioral Sciences, the College of Natural Sciences and Mathematics, the Scheduler's Honor College and the graduate school. Each college has within it a number of departments. Offerings for most departments extend from freshman level to graduate level courses.

Students of the University may select a plan of study leading to one of the eight baccalaureate degrees conferred by the University: Bachelor of Arts, Bachelor of Business Administration, Bachelor of Music, Bachelor of Science, Bachelor of Science in Nursing, Bachelor of Fine Arts, Bachelor of Professional Studies, and Bachelor of Science in Education. The University confers ten masters and three doctoral degrees.

Employees

There are approximately 1,400 benefit eligible employees within the system. New employees are required to participate in TIAA for the matching 403b plan. TIAA is also the option for the voluntary non-matching plan. Current employees may be members of TIAA, Arkansas Teacher's Retirement System (ARTRS) or Arkansas Public Employee Retirement System (APERS). Plan assets in TIAA total approximately \$407,000,000. Current participation for active employees for the matching plan is as follows: TIAA– 81%; APERS – 8%; and ARTRS - 11%. The TIAA Plan requires eligible employees to make before-tax contributions of 6% of pay, and the University Contribution is 10% of pay. The non-matching plan participation in TIAA is approximately 570 members.

Please note that new employees are no longer eligible for APERS (effective September 1, 2016) and are only eligible for ARTRS if the new employee is vested in ARTRS at date of hire.

Further information about the university can be found at www.uca.edu or <https://uca.edu/ir/>

1.1 Issuing Officer

Audra Emerson, Buyer
Phone: (501) 450-3173
Email: aemerson3@uca.edu

1.2 Contract Administrator and Project Officer

Taylor May, Assistant VP of HR and Risk Management
Phone: (501) 450-5051
Email: tmay5@uca.edu

1.3 Anticipated Procurement Timetable

RFP Issued:	September 12, 2024
Deadline for Written Inquiries/Questions:	September 19, 2024
Questions Answered:	September 26, 2024
Proposals Due:	October 10, 2024 at 9:00 a.m.
Completion of proposal review:	October 21, 2024
Possible Finalist Interviews, if needed:	Week of November 4, 2024
UCA BOT Approval, if required:	December 6, 2024
AR Legislative Approval, if required:	January/February 2025
Contract Effective Date:	July 1, 2025

1.4 Submission of Proposals

Submit one (1) original, hard copy, five (5) electronic copies on flash drives (excluding the cost proposal), and one (1) redacted copy on a flash drive of all the proposal documents. Flash drives must clearly identify the company name and must be received by Wednesday, October 10, 2024 by 9:00 a.m. CST at the University of Central Arkansas Procurement Department located at 201 Donaghey Ave. Wingo Hall 113, Conway, AR 72035

Sealed proposal shall be marked "Proposal" and indicate project name, number, and proposal opening date. Proposals must be mailed allowing adequate time for delivery or hand delivered. *No* proposals will be accepted via email.

COST PROPOSAL MUST BE INCLUDED UPON SUBMISSION, BUT SEALED SEPARATELY. Cost proposal must be enclosed in a separate sealed envelope and marked as such. Any reference to cost(s) included with the technical/business proposal may result in the offeror's proposal being rejected. The technical/business proposal will be evaluated prior to the cost proposal contents being reviewed.

All proposals must be executed by an authorized officer of the proposer and must be held firm for acceptance for a minimum period of 90 days after the opening date.

Addenda or amendments, if any, should be signed, dated and included with the respondent's proposal submission. Failure to do so may be cause for rejection of the proposal.

Acceptance of request for proposal issued by the Director of Procurement indicated by submission of a proposal by responder, will bind responder to the terms and conditions herein set forth, except as specifically qualified in any addendum issued in connection therewith. Any alleged oral agreement or arrangement made by a responder with any agency or any employee of the campus will be disregarded.

1.5 Presentation

Proposers that submit responsive proposals, and receive the highest technical scores, will be designated as Finalists. Proposers selected for final evaluation may be required to make an oral presentation to the evaluation committee. The presentations will be scheduled after the Technical Proposal review process is completed. Such presentations provide an opportunity for Proposers to clarify their proposal and ensure mutual understanding. If necessary, the Director of Procurement will schedule time and location for any required presentations. Vendors who are shortlisted for presentations will need to prepare an hour presentation in order to cover enough details regarding their services. Thirty minutes of the presentation will be dedicated to the vendor to provide an overview of their company and relevant retirement consulting services and thirty minutes will be dedicated to questions and answers.

Proposers are strictly limited to the time allotted and the topics provided by the University. Points will be deducted if presentations exceed the allotted time or deviate from the presentation topics defined by the University.

1.6 Rejection of Proposals

This solicitation does not commit the University of Central Arkansas 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 institution reserves the right to accept or reject any or all proposals received as a result of this request, or to cancel in part or in its entirety this proposal if it is in the best interest of the University. Failure to furnish all information may disqualify a respondent.

1.7 Contracting Condition

The successful offeror and any entity or person directly or indirectly controlled by, under common control with, or controlling the offeror will not acquire any interest, direct or indirect, which would conflict in any manner or disagree with the performance of its services hereunder. The contractor further covenants that in the performance of the contract no person having any such known interest shall be employed. No official or employee of the State and no other public official of the State of Arkansas or the Federal Government who exercises any functions or responsibilities in the review of approval of the undertaking or carrying out of the project shall, prior to the completion of the project, voluntarily acquire any personal interest direct or indirect, in this contract or proposed contract.

1.8 Public Opening of Proposals

A public opening of all Technical/Business proposals will be held on: October 10, 2024 at 9:00 a.m. CST at the University of Central Arkansas Procurement Department located at 201 Donaghey Ave. Wingo Hall 113, Conway, AR 72035

ANY CONFIDENTIAL, PROPRIETARY, COPYRIGHTED OR FINANCIAL MATERIAL SUBMITTED BY RESPONDENTS MUST BE MARKED AS SUCH AND SUBMITTED UNDER SEPARATE COVER. ALL SUBMITTALS BY PROPOSERS WILL BE AVAILABLE FOR REVIEW TO THE EXTENT PERMISSIBLE, PURSUANT TO THE ARKANSAS FREEDOM OF INFORMATION ACT 25-19-10-ET SEQ.

1.9 Contract Awarding and Signing

Contract awarding and signing will be contingent upon the University of Central Arkansas receiving advice from approving authorities if necessary. The contract will be an incorporation of the contents of the RFP as well as negotiated terms and conditions.

1.10 Payment and Invoice Provisions

All invoices shall be forwarded to the University of Central Arkansas Accounts Payable Department and must show an itemized list of charges by type of service, etc. Payment will be made in accordance with applicable State of Arkansas accounting procedures upon written acceptance by UCA Contract Administrator.

1.11 Proposal Evaluation

The University of Central Arkansas Evaluation Committee and the Director of Procurement will evaluate all proposals to ensure all requirements are met. The contract will be awarded on the basis of the proposal that receives the highest cumulative point total as defined in the evaluation criteria.

1.12 Contract Term

The term for a contract awarded from this solicitation will be for an initial three (3) years, beginning July 1, 2025-June 30, 2028, with renewal options in two- or three-year increments not to exceed a total of seven (7) years subject to the termination provisions contained in any resulting contract as further described in the Terms and Conditions section of this solicitation.

SECTION 2 SCOPE OF WORK

2.1 Scope of Services Required

The University of Central Arkansas is requesting information from interested consulting firms or individuals with expertise in retirement planning in the following areas:

- Compliance;
- Evaluation and monitoring of recordkeepers;
- Plan design and impact on workforce and other benefits;
- Investment selection;
- Participant communication;
- Retirement readiness.

This RFP is issued to establish the existence of qualified firms or individuals interested in performing retirement plan consulting service for the University. The award may not be exclusive and UCA retains the right to utilize other attorneys or firms to provide retirement plan consulting services.

SECTION 2.2 Vendor Qualification Criteria

As evidenced by the nature of the tasks listed above, UCA expects to have a close working relationship with its Retirement Plan Consultant and requires that the firm demonstrate a high degree of experience, training and proficiency in the conduct of the various functions performed. The Retirement Plan Consultant should have extensive background in the areas mentioned in Section 2.1. In addition, UCA expects that its Retirement Plan Consultant will comply with current industry standards and will maintain appropriate expertise at the firm's own expense.

2.2.1 Vendor Questions & Information

Responses should reflect the areas of demonstrated competence and qualifications.

Responses to this RFP should include the requested information below:

About Your Firm

Please tell us about yourself, your firm, or your team. If your team is affiliated with a large firm that includes multiple teams around the country, please tell us about your team.

1. Firm or Team Name:
2. Address:
3. Contact for this RFP:
 - Name:
 - Phone:
 - Fax:
 - Email:
4. Describe the ownership and structure of your firm.
5. List your firm's lines of business, including any affiliated companies.
6. How many years has your firm been in business?
7. Briefly describe your firm's history:
 - a. How many years has your firm been servicing retirement plan clients?
 - b. What documentation of your firm's experience servicing retirement plan clients can you provide?
 - c. What expertise can your firm provide as it relates to higher education clients, and in particular, public higher education clients?
8. What is the total number of employees in the firm?
 - a. Number of employees who are Investment Advisory Representatives (IARs)?
 - b. Do you use sub-contractors?
 Yes No

If Yes, who and for what services?
9. What is the position of your firm in the employer-sponsored retirement plans business?
 - a. Percentage of revenue from retirement plan investment advisory services
 - b. Plan assets under advisement

- c. Total number of clients with plans under your advisement (403(b)/401(k)/401(a) Profit Sharing/ 401(a) Profit Sharing or Money Purchase other than 401(k) plans, Governmental 457(b) plans)
 - d. Total number of public university clients.
 - e. Number of core client plans, with whom your firm has regular quarterly contact
 - f. Number of client plans added over the past 24 months
 - g. Number of clients lost over the past 24 months
 - h. Publications your firm has created or contributed to
 - i. Recognition received from independent sources demonstrating your firm's expertise and credibility
10. Please list the types of services your firm offers for public higher education retirement plans.
11. Please describe your firm's experience helping public higher education clients in expanding to non-proprietary funds, consolidating recordkeepers, changing recordkeepers, dealing with vendor revenue sharing, finding creative ways to pay costs of the plan, and preparing employee communications.
12. Please describe your firm's experience helping clients through complex processes such as Internal Revenue Service audits, plan mergers or plan spin-offs.
13. Describe what differentiates your firm from other investment consulting firms.
14. How does your firm define and measure the success of retirement plan consulting relationships?
15. Please list the federal, state, and other regulatory agencies with which your firm is licensed or registered, and the type of licenses held.
- a. Please indicate which employees are not registered or licensed, and why.
16. 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?
17. 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?
18. Is your firm bonded or insured? If so, what amount?
19. Does your firm work with client plans on an advisory basis?
- ___ Yes ___ No

a. If applicable, please provide a copy of both parts of your firm's most recent SEC Form ADV.

20. Does your firm work with clients on a commission basis?

Yes No

21. Please provide a current list of representative clients, including higher education clients.

22. Please list three reference clients similar to our organization in terms of size. Please use attachment #2.

Your Service Team

1. Describe your service model for our plan (staff, responsibilities, interactions with our plan, frequency of in-person meetings, frequency of conference calls, team dynamics).
2. Please give the following information for the primary contact for our relationship:

Name:

Title:

City and State

Phone:

Fax:

Email:

Overall experience with employer-sponsored retirement plans

Commitment to the retirement plans business

Education, honors, designations and other credentials

Regular activities to stay current on market and regulatory developments

Areas of expertise

Years with the firm

Role at the firm

Number of plans supported

Average size of plans supported

3. Will the primary contact be the only person with whom we will be working with?

Yes No

If no, please list name(s), contact information, and profile information for each person:

Contact Name:

Title:

City and State:

Phone:

Email:

Overall experience with employer-sponsored retirement plans
Education, honors, designations, and other credentials
Area of expertise
Years with the firm
Role on the team serving our plan
Number of plans supported
Average size of plans supported
Number of plans lost this year

Investment Services

1. Describe your firm's approach to plan investment consulting.
2. What investment policy statement support do you offer?
3. What tools does your firm use to evaluate funds and managers?
 - a. Which of these tools are proprietary to your firm, developed in-house or specifically for your firm?
4. Describe your investment research resources and capabilities:
 - a. How are investment benchmarks determined?
 - b. Is your investment research proprietary or from a third party?
5. Do you hold performance review meetings with clients and what reports do they receive?
6. Do you have an investment watch list and what is your termination recommendation process?
7. What actions do you take when investments are not performing?
8. Provide a sample of a written recommendation provided to a client.
9. Will your firm offer investment advice to our plan?

Yes No

Please explain.

Participant Services

1. Please list the types of services your firm provides to retirement plan participants.
2. Do you offer advice/education?
 Yes No
3. Do you offer model allocations?

Yes No

4. What resources have you dedicated to participants?
5. Please provide two specific examples of ways in which your firm has made a positive impact on retirement plans you support over the past 24 months (for example: increased participation, increased deferrals, enhanced services, lowered fees).

Provider / Vendor Services

1. Describe your vendor benchmark service and process.
2. Describe your service provider search RFP service and process.
3. In the past 36 months, how many TPA / Record-keeper / Trustee searches have you conducted for the DC and DB plans your firm supports?
 - a. How many of these resulted in a change in TPA/Record-keeper Trustee?
 - b. List the top three TPA/Record-keepers/Trustees that you have recommended.
4. With how many different service providers does your firm work to support current clients?
5. What experience do you have with our current service provider?
 1. Are there any relevant issues we should be aware of or focused on?
6. What plan design change initiatives have you proposed with your clients in the past 24 months?

Fiduciary Status and Compliance

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

Yes No
2. What compliance resources does your firm provide?
3. Do you offer committee training, education and support?

Yes No
4. Describe your fiduciary responsibility including your ability to serve as an investment advisor comparable to ERISA 3(21).
5. Describe your fiduciary responsibility to our plan participants.
6. Describe potential conflicts of interest that may arise with the proposed advisory relationship.
7. Does your firm have a written policy for addressing conflicts of interest?

Yes No

Please describe

8. Have any of your clients been the subject of an investigation by the Department of Labor?

Yes No

Please describe

Fees

1. How is your firm compensated for its services?
2. What percentage of your firm's revenue is derived from:
 - a. Commission relationships?
 - b. Advisory relationships?
3. Does your firm receive any form of compensation or benefits from companies or individuals whose products or services you may refer or recommend?

Yes No

Please explain.

4. Please describe any and all fees for your services to our plan under this proposal.
5. Are you willing to guarantee your fees for a specific period of time?
6. Does your firm provide written agreement or a letter of engagement detailing services provided to our plan?

Yes No

If so, please include a sample.

Technology

1. Describe any technology available to your firm, excluding technology of our provider.
 - a. Which of this technology is proprietary to your firm, built in-house or specifically for your firm?
2. What applications do you run that would be beneficial to our plan?
 - b. Which of these applications are proprietary to your firm?

Security and Business Continuity

1. Please describe the succession plan for the primary contact who will be working with our plan.
2. Please describe the succession plan of your firm.
3. Please describe your firm's data security measures.
4. Please describe your firm's disaster recovery plans.

SECTION 3 PROPOSAL REQUIREMENTS

The information listed below is required to be submitted and should be organized in the order listed below to facilitate the proposal review process.

- ✓ Cover Letter with signature providing interest in the project
- ✓ Table of Contents
- ✓ Firm's or personal history include organizational chart
- ✓ List team member names and qualifications that will be or might be utilized on this project.
- ✓ Provide a schedule of your fees, including hourly rates and expense charges.
- ✓ Identify the person to contact in the event questions arise
- ✓ Projects currently under contract with State Agencies or Educational Facilities
- ✓ Similar project experience and provide at least three client references for which the firm has provided services of similar size and scope (See attachment 2).
- ✓ Overview of services provided

SECTION 4 EVALUATION CRITERIA

The proposals will be evaluated and awarded based on a comparative formula of relative weighting as detailed below:

<u>Criteria</u>	<u>Points</u>
Vendor's overall proposal content.	15
Vendor's response to the questions and information.	20
Recommendations and/or references from third parties indicating the respondent's past performance.	10
Evidence of ability to provide the requested services.	25
Respondent's price and fee proposal for performance of work requested.	30
Total	100

Vendors who are selected for interviews will be evaluated and awarded based on the criteria below:

<u>Criteria</u>	<u>Points</u>
Presentation	15
Response to Questions	15
Overall Interaction & Project Approach	20
Remaining in Allotted Timeframe	10
Total	60

SECTION 5 PROCUREMENT

5.1 RULES OF PROCUREMENT

To facilitate the procurement of requests for proposal, various rules have been established. They are described in the following paragraphs.

5.2 Point of Contact

The request for proposals Issuing Officer is the sole point of contact from the date of release of this request of proposals until the selection of the successful respondent. Respondents wishing to submit questions and requests for clarification should e-mail or fax all such correspondence to the Issuing Officer, as outlined in the anticipated procurement Timetable (Section 10.3).

5.3 Written Questions Concerning the Request for Proposals

Written questions must be submitted to the Issuing Officer. The closing date and time for receipt of questions will be September 26, 2024 at 3:00 p.m. All questions must be marked "Questions: and the proposal number indicated on the e-mail. Each question should reference the paragraph number. The questions will be answered in written form and e-mailed to all organizations that received a copy of the Request for Proposal.

5.4 Requests for Proposals Amendments

The University reserves the right to amend the request for proposals prior to the date for proposal submission. Amendments, addenda and clarifications will be sent to all organizations requesting copies of the request for proposals.

5.5 Cost of Preparing Proposals

Costs for preparing the proposals are solely the responsibility of the respondents. The State of Arkansas will provide no reimbursements for such costs. Any costs associated with any oral presentations to the University will be the responsibility of the respondent and may not be billed to the University.

5.6 Disposition of Proposals

All proposals become the public property of the State of Arkansas and will be a matter of public record subject to the provisions of Act 482 of 1979, as amended by Act 600 of 1981 and Acts 517 and 760 of 1983, Arkansas Procurement Law. If the proposal includes material, which is considered by the respondent to be proprietary or confidential under Arkansas law, the respondent shall so designate the material. The successful proposal will be incorporated into the resulting contract and will be a matter of public record subject to the provisions of ACA, Sections 25-19-101 ET seq. The State of Arkansas shall have the right to use all ideas, or adaptations of those ideas, contained in any proposal received in response to this request for proposals. Selection or rejection of the proposal will not affect this right.

5.7 Proposal Amendments and Rules of Withdrawal

Prior to the proposal due date, a submitted proposal may be withdrawn by submitting a written request for its withdrawal to the University, signed by the respondent. Unless requested by the University, the University will not accept any amendments, revisions, or alterations to the request for proposals after the proposal due date.

5.8 Acceptance of Proposals

The State reserves the right to request necessary amendments, reject any or all proposals received, or cancel this request for proposals according to the best interest of the State. Where the University may waive minor irregularities, such waiver shall in no way modify the request for proposal requirements or excuse the respondent from full compliance with the request for proposal specifications and other contract requirements if the respondent is awarded the contract.

5.9 Evaluation of Proposals

Proposals will be evaluated in three (3) phases. The first phase will determine if the mandatory requirements of this request for proposals have been agreed to and/or met. Failure to comply will deem a proposal non-responsive. The University may reject any proposal that is incomplete. However, the University may waive minor irregularities. The Director of Procurement completes this phase.

The University of Central Arkansas will base the second phase on evaluation of the Technical/Business proposal by an impartial committee appointed. Points will be awarded to each proposal based on a comparative formula of relative weights as described in this request for proposals. The contract will be awarded to the respondent whose proposal receives the highest cumulative point total.

The third phase will be the opening and calculation of the cost proposal by the Director of Procurement, and reviewed by the evaluation committee appointed by the University of Central Arkansas.

5.10 Award Notice

The notice of intended contract award will be sent to all respondents, by e-mail.

5.11 Protest of Award

Within fourteen (14) days after the date that the proposer knew or should have known of the cause giving rise to protest, the prospective offeror must file a formal written notice of that protest with the Vice President of Finance. Failure to do so shall constitute a waiver of any rights to administrative decision under ACA Section 19-11-244. Further details on protesting awards may be obtained by contacting the issuing Officer.

SECTION 6: STANDARD TERMS AND CONDITIONS

Can be located here: [Standard Terms and Conditions](#)

UCA RIDER

Any contract or agreement to which the University of Central Arkansas is a party shall be deemed to have the following provisions incorporated by reference:

(1) *“Notwithstanding any other provision of this agreement or contract, the University of Central Arkansas shall not be responsible or liable for any type of special or consequential damage to the other party, specifically including, but not limited to, lost profits or commissions, loss of goodwill, or any other damages of such nature.”*

(2) *“Notwithstanding any other provision of this agreement or contract, the University of Central Arkansas shall never indemnify or hold another party harmless from any damages, liability, claims, demands, causes of action or expenses. However, with respect to any loss, expense, damage, liability, claim or cause of action, either at law or in equity, for actual or alleged injuries to persons or property, arising out of any negligent act or omission by UCA, or its employees or agents, in the performance of this agreement, UCA agrees that:*

(a) it will cooperate with the other party to this agreement in the defense of any action or claim brought against the other party seeking damages or relief;

(b) it will, in good faith, cooperate with the other party to this agreement should such other party present any claims or causes of action of the foregoing nature against UCA to the Arkansas State Claims Commission;

(c) it will not take any action to frustrate or delay the prompt hearing on claims of the foregoing nature by the Arkansas State Claims Commission, and will make reasonable efforts to expedite any hearing thereon.

UCA reserves the right, however, to assert in good faith any and all defenses available to it in any proceedings before the Arkansas State Claims Commission or any other forum.

Nothing herein shall be interpreted or construed to waive the sovereign immunity of UCA.”

(3) *“The University of Central Arkansas does not have any form of general liability insurance. It does have liability insurance coverage on vehicles, as well as certain professional liability coverage for clinical programs (and students assigned through those programs). Please contact the university department with responsibility for the program involved or the Office of General Counsel, if you have questions concerning insurance coverage.”*

**Attachment 1
RFP SIGNATURE CERTIFICATION PAGE**

Proposal Number: UCA-25-024

Description: Retirement Plan Consultant

Issue Date: September 3, 2024

Buyer: Audra Emerson

RFP Due Date: October 10, 2024

Time: 9:00 A.M. CST

PROPOSALS WILL BE ACCEPTED UNTIL THE TIME AND DATE SPECIFIED ABOVE. THE PROPOSAL PACKAGE AND ENVELOPE MUST BE SEALED AND PROPERLY MARKED WITH THE PROPOSAL NUMBER, DATE AND HOUR OF BID OPENING AND BIDDER'S RETURN ADDRESS. IT IS NOT NECESSARY TO RETURN "NO BIDS" TO THE UNIVERSITY OF CENTRAL ARKANSAS PROCUREMENT OFFICE.

Company Name: _____

Name (Type or Print): _____

Title: _____

Address: _____

RFP Main Contact Phone Number: _____

RFP Main Contact Email: _____

FAILURE TO PROVIDE A TAXPAYER IDENTIFICATION NUMBER BELOW MAY RESULT IN BID REJECTION:

Federal Employer Identification Number or Social Security Number

The undersigned affirms that they are duly authorized to execute this contract, that this bid has not been prepared in collusion with any other Offeror, and that the contents of this bid have not been communicated to any other Offeror or any employee of University of Central Arkansas prior to the official review of this bid. **UNSIGNED BIDS WILL NOT BE CONSIDERED.**

Signature:

**Attachment 2
PROPOSER REFERENCES**

Submission of this attachment is mandatory. Failure to complete and return this attachment with your bid may cause your bid to be rejected and deemed non-responsive.

List below three references for services performed within the last five years, which are similar to the scope of work to be performed in this contract.

REFERENCE 1

Name of Firm			
Street Address	City	State	Zip Code
Contact Person	Telephone Number		
Email Address			
Dates of Service			
Value or Cost of Service			
Brief Description of Service Provided			

REFERENCE 2

Name of Firm			
Street Address	City	State	Zip Code
Contact Person	Telephone Number		
Email Address			
Dates of Service			
Value or Cost of Service			
Brief Description of Service Provided			

REFERENCE 3

Name of Firm			
Street Address	City	State	Zip Code
Contact Person	Telephone Number		
Email Address			
Dates of Service			
Value or Cost of Service			
Brief Description of Service Provided			

Attachment 3
RFP #UCA-25-024 Retirement Plan Consultant
***OFFICIAL PRICING SHEET**

1. Retirement Consulting Services _____

2. Other Cost (if applicable, list below):

_____ \$ _____

_____ \$ _____

_____ \$ _____

Vendor Name: _____

Address: _____

City: _____ State: _____ Zip: _____ Phone: _____

Fax: _____ Email: _____

Signature of Authorized Official: _____

NOTE:

1. The University of Central Arkansas will not be obligated to pay any cost not identified on the Official Bid Price Sheet.
2. Any cost not identified by the bidder but subsequently incurred in order to achieve successful operation of the equipment will be borne by the bidder.
3. Failure to use this Official Pricing Sheet may result in the disqualification of proposal.

EO POLICY

ATTENTION CONTRACTORS

Act 2157 of 2005 of the Arkansas Regular Legislative Session requires that any business or person bidding, responding to a request for proposal or qualifications, or negotiating a contract with the state for professional or consultant services, submit their most current equal opportunity policy (EO Policy).

Although contractors are encouraged to have a viable equal opportunity policy, a written response stating the contractor does not have such an EO Policy will be considered that contractor's response and will be acceptable in complying with the requirements of Act 2157.

Submitting the EO Policy is a one-time requirement. The UCA Procurement Department will maintain a file of policies or written responses received from bidders.

Effective August 2005, this is a mandatory requirement when submitting an offer as described above.

Should you have any questions regarding this requirement, please contact my office by calling (501) 450-3173.

Sincerely,

**Cassandra McCuien-Smith, CPPO CPPB
Director of Procurement**

To be completed by business or person submitting response: (check appropriate box)

_____ **EO Policy Attached**

_____ **EO Policy previously submitted to UCA Procurement Office**

_____ **EO Policy is not available from business/person (must provide a written response)**

Company Name Or Individual: _____

Title: _____ **Date:** _____

Signature: _____

COMBINED CERTIFICATIONS FOR CONTRACTING WITH THE STATE OF ARKANSAS

Pursuant to Arkansas law, a vendor must certify as specified below and as designated by the applicable laws.

- 1. Israel Boycott Restriction:** For contracts valued at \$1,000 or greater.
A public entity shall not contract with a person or company (the "Contractor") unless the Contractor certifies in writing that the Contractor is not currently engaged in a boycott of Israel. If at any time after signing this certification the Contractor decides to boycott Israel, the Contractor must notify the contracting public entity in writing. See Arkansas Code Annotated § 25-1-503.
- 2. Illegal Immigrant Restriction:** For contracts valued at \$25,000 or greater.
No state agency may contract for services with a Contractor who employs or contracts with an illegal immigrant. The Contractor shall certify that it does not employ, or contract with, illegal immigrants. See Arkansas Code Annotated § 19-11-105.
- 3. Energy, Fossil Fuel, Firearms, and Ammunition Industries Boycott Restriction:** For contracts valued at \$75,000 or greater.
A public entity shall not contract unless the contract includes a written certification that the Contractor is not currently engaged in and agrees not to engage in, a boycott of an Energy, Fossil Fuel, Firearms, or Ammunition Industry for the duration of the contract. See Arkansas Code Annotated § 25-1-1102.
- 4. Scrutinized Company Restriction:** Required with bid or proposal submission.
A state agency shall not contract with a Scrutinized Company or a company that employs a Scrutinized Company as a subcontractor. A Scrutinized Company is a company owned in whole or with a majority ownership by the government of the People's Republic of China. A state agency shall require a company that submits a bid or proposal for a contract to certify that it is not a Scrutinized Company and does not employ a Scrutinized Company as a subcontractor. See Arkansas Code Annotated § 25-1-1203.

By signing this form, the Contractor agrees and certifies they are not a Scrutinized Company and they do not currently and shall not for the aggregate term a resultant contract:

- Boycott Israel.
- Knowingly employ or contract with illegal immigrants.
- Boycott Energy, Fossil Fuel, Firearms, or Ammunition Industries.
- Knowingly employ a Scrutinized Company as a subcontractor.

Contract Number: _____ Description: _____

Agency Name: University of Central Arkansas

Vendor Number: _____ Vendor Name: _____

Vendor Signature

Date

CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM

Failure to complete all of the following information may result in a delay in obtaining a contract, lease, purchase agreement, or grant award with any Arkansas State Agency.

SUBCONTRACTOR: _____ SUBCONTRACTOR NAME: _____

Yes No

IS THIS FOR:

TAXPAYER ID NAME: Goods? Services? Both?

YOUR LAST NAME: _____ FIRST NAME: _____ M.I.: _____

ADDRESS: _____

CITY: _____ STATE: _____ ZIP CODE: _____ COUNTRY: _____

AS A CONDITION OF OBTAINING, EXTENDING, AMENDING, OR RENEWING A CONTRACT, LEASE, PURCHASE AGREEMENT, OR GRANT AWARD WITH ANY ARKANSAS STATE AGENCY, THE FOLLOWING INFORMATION MUST BE DISCLOSED:

FOR INDIVIDUALS *

Indicate below if: you, your spouse or the brother, sister, parent, or child of you or your spouse is a current or former: member of the General Assembly, Constitutional Officer, State Board or Commission Member, or State Employee:

Position Held	Mark (√)		Name of Position of Job Held <small>[senator, representative, name of board/ commission, data entry, etc.]</small>	For How Long?		What is the person(s) name and how are they related to you? <small>[i.e., Jane Q. Public, spouse, John Q. Public, Jr., child, etc.]</small>	
	Current	Former		From MM/YY	To MM/YY	Person's Name(s)	Relation
General Assembly	<input type="checkbox"/>	<input type="checkbox"/>					
Constitutional Officer	<input type="checkbox"/>	<input type="checkbox"/>					
State Board or Commission Member	<input type="checkbox"/>	<input type="checkbox"/>					
State Employee	<input type="checkbox"/>	<input type="checkbox"/>					

None of the above applies

FOR A VENDOR (BUSINESS) *

Indicate below if any of the following persons, current or former, hold any position of control or hold any ownership interest of 10% or greater in the entity: member of the General Assembly, Constitutional Officer, State Board or Commission Member, State Employee, or the spouse, brother, sister, parent, or child of a member of the General Assembly, Constitutional Officer, State Board or Commission Member, or State Employee. Position of control means the power to direct the purchasing policies or influence the management of the entity.

Position Held	Mark (√)		Name of Position of Job Held <small>[senator, representative, name of board/commission, data entry, etc.]</small>	For How Long?		What is the person(s) name and what is his/her % of ownership interest and/or what is his/her position of control?		
	Current	Former		From MM/YY	To MM/YY	Person's Name(s)	Ownership Interest (%)	Position of Control
General Assembly	<input type="checkbox"/>	<input type="checkbox"/>						
Constitutional Officer	<input type="checkbox"/>	<input type="checkbox"/>						
State Board or Commission Member	<input type="checkbox"/>	<input type="checkbox"/>						
State Employee	<input type="checkbox"/>	<input type="checkbox"/>						

None of the above applies

Contract and Grant Disclosure and Certification Form

Failure to make any disclosure required by Governor's Executive Order 98-04, or any violation of any rule, regulation, or policy adopted pursuant to that Order, shall be a material breach of the terms of this contract. Any contractor, whether an individual or entity, who fails to make the required disclosure or who violates any rule, regulation, or policy shall be subject to all legal remedies available to the agency.

As an additional condition of obtaining, extending, amending, or renewing a contract with a state agency I agree as follows:

1. Prior to entering into any agreement with any subcontractor, prior or subsequent to the contract date, I will require the subcontractor to complete a **CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM**. Subcontractor shall mean any person or entity with whom I enter an agreement whereby I assign or otherwise delegate to the person or entity, for consideration, all, or any part, of the performance required of me under the terms of my contract with the state agency.

2. I will include the following language as a part of any agreement with a subcontractor:

Failure to make any disclosure required by Governor's Executive Order 98-04, or any violation of any rule, regulation, or policy adopted pursuant to that Order, shall be a material breach of the terms of this subcontract. The party who fails to make the required disclosure or who violates any rule, regulation, or policy shall be subject to all legal remedies available to the contractor.

3. No later than ten (10) days after entering into any agreement with a subcontractor, whether prior or subsequent to the contract date, I will mail a copy of the **CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM** completed by the subcontractor and a statement containing the dollar amount of the subcontract to the state agency.

I certify under penalty of perjury, to the best of my knowledge and belief, all of the above information is true and correct and that I agree to the subcontractor disclosure conditions stated herein.

Signature _____ Title _____ Date _____

Vendor Contact Person _____ Title _____ Phone No. _____

Agency use only

Agency Number _____ Agency Name _____ Agency Contact Person _____ Agency Phone No. _____ Contract or Grant No. _____