

**PURCHASING DEPARTMENT**

**PENSION INVESTMENT ADVISOR**

**EVENT NO. 6016**

**SECTION II**

**SCOPE OF WORK**

- 2.0 Broad description of Project:** The City of Savannah (the City) invites qualified firms to submit proposals to provide Pension Fund Investment Advisory Services to the City for the City of Savannah Employees' Retirement Plan (COSERP). Electronic responses will not be accepted.

A pre bid conference has been scheduled to be conducted at City Hall, second floor media room, 2 E. Bay Street, Savannah, Georgia 31401. This meeting will allow bidders to discuss the specifications and resolve any questions and/or misunderstandings that may arise with City staff. You are invited to attend.

Proposals for services in these areas are requested:

- Quarterly evaluations of manager performance.
- Consulting services on appropriate investment guidelines, goals, and asset allocation.
- Consulting services for manager searches.

**A. Plan History**

The COSERP was created by the City in 1972 as a retirement plan for the employees of the City of Savannah, Georgia. Over the years, employees of several other agencies have been allowed to participate in COSERP including the Youth Futures Authority, the Metropolitan Planning Commission and the Savannah Airport Authority. The COSERP covers all City employees occupying a permanent position and working a minimum of 20 hours per week. Benefits provided by the COSERP include retirement benefits, survivor benefits, certain death benefits, and disability benefits. The COSERP is administered by a pension board (the Board) comprised of the following members:

- Two (2) citizens appointed by Mayor and Council
- One (1) alderman appointed by Council
- The City Manager

- The Chief Financial Officer of the City
- Three (3) elected employee representatives (one Police, Fire, and General employee)

The Board is endowed with such powers as are necessary for the proper administration of the COSERP including, but not limited to, the following:

- To prescribe procedures to be followed by Participants in filing applications for benefits and for the furnishing of evidence necessary to establish Employee's rights to such benefits;
- To make determinations as to the rights of any Participant applying for or receiving retirement benefits, and to afford any such individual dissatisfied with any such determination the right of a hearing thereon;
- To develop procedures for the establishment of Credited Service of Participants and, after affording Participants an opportunity to make objection with respect thereto, to establish such service conclusively in advance of retirement;
- To select a Plan consultant and actuary;
- To receive periodic (not more often than once a year) actuarial valuations of the COSERP;
- To establish a statement of investment policy of the investment of Plan assets:
- To select funding media for the COSERP's assets, to select an investment advisor, to delegate the responsibility for investment of fund assets to a bank, an insurance company or an investment advisor or to select any combination of these funding media and/or investment facilities and services;
- To select an investment evaluation advisor whose duties may include providing periodic evaluation of investment advisor performance; providing advice on the COSERP's investment policy, guidelines, goals and asset allocation; providing assistance for investment advisor searches, when called upon to do so;
- To obtain from the City, from the institution(s) used as the funding media to the COSERP, from the COSERP's investment advisor(s), from the COSERP consultants and actuaries, and from Participants such information as shall be necessary for the proper administration of the COSERP.

The Board meets quarterly to discuss Plan business and receive information from

the investment consultant regarding investment manager performance. Asset managers are invited to address the Board at each quarterly meeting along with the COSERP's actuary allowing the Board to meet with each of these professionals on an annual basis. The COSERP is funded by participant contributions of 6.65% of regular earnings and an actuarially determined employer contribution.

The Board currently contracts with Segal for an annual actuarial review of the COSERP. This review is primarily designed to determine to what extent the COSERP is funded in relation to its obligations to its participants and whether or not the COSERP is being funded in accordance with state law.

**B. Investment Management and Accounting Information**

The COSERP maintains an investment structure using a variety of investments summarized in the following investment account structure as of December 31, 2017. The Board has contracted with DeMarche and Associates to act as investment advisor to the COSERP.

| <b>Category</b>      | <b>Manager/Fund</b>                       | <b>Balance</b>        |
|----------------------|---|-----------------------|
| Large/mid Cap        | State Street Global S&P 500 Flagship Fund | \$ 164,787,261        |
| Fixed Income         | Seix Investment Advisors                  | 106,344,153           |
| Small/mid cap        | State Street Global Russell 2000 Fund     | 38,620,871            |
| International equity | Capital Guardian International            | 40,713,552            |
| Real Estate          | Heitman America Real Estate               | 37,283,165            |
|                      |   |                       |
|                      |   | <b>\$ 387,749,002</b> |
|                      |   |                       |

**2.1 Scope of Services**

**Requested Services Relating to Evaluation of Manager Performance**

- A. An oral briefing of the investment performance of the COSERP is to be provided at each of the Board's quarterly meetings.
- B. Quarterly written reports are to be provided.
- C. Reports shall be provided within 30 days of quarter end.
  - The report provided to the City should contain information that is typical or standard for such reports provided to the firm's other pension fund evaluation clients. At a minimum, the report should provide the following:

- Summary statistical information on the market value of assets and asset allocation.
- Total time-weighted return for each asset class for the most recently completed quarter, twelve (12) months, three (3) years, ten (10) years and since inception.
- Separate information for each manager and for the overall portfolio as a whole.
- Comparisons of actual returns with generally recognized indexes, and with an appropriate universe of other pension fund managers.
- Information presented in both table and graph form.
- Calculations which allocate the total return between general market forces and management decisions of the fund manager.
- An indication of whether the manager is meeting the Board's goals and adhering to investment guidelines.

D. Requested services relating to establishment of investment guidelines, goals, and appropriate asset allocation.

- The selected firm, if the City chooses to utilize this service, should be prepared to act as consultant in the review or development of a written statement of Investment Guidelines and Goals and the development of an asset allocation analysis. In developing a statement and goals, consideration should be given to:
  - The City's willingness and ability to assume investment risk.
  - Identification of asset classes which should be considered for investment.
  - Evaluation of the effect that alternate asset class mixes have on expected long term return and risk.
  - Evaluate and recommend the COSERP's liquidity requirements and long range investment goals.

E. Requested Services Relating to Manager Search

- Services to be provided, if the City chooses to utilize this service, shall include:

- Analysis leading to identification of appropriate investment styles consistent with the City's long term investment objectives.
- Development and distribution of a request for proposals (RFP) to outside investment managers with appropriate styles.
- Clarifying the RFP to potential managers.
- Receive proposals from potential managers.
- Clarify and evaluate the proposals from potential managers for the City.
- Assist the City in selecting and negotiating with investment managers.
- Review and recommend contract providers and reporting requirements.
- Advise the City in appropriate procedures for transferring assets to new managers.

## **2.2 Required Contents of Proposals in Response to this RFP**

### **General Information**

1. Name of firm, address and phone number of firm representative. General description of the firm. Statement indicating the firm's commitment to providing pension fund evaluation services.
2. Names and resumes of personnel who will be responsible for this engagement.
3. List of all pension fund evaluation clients served by the personnel listed in response above, including contact reference name, phone number, and approximate fund size. Indicate type of service provided to each (i.e. evaluation, manager search, investment guidelines).
4. Statement that the firm can provide all services as requested, or alternatively, a statement taking exception to certain services which cannot be provided as requested.
5. Is your firm registered as an investment advisor with the SEC? Will your firm act as a fiduciary in its role as an investment advisor?
6. What is your experience advising public pension plans and public pension plans in the State of Georgia? How is this different than advising non-governmental sponsored pension plans?

7. What percentage of your firm's revenue is derived from investment advisory services?
8. What is the location of your firm's nearest office to Savannah, GA?
9. Please describe the firm's conflict-of-interest policies. Include an explanation of how these policies, and any other measures taken by the firm, limit the likelihood that a client could receive investment advice that is solely aligned with its best interest.
10. Please describe the various types of insurance and indemnification, including dollar amount of coverages, provided to protect clients of services(s) proposed, including:
  - i. Errors and Omissions Coverage
  - ii. Fiduciary Liability Coverage
  - iii. Carriers
  - iv. Limits, Levels and Deductible
11. Describe the pension fund experience your firm has nationally and in the State of Georgia.
12. Describe your firm's transition process when taking on a new client.
13. Please list the number of full retainer institutional clients and combined assets the firm has serviced in a full retainer capacity over the last 3 years as of 12/31/2017.
14. Please list the number of full service retainer clients served by the firm as of 12/31/2017, by type of plans and by asset size.

| List number of full service retainer clients | Asset Size: |               |             |           |       |
|--|-------------|---------------|-------------|-----------|-------|
|  | <\$100M     | \$100M-\$500M | \$500M-\$1B | \$1B-\$5B | >\$5M |
| Type of Plan                                 |             |               |             |           |       |
| Public Pension Plans                         |             |               |             |           |       |
| Corporate Plans                              |             |               |             |           |       |
| Taft-Hartley Plans                           |             |               |             |           |       |
| Endowments & Foundations                     |             |               |             |           |       |
| Other  |             |               |             |           |       |

15. How are the professionals compensated in your firm? Performance based, incentive based or salaried?
16. Who will actually attend the meetings? The actual investment consultant designated or a salesperson/relationship manager assigned to COSERP?
17. Please provide 1 year, 3 year, 5 year and 10 year performance results on an annualized basis for 3 of your firm's pension fund clients. The performance results should be based upon the period in which your firm served as the investment advisor and include, at a minimum, total fund performance on an annualized basis with a comparison against the appropriate benchmark. Please identify each client by size of its total plan explaining the over/under performance and your firm's role in the investment process.
18. Please provide a list of at least 4 current client references including contact name and information, asset size, and the number of years the client has retained the firm. Please designate any public pension plan clients.
19. Please provide the number, name and asset values of any terminated client relationship in the past 5 years, with reasons for termination.
20. Provide information on how the fee for the Scope of Services will be determined in Section III. Do not include the Fee proposal in any other part of your response.

#### **Information Regarding Evaluation of Manager Performance**

1. Provide a complete sample report which illustrates the type of information and format of quarterly reports which will be provided to the City.
2. Provide a discussion of your general approach, philosophy, capabilities, and experience in providing performance evaluation services.

#### **Information Regarding Establishment of Investment Guidelines, Goals, and Asset Allocation**

1. Provide a discussion of your general approach, philosophy, capabilities, and experience in providing consulting services for the establishment of investment guidelines, goals, and asset allocation studies.
2. Comment on the City's existing investment policy.

#### **Information Regarding Manager Search Services**

1. Provide a discussion of your general approach, philosophy, capabilities, and experience in providing manager search consulting services.

The selected consultant shall be a recognized firm staffed by individuals qualified by training and experience to perform the requested services. The selected consultant shall be and shall remain independent of any firms selected by the City to manage pension funds.

Respondents to the RFP which appear to meet the City's needs may be invited to make oral presentations before the Board further describing the qualifications and expertise of the firm and its members.

While proposed fees are an important selection criteria, they will not be the sole determinant. The City will also consider experience in providing similar services to government and corporate clients, commitment of the firm to providing pension evaluation services, quality of oral presentation, qualifications and experience of individuals to be assigned to this engagement, and responsiveness of the written proposal to this RFP.

The City reserves the right to reject any or all proposals. The City will not be responsible for any expenses incurred in the preparation of proposals.

**2.3 Proposal Format:** Proposals shall be submitted in the following format and include the following information.

- a) Fee Proposals per instructions in Section III signed by responsible party.
- b) Proposed Schedule of Minority and Women owned Business Participation and Non-Discrimination Statement.
- c) Response to Required Contents per section 2.2 included with this document. (Additional information such as agency brochures, resumes, etc. may be submitted as appropriate).

**2.4 Basis of Award:** Proposals will be evaluated according to the following criteria and weight at a minimum:

- a) Proposer's qualifications and experience, including support capabilities *(50 points)*
- b) Fees *(25 points)*
- c) References *(20 points)*
- d) Local vendor (Within the city limits of Savannah and has a City of Savannah Business Tax Certificate) participation *(5 points)*

Proposals shall be evaluated by a selection committee.

A short list may be developed and interviews conducted with any or all proposers deemed to be most qualified. The City reserves the right to conduct interviews of any or all proposers at the City's discretion. The City also reserves the right to request a best and final offer (BFO) from any or all proposers and to re-score evaluations based on the best and final offer. Proposers may be required to provide clarification of their proposal as part of the BFO responses.

**2.5 Copies:** One (1) unbound, printed and signed original, nine (9) identical, printed copies,



and one (1) electronic copy (submitted on a flash drive or CD-ROM) of the proposal and supporting documents must be submitted in response to the RFP. All responses must relate to the specifications as outlined.

**2.6    **Contacts:**** Proposers must submit proposals in accordance with the instructions contained in this RFP. All requested information must be submitted with the proposal. Instructions for preparation and submission of proposals are contained in this package. All questions regarding this request for proposal should be submitted in writing and emailed to the person listed on the summary event page

**2.7    **DBE:**** Disadvantaged Business Enterprise Goals  
The City of Savannah desires that this project have the strongest possible participation of Disadvantaged Business Enterprises (DBEs). DBE firms must have a current certification with the Georgia Department of Transportation (GDOT) or an approved certifying agency. Proposers should embrace this goal and demonstrate meaningful DBE participation in the project as follows:

A.     Prime Contractor Level DBE Participation – Meaningful DBE participation may take the form of a teaming agreement, partnership, mentor-protégé relationship, joint venture, or similar relationship wherein the DBE partner shares in a significant portion of management responsibility and profit-making potential. The proposer shall:

- a.     Provide names of DBE firms that are part of prime contractor bid team.
- b.     Provide a copy of teaming, joint venture or other equivalent agreement(s) between parties on prime contractor bid team setting forth roles and responsibilities and profit-sharing arrangements.
- c.     Describe roles and responsibilities of each company and its employees.
- d.     Provide anticipated percentage of DBE participation for each participant on the team.
- e.     Provide letter of commitment from lead firm, addressed to the City of Savannah, regarding association with each participant on the prime contractor level team.
- f.     Provide letters of commitment from each DBE firm, addressed to the City of Savannah regarding association with lead firm.

B.     Sub-Contractor Level DBE Participation – The proposer shall provide a written plan for how it will ensure that DBE firms have the maximum possible opportunity to participate in prime and second tier sub-contracts that will be available in the completion of this project.

- a.     The plan should include the proposer’s best estimate of the percentage of DBE participation (based on subcontract values) it expects to be able to achieve in this project from subcontractors.
- b.     The plan shall include estimated dollar amounts of subcontract values that are used to estimate an overall proposal from the proposer.

Points will be allocated based on each respondent’s proposed DBE goal, with the maximum points of four (4) being awarded to the respondent who submits the highest proposed DBE goal at the prime contractor level, and six (6) being awarded to the respondent who submits the highest proposed DBE goal at the sub-contractor level. Points will be allocated to each respondent by using the following mathematical calculation:

i. In the case of the award based on the prime contractor level:  
Respondent's Proposed DBE Goal X 4 = Weighted Score  
Highest Proposed DBE Goal

ii. In the case of the award based on the sub-contractor level:  
Respondent's Proposed DBE Goal X 6 = Weighted Score  
Highest Proposed DBE Goal

No proposals will be deemed non-responsive due to this factor.

- 2.8** The City reserves the right to negotiate with the selected proposer the exact terms and conditions of the contract. The proposer's obligation to indemnify the City under this Section shall not be limited in any way by the agreed-upon contract price or to the scope and amount of coverage provided by any insurance maintained by the proposer including, without limitation to, the insurance required to be maintained by the proposer.
- 2.9** **Acknowledgement of Addenda:** Vendor is responsible for determining and acknowledging any addenda issued in connection with this RFP. Addenda must be acknowledged in order for proposals to be considered.

**SECTION III**

**FEE PROPOSAL**

**ALL PROPOSERS MUST BE REGISTERED SUPPLIERS ON THE CITY'S WEBSITE TO BE AWARDED AN EVENT. PLEASE REGISTER AT WWW.SAVANNAHGA.GOV. ELECTRONIC SUBMISSIONS WILL NOT BE ACCEPTED. PROPOSALS MUST BE SUBMITTED ON THIS FORM.**

I have read and understand the requirements of this request for proposal RFP Event #6016 and agree to provide the required services in accordance with this proposal and all attachments, exhibits, etc. The proposed fee shall provide for all labor material and equipment to provide the services as outlined. The fee for providing the required service shall be as follows:

Annual fee that shall include all investment advisory services (including any manager searches), professional fees, travel, materials, equipment and any other miscellaneous expenses involved in preparing for and attending quarterly board meetings at the client's location. These meetings are generally held on the first Monday of each quarter (February, May, August and November) and last approximately 4 hours. This fee should also include occasional phone calls and correspondence with the client regarding pending matters and to include all services indicated in Sections 2.1 and 2.2. Provide the fee quote, assuming \$400M in assets, in terms of:

- A straight hard dollar fee basis; and/or
- A basis point fee

Annual Hard Dollar Fee: \$ \_\_\_\_\_

Annual Basis Point Fee: \_\_\_\_\_ BPS; Approximately \$ \_\_\_\_\_

Please note whether the annual fee is guaranteed for set number of years and any proposed increases:

\_\_\_\_\_

Please note any special fees not noted above:

\_\_\_\_\_

○

The Proposer is required to submit one original set of your Fee proposal as outlined below in a SEALED envelope SEPARATE from the RFP response. The Fee proposal must be clearly marked as such. Do NOT include the Fee proposal in any other copy of your response.

SUBMITTED BY: \_\_\_\_\_

PROPOSER: \_\_\_\_\_

SIGNED: \_\_\_\_\_

NAME (PRINT): \_\_\_\_\_

ADDRESS: \_\_\_\_\_

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

TELEPHONE: \_\_\_\_\_ FAX: \_\_\_\_\_

EMAIL: \_\_\_\_\_

CONFIRM RECEIPT OF ANY ADDENDA ISSUED FOR THIS BID:

ADDENDUM \_\_\_\_\_ #

DATE \_\_\_\_\_

I certify this bid complies with the General and Specific Specifications and Conditions issued by the City except as clearly marked in the attached copy.

\_\_\_\_\_  
Please Print Name

\_\_\_\_\_  
Authorization Signature

\_\_\_\_\_  
Date

INDICATE MINORITY OWNERSHIP STATUS OF BIDDER (FOR STATISTICAL PURPOSES ONLY):

CHECK ONE:

\_\_\_\_\_ NON-MINORITY OWNED

\_\_\_\_\_ AFRICAN AMERICAN

\_\_\_\_\_ HISPANIC

\_\_\_\_\_ WOMAN (non-minority)

\_\_\_\_\_ ASIAN AMERICAN

\_\_\_\_\_ AMERICAN INDIAN

\_\_\_\_\_ OTHER MINORITY

Describe \_\_\_\_\_

**SECTION 01310  
DISADVANTAGED BUSINESS EMPLOYMENT PROVISIONS**

The City of Savannah actively encourages employment and participation of small and disadvantaged businesses in all City contracts. Attention of the bidders is called to contract conditions contained herein pertaining to non-discrimination, equal employment opportunity, subcontracts, and opportunities for project area residents.

It is the policy of the City of Savannah that disadvantaged business enterprises (DBEs) be given fair opportunity to participate in the performance of services for the City, and that prime contractors utilize DBE subcontractors and suppliers to the fullest extent possible consistent with the efficient performance of the contract. **The City of Savannah has not established a DBE goal for this project. However, DBE participation is encouraged wherever possible.**

In order to determine compliance, bidders shall **submit the following completed documents in a separate sealed envelope** clearly marked with the bid number, project name and number and **marked (Section 1310 Disadvantaged Business Employment Provisions)** with their bid:

1. Non-discrimination statement (Sec. 01310-3) and;
2. Proposed schedule of disadvantaged business enterprise participation (Sec. 01310-4) and;
3. Documentation of Good Faith Efforts [**Submit only if the goals are not met.**]

**Failure to submit the required documents shall result in the bid not being read or considered.**

Suggestions to help meet the goal:

- ✓ Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation of DBEs.
- ✓ Advertising in general circulation media, trade association publications, or disadvantaged business enterprise media to solicit bids from DBE subcontractors or suppliers. **[Advertisement should appear at least 10 days prior to bid due date, unless the City's solicitation period is shortened.]**
- ✓ Designating portions of the work for DBE subcontracting in trades with established availability of DBE subcontractors.
- ✓ Providing a minimum of 10 days notice prior to the Bid due date to DBEs when requesting bids or proposals for furnishing material or services as a subcontractor or supplier.

Any attempt to submit false information, will result in a recommendation that the bidder be debarred from participating in future City contracts.

The contractor is required to fulfill any DBE utilization commitments made unless good cause is demonstrated for any failure to fulfill such commitment. **Written approval is required prior to**

**any substitution.**

The contractor will maintain records and information necessary to document compliance with Good Faith Effort requirements, and the City shall have the right to inspect such records.

Any DBE listed in the completed form entitled "Proposed Schedule of DBE Participation" (Section 01310-4) must be certified by an approved agency such as USDOT, GDOT, or SBA 8(a) prior to the due date of this bid. Proof of DBE certification such as a certificate or letter from the certifying agency is required to accompany the bid. A firm that has submitted an application for DBE certification or an application for DBE certification under review but has not been certified is not qualified as a certified DBE and will not be recognized as such during the City's evaluation process.

No bidder shall enter into an agreement with any DBE that would in any way limit the DBE's opportunities to sell to, or act as subcontractor for, any other party. Violation of this requirement would be grounds to deem the bidder non-responsive to this bid solicitation.

The following resources are available to aid bidders in complying with this section:

**The State of Georgia Department of Transportation** maintains a website listing of Disadvantaged Business Enterprises located at [www.dot.ga.gov/PS/Business/DBE](http://www.dot.ga.gov/PS/Business/DBE)

**Chatham County** Purchasing Department maintains a listing of Disadvantaged Business Enterprises to include Contractors, Consultants and Suppliers. Contact (912) 652-7860.

**GA Tech Procurement Assistance Center** maintains a listing of Disadvantaged Business Enterprises to include Contractors, Consultants and Suppliers. Contact (912) 963-2524.

**Savannah/Hilton Head International Airport Commission** maintains a listing of Disadvantaged Business Enterprises to include Contractors, Consultants and Suppliers. Contact (912) 964-0514 or visit the website at [www.savannahairport.com](http://www.savannahairport.com)

**Small Business Assistance Corporation** maintains a listing of Disadvantaged Business Enterprises to include Contractors, Consultants and Suppliers. Contact (912) 232-4700 or visit the website at [www.sbacsav.com](http://www.sbacsav.com).

## NON-DISCRIMINATION STATEMENT

The prime contractor / bidder certifies that:

- (1) No person shall be excluded from participation in, denied the benefit of, or otherwise discriminated against on the basis of race, color, national origin, or gender in connection with any bid submitted to the City of Savannah or the performance of any contract resulting therefrom;
- (2) That it is and shall be the policy of this Company to provide equal opportunity to all business persons seeking to contract or otherwise interested in contracting with this Company, including those companies owned and controlled by racial minorities, cultural minorities, women, and individuals belonging to other socially and economically disadvantaged groups;
- (3) In connection herewith, we acknowledge and warrant that this Company has been made aware of, understands and agrees to take affirmative action to provide such companies with the maximum practicable opportunities to do business with this Company;
- (4) That this promise of non-discrimination as made and set forth herein shall be continuing in nature and shall remain in full force and effect without interruption;
- (5) That the promises of non-discrimination as made and set forth herein shall be and are hereby deemed to be made as part of and incorporated by reference into any contract or portion thereof which this Company may hereafter obtain and;
- (6) That the failure of this Company to satisfactorily discharge any of the promises of non-discrimination as made and set forth herein shall constitute a material breach of contract entitling the City of Savannah to declare the contract in default and to exercise any and all applicable rights and remedies including but not limited to cancellation of the contract, termination of the contract, suspension and debarment from future contracting opportunities, and withholding and or forfeiture of compensation due and owing on a contract.

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Signature

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Title

## PROPOSED SCHEDULE OF DBE PARTICIPATION

Any DBE listed in this completed form must be certified by an approved agency such as USDOT, GDOT, or SBA 8(a) prior to the due date of this bid. Proof of DBE certification such as a certificate or letter from the certifying agency is required to accompany the bid. A firm that has submitted an application for DBE certification or an application for DBE certification under review but has not been certified is not qualified as a certified DBE and will not be recognized as such during the City's evaluation process.

Name of Bidder/Proposer: \_\_\_\_\_ Bid No. \_\_\_\_\_

Project Title: \_\_\_\_\_.

**NOTE: Proof of DBE certification must be attached to this completed form for all firms listed in the table below.**

| Name of DBE Participant             | Telephone | Email | Address<br>(City, State) | DBE?<br>(Y/N) | Type of Work<br>Sub-Contracted | Sub-<br>contract<br>Value (%) | Sub-<br>contract<br>Value (\$) |
|-------------------------------------|-----------|-------|--------------------------|---------------|--------------------------------|-------------------------------|--------------------------------|
|                                     |           |       |                          |               |                                | %                             |                                |
|                                     |           |       |                          |               |                                | %                             |                                |
|                                     |           |       |                          |               |                                | %                             |                                |
|                                     |           |       |                          |               |                                | %                             |                                |
|                                     |           |       |                          |               |                                | %                             |                                |
|                                     |           |       |                          |               |                                | %                             |                                |
| Total Base Bid                      |           |       |                          |               |                                |                               | \$                             |
| Total Proposed DBE Subcontracts     |           |       |                          |               |                                |                               | \$                             |
| Bidder's Proposed DBE Participation |           |       |                          |               |                                |                               | %                              |

**The undersigned will enter into a formal agreement with the DBE Subcontractors/Proposers identified herein for work listed in this schedule conditioned upon executing of a contract with the Mayor and Aldermen of the City of Savannah.** The Prime's subcontractors' subcontractors must enter into a formal agreement with the tier subcontractor identified herein for work listed in this schedule. It is the responsibility of the Prime contractor to ensure compliance by all subcontractors.

### Joint Venture Disclosure

If the prime bidder is a joint venture, please describe below the nature of the joint venture and level of work and financial participation to be provided by the disadvantaged joint venture firm.

| Joint Venture Firms | Level of Work | Financial Participation |
|---------------------|---------------|-------------------------|
|                     |               |                         |

Printed name (company officer or representative): \_\_\_\_\_

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

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

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_



**Disadvantaged Business Enterprise**

**GOOD FAITH EFFORT**

\_\_\_\_\_  
Prime Company Name

\_\_\_\_\_  
Bid Date

\_\_\_\_\_  
Project Name

\_\_\_\_\_  
Event Number

**If you have failed to secure DBE participation or if your DBE participation is less than the City's project goal, you MUST complete this form.**

If the bidder's method of compliance with the DBE goal is based upon demonstration of a good faith effort, the bidder will have the burden of correctly and accurately preparing and submitting the documentation required by the City. Compliance with each item, 1 through 4 below, shall satisfy the Good Faith Effort requirement absent proof of fraud, intentional and/or knowing misrepresentation of the facts or intentional discrimination by the bidder.

**This form must be submitted in its entirety with supporting documentation in a separate sealed envelope with your bid prior to the time of bid opening. Failure to comply will result in the bid being considered non-responsive and the bid will not be read or considered.**

- 1.) Please list each and every subcontracting and/or supplier opportunity (DO NOT LIST NAMES OF FIRMS) which will be used in completion of this project, regardless of whether it is to be provided by a DBE or non DBE.

(Use additional sheets, if necessary)

List of:  
Subcontracting Opportunities

List of:  
Supplier Opportunities

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2.) Did you obtain a current list of DBE firms?

\_\_\_\_\_ Yes

Date of Listing \_\_\_\_/\_\_\_\_/

\_\_\_\_\_ No

Source \_\_\_\_\_

3.) Please indicate subcontract or supplier list categories for which potential DBE bidder lists were provided?  
Provide detail of how these DBEs were solicited.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4.) **Please attach the following:**

(1) Completed Good Faith Effort Log see: 1310-7 Log

(2) Evidence of solicitation to prospective DBE firms, such as advertisements, copies of solicitation letters, faxes, emails and other to substantiate efforts.

***DEMONSTRATION OF GOOD FAITH EFFORTS MUST INCLUDE ALL ITEMS OUTLINED IN THIS SECTION.***

SECTION 01437  
DBE PARTICIPATION REPORT

**IMPORTANT NOTICES**

- The DBE Participation Report (Form 01437) must be submitted to the City of Savannah **Contract Analyst and the Office of Business Opportunity** with each pay request. Failure to submit this form can result in no credit toward contracted DBE requirements and a possible delay in monthly progress payments.
- The Prime Contractor/Consultant **may not change DBE firms without prior written approval of the City.** Contractors/Consultants may use the Add/Change of DBE Subcontractor Form (Section 01438) to request changes to the Proposed Schedule of DBE Participation (Section 01310). Any unauthorized substitution of DBE subcontractors can result in withholding of payments for up to 30 days until compliance is reestablished.
- **Documentation providing proof of payments to DBEs for work on this project shall be kept on file and available for inspection by City staff.**

PROJECT NAME & NUMBER: \_\_\_\_\_ DATE \_\_\_\_\_ REPORT NO. \_\_\_\_\_

PRIME CONTRACTOR/CONSULTANT \_\_\_\_\_ CONTRACT AMOUNT (\$) \_\_\_\_\_

DBE GOAL \_\_\_\_  This is the final project report. End Date: \_\_\_\_\_

| DBE INFORMATION |                                 |                    |                     |                   | DBE PAYMENTS                |                 |                        |                    |
|-----------------|---------------------------------|--------------------|---------------------|-------------------|-----------------------------|-----------------|------------------------|--------------------|
| APPROVED DBEs   | DESCRIPTION OF WORK or SUPPLIES | DBE CONTACT PERSON | DBE CONTACT PHONE # | DBE CONTACT EMAIL | ORIGINAL SUBCONTRACT AMOUNT | PAYMENT DATE(S) | TOTAL PAID THIS PERIOD | TOTAL PAID TO-DATE |
|                 |                                 |                    |                     |                   |                             |                 |                        |                    |
|                 |                                 |                    |                     |                   |                             |                 |                        |                    |
|                 |                                 |                    |                     |                   |                             |                 |                        |                    |
|                 |                                 |                    |                     |                   |                             |                 |                        |                    |
|                 |                                 |                    |                     |                   |                             |                 |                        |                    |
|                 |                                 |                    |                     |                   |                             |                 |                        |                    |
|                 |                                 |                    |                     |                   |                             |                 |                        |                    |

Total DBE Paid To Date: \$ \_\_\_\_\_ %

**CONTRACTOR:** I hereby certify this information is true and correct; and supporting documentation is on file and available for inspection by the City at any time.

SIGNED \_\_\_\_\_ TITLE \_\_\_\_\_ DATE \_\_\_\_\_

**CITY OF SAVANNAH**

This report has been reviewed for DBE contract compliance.

SBO Compliance Coordinator \_\_\_\_\_ DATE \_\_\_\_\_

## INSTRUCTIONS TO CONTRACTOR/CONSULTANT

To receive credit toward contracted DBE goals, the Prime Contractor/Consultant must complete and submit this form with each Request for Periodic Payment, beginning with the first payment request. An additional copy of this section must be submitted **to the SBO Compliance Coordinator**. The Office of Business Opportunity may be contacted by phone at (912) 652-3582 or by fax at (912) 651-3175. **Failure to submit this form may result in no credit toward the contract DBE requirements and a delay in monthly progress payment.**

1. Project Name: The official name of the project as stated on the contract
2. Date: Date Report is being submitted
3. Report Number: Reports must be consecutively numbered.
4. Contract Amount: Total amount of the contract to be paid to the Prime Contractor/Consultant by the City of Savannah for completion of the project.
5. DBE Goals: Enter the contracted DBE Goals per the signed agreement.
6. Final Project Report: Place an "X" or checkmark in this box when the project has been completed and the report submitted is the final payment report. Enter the date of project completion.
7. DBE Information: ONLY DBEs that have been verified and approved by the City of Savannah DBE Office, from the Prime Contractor's/Consultant's "Proposed Schedule of DBE Participation" may be included on the payment report. **NO SUBSTITUTIONS OR CHANGES IN GOALS MAY BE MADE** without prior written approval by the City.
8. DBE Payments: Enter the actual amount of the subcontract agreement for each approved DBE, the date of any payments occurring within the report period, the amount of the payments to each DBE during this period and the total each DBE has been paid-to-date.
9. Earnings-to-date: Enter the total amount paid to date to all DBE subcontractors.
10. Contractor Certification: The contractor or his authorized representative must sign this form prior to submittal. Signature indicates that all information is true and correct and documented proof of all information is on file and available for City of Savannah review at any time.

## GENERAL INFORMATION

**The prime contractor/consultant may not change DBE firms without prior written approval of the City of Savannah Office of Business Opportunity. Approval cannot be obtained from the City's Project Manager, Contract Analyst or other City of Savannah employees. Contractors/Consultants must use the Add/Change of DBE Subcontractor Form (Section 01438) to request changes to the Proposed Schedule of DBE Participation (Section 01310). **Any proposed changes must meet established DBE goals and conform to contract regulations and DBE Program Requirements.****

If the prime contractor/consultant in its bid/proposal included any second or lower tier subcontractor/sub-consultant/supplier towards meeting the goal, it is the sole responsibility of the prime contractor/consultant to ensure all DBE firms have been reviewed and approved by the City of Savannah and to document all subcontracting/sub-consulting and/or supplier participation dollars counted towards the goal, irrespective of tier level. Upon completion of the work, a final "DBE Participation Report" will be required and submitted with the final pay request.

As per the City's contract, the City's SBO policy, and signed participation reports: the prime contractor/consultant certifies all DBE payment information to be true and correct, to have all supporting documentation on file and to make copies of this documentation available to the City of Savannah. **Prime contractors/consultants will periodically be required to provide copies of payment documentation** for DBEs being counted toward the DBE goal (including the prime contractor/consultant, if it is a DBE and being counted toward the goal). Failure to comply with the City's request to provide the required documentation may cause the City to withhold payments due the prime contractor/consultant until compliance is attained. Payment documentation includes but is not limited to:

- signed sub-contracts with DBEs being utilized in meeting the project's DBE goals
- DBE invoices for payment related to the project
- proof of payment of DBE invoices related to the project

## HIRE SAVANNAH AGREEMENT

|                              |  |                    |  |
|------------------------------|--|--------------------|--|
| <b>Event #:</b>              |  | <b>Event Name:</b> |  |
| <b>Bidder/Proposer Name:</b> |  |                    |  |

The City of Savannah Mayor and Aldermen have established a priority to increase the utilization of the local workforce to the greatest extent possible on City contracts. To achieve this goal, the City has established the Hire Savannah Policy and Program which shall be included in all eligible bid awards of \$100,000 or more for covered services and \$250,000 or more for construction-related services as a method of inducing contractors to hire qualified workers who reside in Savannah, Georgia.

Contractors responding to this solicitation are required, as an issue of responsibility, to indicate that it agrees, if awarded a Covered Contract, to be bound to contractual obligations requiring it to use good faith efforts to meet the Hire Savannah Program requirements. If the bidder or proposer fails to respond affirmatively, it shall be deemed non-responsive to the solicitation.

A "Covered Contract" is a City-awarded contract that: (a) is not subject to state or federal requirements that prohibit or pre-empt the application of this Program to the contract; and (b) pays the Contractor \$100,000 or more for covered services or \$250,000 or more for construction-related services. "Construction-related Services" means services purchased by the City that involve construction, demolition, alteration and/or repair of city buildings, city public works or other city facilities.

Covered Services include the following services purchased by the City: food preparation or distribution; security services; routine maintenance services, such as janitorial, cleaning, refuse removal, recycling collections, and other similar services for normal upkeep of facilities; repair or refinishing services for furniture, fixtures, vehicles, machinery, or equipment, including preventative maintenance replacement of parts, and other activities needed to preserve the asset; clerical or other nonsupervisory office work, whether by temporary or permanent personnel; printing and reproduction services; and landscaping, lawn, or agricultural services. Covered Services does not include professional services, which are those technical services provided by an individual licensed Georgia professional or a registered professional consultant, including but not limited to lawyers, architects, engineers, and other design consultants.

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The City of Savannah Hire Savannah Policy is posted on the City of Savannah website. By signing below, the Bidder/Proposer affirms that it has read, understands and agrees to be bound by the terms and conditions of the Hire Savannah Policy.

**The undersigned hereby agrees to the terms and conditions set forth in this agreement.**

Company Name: \_\_\_\_\_

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

Company Official/Representative: \_\_\_\_\_

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

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

**CONTRACTOR AFFIDAVIT AND AGREEMENT**  
Employment Eligibility Verification

By executing this affidavit, the undersigned contractor verifies its compliance with O.C.G.A. 13-10-91, stating affirmatively that the individual, firm, or corporation which is contracting with the City of Savannah has registered with and is participating in a federal work authorization program\* [any of the electronic verification of work authorization programs operated by the United States Department of Homeland Security or any equivalent federal work authorization program operated by the United States Department of Homeland Security to verify information of newly hired employees, pursuant to the Immigration Reform and Control Act of 1986 (IRCA), P.L. 99-603], in accordance with the applicability provisions and deadlines established in O.C.G.A. 13-10-91.

The undersigned further agrees that, should it employ or contract with any subcontractor(s) in connection with the physical performance of services pursuant to this contract with the City of Savannah, contractor will secure from such subcontractor(s) similar verification of compliance with O.C.G.A. 13-10-91 on the Subcontractor Affidavit provided in Rule 300-10-01-.08 or a substantially similar form. Contractor further agrees to maintain records of such compliance and provide a copy of each such verification to the City of Savannah at the time the subcontractor(s) is retained to perform such service.

\_\_\_\_\_  
EEV / Basic Pilot Program\* User Identification Number

BY:

\_\_\_\_\_  
Contractor Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Authorized Officer or Agent

\_\_\_\_\_  
Printed Name of Authorized Officer or Agent

\_\_\_\_\_  
Title of Authorized Officer or Agent of Contractor

\*As of the effective date of O.C.G.A. 13-10-91, the applicable federal work authorization program is the "EEV / Basic Pilot Program" operated by the U. S. Citizenship and Immigration Services Bureau of the U.S. Department of Homeland Security, in conjunction with the Social Security Administration (SSA).

\* \* \* \* \*

## **Instructions for Completing Contractor Affidavit and Agreement Form**

As required under Senate Bill 529 – “Georgia Security and Immigration Compliance Act” of 2006, O.C.G.A. Section 2, Article 3 13-10-91, public employers, their contractors and subcontractors are required to verify the work eligibility of all newly hired employees through an electronic federal work authorization program. The Georgia Department of Labor has added a new Chapter 300-10-1, entitled "Public Employers, Their Contractors and Subcontractors Required to Verify New Employee Work Eligibility Through a Federal Work Authorization Program," to the Rules and Regulations of the State of Georgia. (See website: [http://www.dol.state.ga.us/pdf/rules/300\\_10\\_1.pdf](http://www.dol.state.ga.us/pdf/rules/300_10_1.pdf).) The new rules designate the “Employment Eligibility Verification (EEV) Basic Pilot Program” operated by the U.S. Citizenship and Immigration Services Bureau of the U.S. Department of Homeland Security as the electronic federal work authorization program to be utilized for these purposes. The EEV/Basic Pilot Program can be accessed at: <https://everify.uscis.gov/enroll/StartPage.aspx?JS=YES>. Bidders shall comply with this new rule and submit with your bid the attached “Contractor Affidavit and Agreement.”

***Affidavit Verifying Status for City of Savannah Benefit Application***

By executing this affidavit under oath, as an applicant for a City of Savannah, Georgia Business License or Occupation Tax Certificate, Alcohol License, Taxi Permit, Contract or other public benefit as reference in O.C.G.A. Section 50-36-1, I am stating the following with respect to my bid for a City of Savannah contract for \_\_\_\_\_. [Name of natural person applying on behalf of individual, business, corporation, partnership, or other private entity]

1.) \_\_\_\_\_ I am a citizen of the United States.

**OR**

2.) \_\_\_\_\_ I am a legal permanent resident 18 years of age or older.

**OR**

3.) \_\_\_\_\_ I am an otherwise qualified alien (8 § USC 1641) or nonimmigrant under the Federal Immigration and Nationality Act (8 USC 1101 *et seq.*) 18 years of age or older and lawfully present in the United States.\*

In making the above representation under oath, I understand that any person who knowingly and willfully makes a false, fictitious, or fraudulent statement or representation in an affidavit shall be guilty of a violation of Code Section 16-10-20 of the Official Code of Georgia.

Signature of Applicant: \_\_\_\_\_ Date \_\_\_\_\_

Printed Name: \_\_\_\_\_

SUBSCRIBED AND SWORN  
BEFORE ME ON THIS THE  
\_\_\_\_ DAY OF \_\_\_\_\_, 20\_\_\_\_

\* \_\_\_\_\_  
Alien Registration number for non-citizens.

Notary Public  
My Commission Expires:



***Instruction for Completing Systematic Alien Verification  
for Entitlement (SAVE) Form***

O.C.G.A. § 50-36-1, requires Georgia's cities to comply with the federal **Systematic Alien Verification for Entitlements (SAVE) Program**. SAVE is a federal program used to verify that applicants for certain "public benefits" are legally present in the United States. Contracts with the City are considered "public benefits." Therefore, the successful bidder will be required to provide the Affidavit Verifying Status for City of Savannah Benefit Application prior to receiving any City contract. The affidavit is included as part of this bid package but is only required of the successful bidder.