



GREENVILLE ISD
LESSONS FOR WHEREVER LIFE LEADS

4004 Moulton Street, Greenville, TX 75401 903-457-2500 Fax 903-457-2575 www.greenvilleisd.com

The Greenville Independent School District is now accepting
Requests for Qualifications for the following:

Annual Financial

Audit Services RFQ

23-002

Opening Date and Time: March 7, 2023 at 2:00 p.m. (CST)

Sealed Requests for Qualifications (RFQ) will be received in accordance with the attached specifications. The sealed envelope containing your RFQ should be plainly marked with the RFQ title, number, opening date and time.

Late RFQs will not be accepted.

Mail or deliver complete Request for
Qualifications package to:

Greenville Independent
School District

Attn: Brenda Russell
Purchasing Agent

4004 Moulton St.
Greenville, Texas 75401



Request for Qualifications

This is an invitation and Request for Qualifications for public accounting firms to perform the annual audit for the Greenville Independent School District (“District”) for the fiscal year September 2022 through June 2023. Responses to this Request for Qualifications will be received at the time and location designated, and shall include the information requested hereafter. Incomplete responses or responses not received at the time and location designated will not be considered.

BACKGROUND INFORMATION

A. General

Auditing requirements for Texas’ public-school districts are contained in the *Texas Education Agency Financial Accountability System Resource Guide*, which is the authoritative document, adopted by reference as a rule of the State Board of Education, though Title 19, Texas Administrative Code, Section 109.41. General statistics of Greenville Independent School District are:

- (1) 2022-2023 enrollment is approximately 5,500 students, with 800 employees;
- (2) Grades taught: Pre-Kindergarten through Grade 12;
- (3) Actual operating expenditures for 2021-2022 for all governmental funds totaled \$58,209,284.
- (4) The district has a fund balance invested in Securities or Investment Pools.
- (5) Greenville ISD has 5 elementary campuses, 1 sixth grade school, 1 middle school, 1 high school, 1 alternative learning and 1 early childhood center.
- (6) The 2022-2023 budgeted expenditures for General, Food Service and Debt Service Funds is \$52,860,449.
- (7) The school district expended federal grant funds, including but not limited to the ESEA Title I, Part A – Improving Basic Programs, ESEA Title II, Part A – Teacher/Principal Training, IDEA – Part B Formula, ESSER II & III and Preschool and other programs in the sum of \$21,040,330 in 2021-2022.

B. PURPOSE OF AUDIT

The purpose of the Request for Qualifications is to obtain the services of a public accounting firm for the annual audit for fiscal year 2023. The organization-wide audit will encompass the financial statements as required by GASB Statement No. 34 and the *Texas Education Agency Financial Accountability System Resource Guide* for the District for the fiscal year ending June 30, 2023. The audit is to be performed in accordance with the generally accepted auditing standards, generally accepted



government auditing standards, and the standards contained in the *Texas Education Agency Financial Accountability System Resource Guide*.

The financial statement audit is to determine whether (1) the financial statements present fairly the financial position, results of operations, and cash flows or changes in financial positions in accordance with generally accepted accounting principles, and (2) whether the District has complied with laws and regulations for those transactions and events that may have a material effect on the financial statements. The financial related audit will also include determining whether (1) financial reports and related items are fairly presented, (2) financial information is presented in accordance with established or stated criteria, and (3) the school district has adhered to specific financial compliance requirements.

As a part of the audit of the general purpose financial statements, the annual audit will also include obtaining an understanding of the school district's internal control and reporting any reportable conditions relating to the internal control systems coming to the attention of the auditors. To comply with Office of Management and Budget Circular A-133, a study and evaluation of internal control will include internal accounting and administrative controls for all major federal financial assistance. Any material weakness noted during the study and evaluation of internal accounting and administrative controls and other kinds of noncompliance and questioned costs will be reported in compliance with the Single Audit Act.

As part of the audit of the financial statements, transaction and records pertaining to federal programs will be tested for material compliance with federal laws, rules, and regulations; and all instances of noncompliance will be reported to the school district.

The audit will include the performance of certain audit procedures for the purpose of reviewing the accuracy of fiscal information provided by the district through the Public Education Information Management System (PEIMS), as required by Section 44.008(b) of the Texas Education Code. Other requirements:

1. The accounting firm should provide audited financial statements in a form that complies with the requirements for the Texas Education Agency and within the timeframe stipulated in TEC 21.256(d) of 150 days subsequent to the close of the fiscal year for which the audit was made.
2. The District will provide supporting schedules for auditor review at the close of the fiscal year. Attachment B includes a listing of schedules that the District will prepare.
3. It is requested that the interested accounting firm include a detailed description of



each step in the audit approach that will be taken in the audit engagement including estimated hours for each.

4. The firm upon being awarded this engagement will be expected to review the detailed audit work plan and schedule with the Chief Financial Officer and Superintendent prior to commencing the audit assignment each year.

5. All working papers and reports must be retained, at the auditor's expense, for a minimum of five (5) years, unless the firm is notified in writing by the District of the need to extend the retention period. The auditor will be required to make working papers available, upon request, to the District, to auditors from the Texas Education Agency, and the General Accounting Office, or other applicable governmental agencies. They are not otherwise considered to be records open to the general public.

6. For the 2023-2024 fiscal year, a quarterly financial report will be conducted and reviewed with the Chief Financial Officer and Superintendent.

C. INDEPENDENT AUDITOR

The interested accounting firm must demonstrate the capability to perform the annual audit in accordance with the generally accepted government auditing standards and the state board of education auditing rules. Public accounting firms that have performed annual audits for similar entities are encouraged to file a proposal.

D. TERMS OF THE AUDIT ENGAGEMENT

The contract for audit services based on Board of Trustees approval of the proposal shall be for the fiscal year ending June, 30 2023. The District may request to extend this agreement for up to another four years through fiscal year June 30, 2027, following satisfactory delivery of the services specified in the proposal and engagement letter. The extension may be granted in one year or multi-year increments and must be approved by the Board of Trustees.

E. DISPUTE RESOLUTION

Disputes concerning the terms of contracted services that cannot be resolved will be brought before an independent mediation center, whose decision will be binding upon both parties.



SECTION II – STATEMENT OF QUALIFICATIONS CONTENT

A. COVER LETTER

See conditions for submission of proposal in Section III.

A. TECHNICAL COMPONENT

To describe clearly the public accounting firm's understanding of the audit work to be done the interested accounting firm will:

1. Provide a definition of the term "generally accepted auditing standards" with clear distinctions between these standards and generally accepted auditing standards for non- governmental audit engagements.
2. Explain the interested accounting firm's approaches to performing an annual audit, including the methodology, nature, timing, and extent of audit procedures to be performed.
3. Describe how the approach to performing the audit would be affected if this were a multiyear contract.
4. Make a statement concerning the independence of the interested accounting firm, including direct and indirect financial interests, and the relationship of the proposed audit team to the employees of the district and any of the board members.

B. MANAGEMENT COMPONENT

The interested firm will furnish satisfactory evidence of capability to provide in a professional and timely manner the services stated in the Request for Qualifications. To meet this requirement:

1. Provide the name of the external quality control review organization of which the interested accounting firm is a member and the interested accounting firm's length of management. Also state the frequency of peer reviews received by the interested firm.
2. Give the date of the last peer review and whether in the most recent review an unqualified report was issued.
3. State whether the interested firm is a national, regional, or local public accounting firm.



4. Provide evidence that the interested firm has experience in performing school district/government audits. List current and past audit clients along with the names and telephone numbers of contact persons and number of years audit services were provided. State the average daily attendance of the public schools on the list.
5. State whether the interested firm is currently under the terms of a public or private reprimand by the Texas State Board of Public Accountancy and licensing boards of other states.
6. Describe the proposed audit team, in terms of job positions in the firm.
7. List names of staff member(s) who will direct the overall audit throughout the duration of the engagement as well as those staff members who will be responsible for planning, directing, and conducting substantial portions of the fieldwork or reporting on this audit engagement. At a minimum list the names of the Partner, Director, Audit Manager, and Audit Senior who will be responsible for the engagement. Include the educational background of all staff members named and professional licenses held.
8. Describe continuing professional education in governmental accounting and auditing received by the proposed audit team during the last four years.
9. Provide the names and qualifications of any needed outside specialists and consultants that will assist the interested firm's staff members.
10. Describe staff rotation plans for audit team members if this is to be a multiyear contract.
11. Describe the level of assistance that will be expected from District personnel, including staff.
12. Provide evidence of the ability to comply with the requirements in Sections II and VI of the Request for Qualifications.

A. TASK/ACTIVITY PLAN

The interested firm will specify budgeted hours, timelines and sequence for audit procedures, and names of staff to be assigned. Work performed below the Audit Senior level may be referred to by title rather than name in the task/activity plan.



A. EVALUATION

Criteria used to evaluate the interested firm's methodologies, products, and services are shown in Attachment A.

SECTION III – CONDITIONS FOR SUBMISSIONS OF PROPOSAL

A. MINIMUM REQUIREMENTS

All proposals in response to this request must meet the following conditions to be considered:

1. Qualifications must include a cover letter clearly stating the name of the firm and the name, address, and telephone number of the interested firm's representative.
2. Qualifications must address each of the audit requirements as stated in this Request for Qualifications.
3. The District reserves the right to reject any and all proposals, and to negotiate portions thereof. Qualifications that address only part of the requirements contained in this Request for Qualifications will not be considered.
4. The District reserves the right to select any proposal, considering the quoted estimated fee and other factors.
5. The interested firm shall furnish such additional information that the District may reasonably require.
6. The District will not be liable for any cost incurred in the preparation of proposals.
7. The District may ask interested firms to send a representative for an oral interview prior to Board of Trustee approval of a proposal. The District will not be liable for the costs incurred by the interested firm in connection with such interview.
8. The District and interested firms may enter into discussions and revisions of proposal, as necessary. Discussions/negotiations may be conducted with interested firms who are deemed to be within the final competitive range; however, the District reserves the right to award a contract without discussions/negotiations. The best and final proposal may be required as early as 24 hours after completion of negotiations/discussions.
9. Qualifications must be signed by an authorized individual to contractually bind their firm when submitting the Qualifications. Failure to sign the Qualifications will be considered as a "mistake in Qualifications," and the Qualifications will be rejected



as “non-responsive.”

10. By submitting a Qualification, the interested firm affirms that its company, corporation, firm, partnership or individual has not prepared this proposal in collusion with any other bidder and that the contents of this Qualification as to prices, terms, or conditions have not been communicated by the undersigned or by any employee or agent to any other person or firm engaged in this type of business prior to the official opening of this proposal.

11. Upon notification of potential selections for award, the person or entity submitting this Qualification must give notice to the District if the person or an owner or operator of the business entity has been convicted of a felony. The notice must include a general description of the conduct resulting in this conviction of a felony (this requirement does not apply to a publicly held corporation).

12. In the event that any one or more of the provisions contained in this Request for Qualifications (or resulting purchase order) shall be held by a court of competent jurisdiction to be invalid, illegal or unenforceable, such provisions shall not affect any other provision hereof, and this Request for Qualifications (or any resulting purchase order) shall be construed as if the invalid, illegal or unenforceable provision(s) had never been contained herein.

SECTION IV – PROCEDURES FOR SUBMITTING PROPOSALS

A. DELIVERY

Responses to the Request for Qualifications should be addressed to:

Greenville Independent School District
Attn: Brenda Russell, Purchasing Agent
4004 Moulton St., Greenville, TX 75401

Proposals must be received no later than 2:00 p.m. (CST) on **Tuesday, March 7, 2023**. Proposals received at the District’s office after the time and date specified above will not be considered and will be filed unopened.

Oral or telegraphic Qualifications transmitted via the District’s facsimile machine are not acceptable. Proposals must be submitted to the District in a sealed envelope.

DO NOT FAX YOUR PROPOSAL!



B. NUMBER OF COPIES OF PROPOSAL

Submit three (3) copies of the Request for Qualifications. The qualifications are to be bound and sealed.

SECTION V – ASSISTANCE TO PROPOSERS

Any person wishing to obtain additional information about the Request for Qualifications or about the operations of the District may contact:

Sharon Boothe, Superintendent

boothes@greenvilleisd.com

The District will only respond to questions submitted via email.

SECTION VI – STATEMENT OF REQUIREMENTS

A. DELIVERABLES

1. The independent auditor will provide one (1) electronic copy of the final annual financial report that meets the requirements of *Texas Education Agency Financial Accountability System Resource Guide* and ten (10) printed bound copies.
2. A preliminary draft of the audit report and management letter will be presented to the District prior to submission of the final draft. Timing of the submission must allow District personnel sufficient time to review the report. The draft may also be presented to the District's Audit Committee.
3. Satisfactory delivery of the services specified by the Request for Qualifications and the engagement letter shall be accomplished no later than the November meeting of the Board of Trustees.
4. The independent auditor will be required to present the audit report to the Board of Trustees at the November meeting.
5. The independent auditor is required to provide a management letter containing comments oriented toward constructive improvements. Copies of selected audit working papers will be provided as requested by the District and as provided for in the



engagement letter. If a management letter is issued, the auditor will provide the District ten (10) copies.

6. The auditor will prepare and provide one (1) copy of the Data Collection Form for Reporting on Audits of States, Local Governments and Nonprofit Organizations.

SECTION VII – PROPOSED SCHEDULE

A. PROPOSAL TIMING

Advertise and Release RFQ	February 7, 2023
Proposals due to the District	March 7, 2023
Approval of firm by Board of Trustees	April 18, 2023

B. AUDIT TIMING (SUBJECT TO CHANGE)

Start interim field work	June 19, 2023
Start final field work	August 14, 2023
Draft financial statements/management letter due to District for review	October 31, 2023
Presentation of issued financial Statements to the Board of Trustees	November 14, 2023



SECTION VIII – BOARD OF TRUSTEE APPROVAL

The Board of Trustees expects to engage an audit firm for three years. However, the Board of Trustees expressly reserves the right to reject all bids and to review the relationship on an annual basis and to formally approve each year's extension. The District reserves the right to cancel any contract resulting from this Request for Qualifications at any time, for any reason (or for no reason) within a thirty (30) day written notice to the firm. The firm may cancel any resulting contract, at any time for any reason, or for no reason with a sixty (60) day written notice. Any notice required or permitted to be delivered to the firm shall be deemed to be delivered when mailed by registered or certified mail, return receipt requested, postage prepaid, and addressed to the bidder's address appearing on the fact of the Request for Qualifications (or as subsequently revised or changed). Any compensation due the firm will be limited to items received and/or services performed and accepted by the District. It is possible that the Board could terminate the relationship at any time. However, the Board of Trustees does not desire or expect that to be the case and assumes that a long and satisfactory relationship will be the experience.

SECTION IX – OTHER INFORMATION

Auditors will be allowed to work on site after 5:00 p.m. if necessary and desirable. However, it cannot be guaranteed that Staff will be available to answer questions at those times. Arrangements should be made in advance if these after- hours periods are necessary.



Attachment A

EVALUATION WORKSHEET

This worksheet is to be used to document the District’s evaluation of the interested firm’s qualifications. Points within the ranges specified are to be assigned to the below-listed criteria as a means for quantifying the relative strengths and weaknesses of the various proposals.

A short list of firms will be developed using these evaluation criteria. These firms may be scheduled for an oral presentation/interview with the selection committee. It should be understood that while the total score is a significant factor, the requester of the services reserves the right to consider other factors in making a final selection.

PROFESSIONAL QUALIFICATIONS

The evaluation of professional qualifications of the interested firms will be based on the following criteria:

SECTION I – MANDATORY CRITERIA

Proposals will not be considered for further evaluation unless there is compliance with all of the following criteria. The interested firm:

- A. Must be an independent auditor properly licensed for public practice.
- B. Must meet the independence standards of Government Auditing Standards, United States General Accounting Office (GAO).
- C. Must not have a record of substandard work.
- D. Must submit a proposal meeting all of the requirements of the Request for Qualifications.
- E. Submit a copy of an audit that is comparable to Greenville ISD in regards to the student enrollment. The District’s current total enrollment is approximately 5,500 students.



SECTION II –EVALUATION CRITERIA

TECHNICAL CRITERIA	POINTS
Proposals which have met each of the criteria in Section I above will be evaluated on the following criteria:	
Technical Experience of the Firm:	
(a) Auditing experience in Texas public schools (0-15)	
(b) Auditing experience in government entities (0-5)	
(c) Customer satisfaction: Are current or prior customers of the firm satisfied with the level of service provided? (0-10)	
Characteristics of the staff, including consultants to be assigned to the audit:	
(a) Size and structure of the firm, including audit staff positions (0-5)	
(b) Qualifications of supervisory personnel, consultants, and the field audit team	
(1) Education, including continuing education courses taken during the past two years (0-10)	
(2) Years and types of experience (0-10)	
(c) General direction and supervision to be exercised over the audit team by the firm’s management personnel (0-15)	
Clear understanding of the work to be performed:	
(a) Comprehensiveness of the audit work plan (0-5)	
(b) Realistic time estimates of each major segment of the work plan, and the estimated number of hours for each staff level including consultants assigned (0-10)	
Oral Interviews (If Necessary)	
(a) Interview Points Awarded (0-15)	
Total Points	

SECTION III – INTERVIEW/ORAL PRESENTATION

Additional submission requirements and evaluation criteria for the interview/oral presentation will be provided separately to those firms selected for interviews, if applicable.



Attachment B

SUPPORT SCHEDULES THAT HAVE BEEN PREPARED BY THE DISTRICT

- A. ACCOUNTS PAYABLE
 - 1. Year End Accruals

- B. BUDGET
 - 1. Final Budget by Function

- C. CASH
 - 1. Bank Reconciliations for All Months
 - 2. Bank Statements and Lists of Outstanding Checks for All Months

- D. DEBT
 - 1. Bond Payment Amortization Schedules
 - 2. Bond Schedule (Debt Service Requirements through Maturity)
 - 3. Documentation of New Bond Issuances
 - 4. Schedule of Leases Payable (current year through total future payments)

- E. FEDERAL FUNDS
 - 1. All Federal Expenditure Report Filings

- F. FIXED ASSETS
 - 1. Schedule of All Fixed Asset Additions
 - 2. Schedule of All Fixed Asset Disposals
 - 3. Detail of Fixed Asset Disposals Including Date of Sale and Proceeds
 - 4. Summary of Construction in Progress

- G. INTERFUND
 - 1. Schedule of Interfund due to/due from

- H. INVESTMENTS
 - 1. Investment Statements for All Months
 - 2. Schedule of Investments at Year End

- I. PAYROLL
 - 1. Quarterly Federal Payroll Reports (941s)
 - 2. Accrued Salaries
 - 3. Monthly TRS Reports
 - 4. Workers Compensation Liability



J. PREPAIDS

1. Schedule of Prepaid Items

K. PURCHASING

1. Contracts Entered Into by District
2. Schedule of Bids
3. Conflict of Interest Statements

L. TAXES

1. Schedule of tax collections
2. Copies of tax collectors' reports as requested

M. OTHER

1. Board Minutes – through the date of report issuance
2. Budget Amendments
3. Various Confirmations



Vendor Requirements Packet for RFQ 23-002 Annual Financial Audit Services

The following forms must be completed, signed and submitted along with the RFQ submission:

1. Certificate of Interested Parties
2. Conflict of Interest Questionnaire
3. Felony Conviction Disclosure Statement
4. Debarment or Suspension Certification Form
5. Senate Bill 252 – Chapter 2252 Verification
6. W-9

CERTIFICATE OF INTERESTED PARTIES

FORM 1295

Complete Nos. 1 - 4 and 6 if there are interested parties.
Complete Nos. 1, 2, 3, 5, and 6 if there are no interested parties.

OFFICE USE ONLY

1 Name of business entity filing form, and the city, state and country of the business entity's place of business.

2 Name of governmental entity or state agency that is a party to the contract for which the form is being filed.

3 Provide the identification number used by the governmental entity or state agency to track or identify the contract, and provide a description of the services, goods, or other property to be provided under the contract.

4 Name of Interested Party	City, State, Country (place of business)	Nature of Interest (check applicable)	
		Controlling	Intermediary

5 Check only if there is NO interested Party.

6 UNSWORN DECLARATION

My name is _____, and my date of birth is _____.

My address _____ (street) _____ (city) _____ (state) _____ (zip code) _____ (country)

I declare under penalty of perjury that the foregoing is true and correct.

Executed in _____ County, State of _____, on the _____ day of _____, 20____.
(month) (year)

Signature of authorized agent of contracting business entity
(Declarant)

ADD ADDITIONAL PAGES AS NECESSARY

CERTIFICATE OF INTERESTED PARTIES FORM 1295

Certificate of Interested Parties (Form 1295 must be filled out electronically with the Texas Ethics Commission's online filing application, printed out, signed, notarized, and sent to Lovejoy Purchasing)

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

The law applies only to a contract between a governmental entity or state agency and a business entity at the time it is voted on by the governing body or at the time it binds the governmental entity or state agency, or whichever is earlier, including an amended, extended, or renewed contract, of a governmental entity or state agency that either:

- (1) requires an action or vote by the governing body of the entity or agency before the contract may be signed; or
- (2) has a value of at least \$1 million.

Gov't Code § 2252.908; 1 T.A.C. §§ 46.1(b), 46.3(a). The disclosure requirement applies to a contract entered into on or after January 1, 2016.

A contract does not require an action or vote by the governing body of a governmental entity or state agency if:

- (1) the governing body has legal authority to delegate to its staff the authority to execute the contract;
- (2) the governing body has delegated to its staff the authority to execute the contract; and
- (3) the governing body does not participate in the selection of the business entity with which the contract is entered into.

Proposers must file Form 1295 electronically with the Texas Ethics Commission using the online filing application, which can be found at https://www.ethics.state.tx.us/whatsnew/elf_info_form1295.htm. Proposers must use the filing application on the Texas Ethics Commission's website to enter the required information on Form 1295. Proposers must print a copy of the completed form, which will include a certification of filing containing a unique certification number. The Form 1295 must be signed by an authorized agent of the business entity, and the form must be notarized. The completed Form 1295 with the certification of filing certificate number and signatures must be filed with Greenville ISD by sending the completed form to the Greenville Purchasing department.

Greenville ISD must acknowledge the receipt of the filed Form 1295 by notifying the Texas Ethics Commission of the receipt of the filed Form 1295 no later than the 30th day after the date the contract binds all parties to the contract. After Greenville ISD acknowledges the Form 1295, the Texas Ethics Commission will post the completed Form 1295 to its website within seven business days after receiving notice from Greenville ISD.

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

FORM CIQ

This questionnaire reflects changes made to the law by H.B. 23, 84th Leg., Regular Session.
 This questionnaire is being filed in accordance with Chapter 176, Local Government Code, by a vendor who has a business relationship as defined by Section 176.001(1-a) with a local governmental entity and the vendor meets requirements under Section 176.006(a).
 By law this questionnaire must be filed with the records administrator of the local governmental entity not later than the 7th business day after the date the vendor becomes aware of facts that require the statement to be filed. See Section 176.006(a-1), Local Government Code.
 A vendor commits an offense if the vendor knowingly violates Section 176.006, Local Government Code. An offense under this section is a misdemeanor.

OFFICE USE ONLY

Date Received

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

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

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

 Name of Officer

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

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

Yes No

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

Yes No

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

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

7

 Signature of vendor doing business with the governmental entity

 Date

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

A complete copy of Chapter 176 of the Local Government Code may be found at <http://www.statutes.legis.state.tx.us/Docs/LG/htm/LG.176.htm>. For easy reference, below are some of the sections cited on this form.

Local Government Code § 176.001(1-a): "Business relationship" means a connection between two or more parties based on commercial activity of one of the parties. The term does not include a connection based on:

- (A) a transaction that is subject to rate or fee regulation by a federal, state, or local governmental entity or an agency of a federal, state, or local governmental entity;
- (B) a transaction conducted at a price and subject to terms available to the public; or
- (C) a purchase or lease of goods or services from a person that is chartered by a state or federal agency and that is subject to regular examination by, and reporting to, that agency.

Local Government Code § 176.003(a)(2)(A) and (B):

(a) A local government officer shall file a conflicts disclosure statement with respect to a vendor if:

(2) the vendor:

(A) has an employment or other business relationship with the local government officer or a family member of the officer that results in the officer or family member receiving taxable income, other than investment income, that exceeds \$2,500 during the 12-month period preceding the date that the officer becomes aware that

- (i) a contract between the local governmental entity and vendor has been executed; or
- or
- (ii) the local governmental entity is considering entering into a contract with the vendor;

(B) has given to the local government officer or a family member of the officer one or more gifts that have an aggregate value of more than \$100 in the 12-month period preceding the date the officer becomes aware that:

- (i) a contract between the local governmental entity and vendor has been executed; or
- (ii) the local governmental entity is considering entering into a contract with the vendor.

Local Government Code § 176.006(a) and (a-1)

(a) A vendor shall file a completed conflict of interest questionnaire if the vendor has a business relationship with a local governmental entity and:

- (1) has an employment or other business relationship with a local government officer of that local governmental entity, or a family member of the officer, described by Section 176.003(a)(2)(A);
- (2) has given a local government officer of that local governmental entity, or a family member of the officer, one or more gifts with the aggregate value specified by Section 176.003(a)(2)(B), excluding any gift described by Section 176.003(a-1); or
- (3) has a family relationship with a local government officer of that local governmental entity.

(a-1) The completed conflict of interest questionnaire must be filed with the appropriate records administrator not later than the seventh business day after the later of:

- (1) the date that the vendor:
 - (A) begins discussions or negotiations to enter into a contract with the local governmental entity; or
 - (B) submits to the local governmental entity an application, response to a request for proposals or bids, correspondence, or another writing related to a potential contract with the local governmental entity; or
- (2) the date the vendor becomes aware:
 - (A) of an employment or other business relationship with a local government officer, or a family member of the officer, described by Subsection (a);
 - (B) that the vendor has given one or more gifts described by Subsection (a); or
 - (C) of a family relationship with a local government officer.

Section 44.034, Texas Education Code, Notification of Criminal History, Subsection (a), states “A person or business entity that enters into a contract with a school district must give advance notice to the district if the person or operator of the business entity has been convicted of a felony. The notice must include a general description of the conduct resulting in the conviction of a felony.”

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

This notice is NOT required of a Publicly-Held Corporation.

CRIMINAL HISTORY REVIEW OF CONTRACTOR EMPLOYEES

Bidder shall review §22.0834, Texas Education Code and 19 Texas Administrative Code §153.1101 and §153.1117 regarding criminal history checks of school contractor employees. The rules define continuing duties related to contracted services, direct contact with students, covered contract employee and other relevant terms within the statute.

Except as otherwise provided herein, the contractor will obtain and certify in writing, before work begins, and at least annually, that the contractor has received all criminal history record information that relates to an employee, applicant, agent or subcontractor of the contractor or a subcontractor, if the person has or will have continuing duties related to the contracted services, and the duties are or will be performed on GISD property where students are regularly present or at another location where students are regularly present. Contractor shall assume all expenses associated with the background checks and shall immediately remove any employee or agent who was convicted of, received probation for, or received deferred adjudication for any felony as outline below or any misdemeanor involving moral turpitude, from GISD property or other location where students are regularly present. GISD shall determine what constitutes “moral turpitude” or “a location where students are regularly present.”

Contractor or subcontractors may not work on GISD property where students are present when they have been convicted, received probation or deferred adjudication for the following felony offenses:

1. Any offense against a person who was, at the time the offense occurred, under 18 years of age or enrolled at a public school;
2. Any sex offense;
3. Any crimes against persons involving:
 - a. Controlled substances; or
 - b. Property; or
4. Any other offense GISD believes might compromise the safety of students, employees or property.

Please complete the information below:

I, the undersigned agent for the firm named below, certify that the information concerning notification of felony convictions and criminal history checks for the company employees, agents, or subcontractors that will be on the GISD campuses have been reviewed by me, shall be complied with, and the following information furnished is true to the best of my knowledge.

Vendor’s Name: _____

Authorized Company Official’s Name (please print or type):

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

Signature of Company official: _____ Date: _____

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

Name of Felon(s): _____

Details of Conviction(s): _____

Signature of Company Official: _____ Date: _____

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

Signature of Company Official: _____ Date: _____

DEBARMENT OR SUSPENSION CERTIFICATION FORM

Non-Federal entities are prohibited from contracting with or making sub-awards under covered transaction to parties that are suspended or debarred or whose principals are suspended or debarred. Covered transactions include procurement of goods or services equal to or in excess of \$25,000. Contractors receiving individual awards of \$25,000 or more and all sub-recipients must certify that the organizations and its principals are not suspended or debarred.

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

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

Vendor Name: _____

Vendor Address: _____

Vendor Telephone: _____

Authorized Company Official's Name: _____ (printed)

Signature of Company Official: _____

Date: _____

SENATE BILL 252 – CHAPTER 2252 VERIFICATION

Effective September 1, 2017 contracts with companies engaged in business with Iran, Sudan, or foreign terrorist organization is prohibited. A governmental entity may not enter into a governmental contract with a company that is identified on a list prepared and maintained under Section 806.051, 807.051 or 2252.153. The comptroller shall prepare and maintain, and make available to each governmental entity, a list of companies known to have contracts with or provide supplies and services to a foreign terrorist organization.

I, _____, the undersigned representative of

_____ (Company or Business Name) being an

adult over the age of eighteen (18) years of age, pursuant to Texas Government Code, Chapter 2252, Section 2252.152 and Section 2252.153, certify that the company names above is not listed on the website of the Comptroller of the State of Texas concerning the listing of companies that are identified under Section 806.051, Section 807.051 or Section 2253.153. I further certify that should the above-named company enter into a contract that is on said listing of companies on the website of the Comptroller of the State of Texas which do business with Iran, Sudan or any Foreign Terrorist Organization, I will immediately notify the Greenville Independent School District's Purchasing Department.

Printed Name

Title

Signature

Date

Request for Taxpayer Identification Number and Certification

▶ Go to www.irs.gov/FormW9 for instructions and the latest information.

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

Print or type. See specific instructions on page 3.	<p>1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.</p>	
	<p>2 Business name/disregarded entity name, if different from above</p>	
	<p>3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only one of the following seven boxes.</p> <p><input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate</p> <p><input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ▶ _____</p> <p>Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.</p> <p><input type="checkbox"/> Other (see instructions) ▶ _____</p>	<p>4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):</p> <p>Exempt payee code (if any) _____</p> <p>Exemption from FATCA reporting code (if any) _____</p> <p><small>(Applies to accounts maintained outside the U.S.)</small></p>
	<p>5 Address (number, street, and apt. or suite no.) See instructions.</p>	Requestor's name and address (optional)
	<p>6 City, state, and ZIP code</p>	
	<p>7 List account number(s) here (optional)</p>	

Part I Taxpayer Identification Number (TIN)

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

Note: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number								
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Part II Certification

Under penalties of perjury, I certify that:

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

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

Sign Here	Signature of U.S. person ▶ _____	Date ▶ _____
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General Instructions

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

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

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following:

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.