

Attachment A

Forms

Request for Proposal #NST021314

Bidders are required to complete all forms provided in this attachment.

Forms A.1-A.6 are to be included as part of the Technical Proposal.

Forms A.7 is to be submitted as the Cost Proposal.

- Form A.1 Mandatory Project Requirements
- Form A.2: Baseline Functional Requirements
- Form A.3: Agency-Specific Functional Requirements - Lottery
- Form A.4: Agency-Specific Functional Requirements - NDR
- Form A.5: Agency-Specific Functional Requirements – Department of Labor
- Form A.6: Agency-Specific Functional Requirements – Treasury Management
- Form A.7: Total Costs for proposal. Costs for optional renewal periods are to be listed. The State Treasurer is not committing to renewing the contract by requiring this information.

Forms A.8 and A.9 will not be scored.

- Form A.8: Other Costs. In the event there are fees associated with the services solicited by this RFP that are not listed on Form A.7, the bidder should list all such additional fees that could be charged under the contract resulting from this RFP here.
- Form A.9: Fixed Hourly Rates. Every job title identified in RFP Section V.A.2.i. SUMMARY of BIDDER'S PROPOSED PERSONNEL/MANAGEMENT APPROACH and fixed, all-inclusive hourly rates assigned must be listed.

Form A.1

Mandatory Project Requirements

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Please answer the following seven mandatory questions with a check mark after the appropriate response. Any "No" answer will eliminate the bidder from further evaluations.

Yes ___ **No** ___ Does the bidder agree, without exceptions, to meet State Statute requirements for collateralization of State Deposits?

Yes ___ **No** ___ Does the bidder agree, without exceptions, to provide a statement of collateral every month?

Yes ___ **No** ___ Does the bidder agree, without exceptions, that collateral arrangements must require a signature of a State designated representative before release of collateral or line of credit?

Yes ___ **No** ___ Is the bidder a state or national bank licensed to do business in the State of Nebraska and of approved standing and responsibility pursuant to Neb. Rev. Stat. § 77-2301?

Yes ___ **No** ___ Does the contractor agree to cash Nebraska State Treasury warrants and warrants issued by the NCSPC free of charge and without requiring a fingerprint as required in Neb. Rev. Stat. § 77-2301?

Yes ___ **No** ___ Bidder should provide complete Financial Statements and demonstrate the current and future financial stability to fully perform the contract for five years.

Yes ___ **No** ___ Does the bidder agree to continue the use of the State of Nebraska's UPIC numbers?

Form A.2

Baseline Functional Requirements

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Each bidder must respond in a detailed manner how the bidder will comply with the following statements.

FR 1 – Technical/Hardware/Software Requirements	
a.	Describe hardware/software requirements to access the online solution proposed in this RFP response.
Response:	

FR 2 – Online Bank Reporting/Internet Functionality	
a.	Provide a secure online solution to view bank activity.
Response:	
b.	Provide a CD demonstration of online solution. If the bidder cannot provide a CD please provide a link to the website.
Response:	
c.	Describe the security levels that are available in the online solution, including whether security levels can be set by user, account, dollar amount, or type of transaction.
Response:	
d.	Describe the security measures for which the State's Security Administrator will be responsible.
Response:	
e.	Describe the firewalls to protect customer information on the bank side.
Response:	
f.	Describe the second type of online authentication the bidder uses besides user ID and password.
Response:	
g.	Explain the number of users the State can have access the bidder's online system and how many users can be on the system at one time.
Response:	
h.	Explain how online solution upgrades are handled.
Response:	

i.	Explain what time of day (CT) the information is retrieved from the ACH network and made available for current day reporting and how often the bank activity is updated.
Response:	
j.	Have previous day information available by 8:00 AM CT.
Response:	
k.	Provide a detailed listing and samples of all reports available online. Explain how these reports can be customized.
Response:	
l.	Provide the ability to view, print, and download daily reports for previous day and current day activity in one (1) or more of the formats listed in Exhibit 1.
Response:	
m.	List all the information on current day and previous day reports. Example: trace number, effective entry date, payment description, originator's company ID number and amount.
Response:	
n.	Show an example where the ACH trace numbers are located. Example: on current day, previous day, or ACH received item addenda reports (whether translated or raw data).
Response:	
o.	The bidder will detail the process the State will use to export using a CSV format the daily bank activity from an online/internet based information reporting application, and in which format the bidder will allow the State to use. (Examples are listed in Exhibit 1 and the bidder must use one of the four formats)
Respond:	
p.	Provide monthly analysis statements online and via email and/or USPS. Online reports must be downloadable in an editable file format.
Response:	
q.	Explain the length of time data is retained and the process to retrieve it. Provide sample reports and information regarding data retention of transactions. Explain any options for extending the time frame on data retention.
Response:	
r.	Explain if the State will have the capability to create templates for repetitive ACH transaction, and if so, how this functionality works.
Response:	
s.	Provide an online solution to initiate and complete wires and intrabank transfers with a back-up phone process.
Response:	
t.	Explain if same-day book transfers can be made and at what time the last transfer could be made for same day transactions.
Response:	

FR 3 – Return/Notification of Change Reporting

a. Describe in detail the methods by which agencies will receive ACH notifications of change and returned items.

Response:

b. If the State would need the Returns and Notifications of Changes sorted by company ID's, describe how multiple reports could be produced or obtained.

Response:

c. Describe when the Returns and Notifications of Change would be available for viewing. (Example: posting day, or next day after settlement of the ACH notification of change or return and what time CT)

Response:

d. Provide a separate file of returned items with the ability to view, print, and download the report.

Response:

e. Describe how the bidder can prepare a NACHA-formatted raw data file of ACH returns and Notifications of Change entries by specified company IDs.

Response:

f. Describe how the bidder will make an entry for each ACH return. Can the entries be made per return item? Describe how that return can be identified by the State.

Response:

FR 4 – ACH Reversals/Deletes

a. Describe how reversals or deletions are accepted from multiple designated individuals at State agencies.

Response:

b. Describe how reversals/deletions are handled at the bank and what time frame (CT) the State is required to meet. Inform the State how the bank will handle reversed or deleted ACH transactions (i.e., by phone, FAX, or Internet).

Response:

c. Explain the procedure the State would use to reverse an ACH payment that was credited to one bank account, but have the main relationship account debited.

Response:

d. Bidder is required to be capable of reversing or deleting individual transactions, batches, or entire files on behalf of the State in accordance with NACHA regulations. Explain this process.

Response:

e.	Explain how the bank processes a reversal or deletion and how information is received at the bank. Include how quickly the entries would be made.
Response:	
f.	Describe how the confirmation for deletions and reversals is provided.
Response:	
g.	Explain how the State can identify reversed or deleted entries the bank would make.
Response:	

FR 5 – Settlement/Funding

a.	Allow funding on settlement date.
Response:	
b.	Be able to process ACH credit and debit files for next day, two day, or ten day settlement date.
Response:	
c.	Explain when ACH credits would be available and when the money would be available to transfer.
Response:	
d.	Explain the order that the bank posts transactions. Example: credits post before debits.
Response:	
e.	Provide an online solution for electronic submission of NACHA formatted files; this includes multiple SEC formats for debit and credit transactions.
Response:	
f.	Detail the process for file balancing, verification, and confirmation.
Response:	

FR 6 – Fraud Prevention – ACH Filters/ACH Blocks

a.	Bidder must describe in detail the filters or fraud prevention services available.
Response:	
b.	Explain the bidder's ability to block all ACH debits on accounts, including consumer and corporate.
Response:	

c.	Explain if the bidder would allow the State to designate certain companies to debit the State's bank account and block all other companies.
Response:	
d.	Explain how the State would notify the bank of an unauthorized debit on the State's bank account. Please explain how the State would pull the report and how the debit would show on the bank report.
Response:	

FR 7 – Web-Based Application for RCK Entries	
a.	Provide an online solution to initiate RCK entries through the ACH network in an attempt to collect on insufficient funds checks.
Response:	
b.	Explain what security measures are put in place to authorize the RCK entry.
Response:	
c.	Explain how the RCK entry would show on the bank statement.
Response:	

FR 8 – Other	
a.	Explain what training options are available to new users. Please include if the training is in person, by phone and any charge associated for this service.
Response:	
b.	Describe the hours of customer service and what information customer service would be able to assist with.
Response:	
c.	Explain if the bank charges for use of uncollected funds. If so, please explain how the charge is calculated. The State will require these charges to be offset by earnings credit allowance.
Response:	
d.	For those accounts requiring collateralization, provide a monthly statement of pledged collateral. The statement is due by the 15th of the month and is to reflect the market value on the last business day of the previous month.
Response:	
e.	Provide credit limit for the day on State accounts of \$425 million. Largest to date was \$371,992,076.00 for one (1) day.
Response:	
f.	Provide debit limit for the day on State accounts of \$325 million. Largest to date was \$303,782,070.00 for one (1) day.
Response:	

Form A.3

Agency-Specific Functional Requirements – Lottery

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Each bidder must respond in a detailed manner to the following agency-specific requirements for Lottery.

a.	Process the EFT batch file from GTech, including confirmation of file accuracy and verification from bank of completed processing (including totals).
Response:	

Lottery – Charitable Gaming

a.	Interface (accept electronic invoices) with GL Solution.
Response:	
b.	Process transactions in real time.
Response:	

Form A.4

Agency-Specific Functional Requirements – NDR

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Each bidder must respond in a detailed manner to the following agency-specific requirements for Department of Revenue.

GENERAL	
a.	NDR currently utilizes eight (8) bank accounts, and reserves the right to add, eliminate, or combine accounts as needed. Bidder must allow online access to the bank accounts and both the current day and up to thirty (30) days of previous activity via an online information reporting solution. This information must be downloadable.
Response:	
ACH DEBIT ORIGATION SERVICES	
b.	Originate ACH debits from files provided to the bank from multiple sources.
Response:	
c.	Deposit funds into State bank accounts as directed by NDR.
Response:	
ACH CREDIT PROCESSING SERVICES	
d.	Provide RDFI services, including depositing received funds into specified bank accounts and providing NDR with files containing offsetting credits.
Response:	
e.	Retain existing UPIC numbers.
Response:	
OTHER CURRENT REQUIRED SERVICES	
f.	Combine electronic Posting or a Trap file of all ACH credit files received daily and all ACH debit originations from various application sources into one file and provide this file in NACHA standard CCD+ and PPD+ formats. This file must be available for FTP via SSL by 5 AM CT the day following the effective settlement date.
Response:	
g.	Provide the State Treasurer's Office, through a mutually agreed electronic transmission method, the amount of receipted funds credited to those accounts designated by the State by open of business Central Time on the effective settlement date. The money must be available for withdrawal by 8:30 AM CT.
Response:	
h.	The State Treasurer's Office reserves the right to handle all returned items for NDR. Returned items may not be netted from receipts. The State Treasurer's Office will return the payment through the ACH

	network.
Response:	
i.	Work with the NDR and its vendors to test debit and credit electronic funds transfers through the ACH system and test all components of auxiliary systems as requested by the NDR.
Response:	
j.	Support CCD+ and PPD+ standard entry class codes. Discuss support for additional standard entry class codes.
Response:	
k.	Allow taxpayers to initiate payments via IVR and web until 5:00 PM CT for next-day settlement. Discuss cut-off times and ACH processing schedules.
Response:	
PAYMENT SCHEDULING SYSTEM	
l.	Address the requirements of the payment scheduling system as itemized in Section IV.D.3.d.i-vii.
Response:	

Form A.5

Agency-Specific Functional Requirements – Department of Labor

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Each bidder must respond in a detailed manner to the following agency-specific requirements for the Department of Labor.

a.	Ability to process files by 12:00 PM CT.
Response:	
b.	Update bank activity in a timely manner for same day transactions.
Response:	

Form A.6

Agency-Specific Functional Requirements – Treasury Management

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Each bidder must respond in a detailed manner to the following agency-specific requirements for Treasury Management.

a.	Provide a secure website with dual authentication credentials to initiate ACH files for debit and credit programs.
Response:	
b.	Permit TM staff to assign access levels to agency personnel to the online solution.
Response:	
c.	Receive ACH addenda online (both translated and raw data).
Response:	

Form A.7 Cost Proposal

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Bidder must specify if fees listed below are per transaction, per day, per month, annual, or one-time. Bidder must also specify if there is a daily, monthly, or annual maximum per service/transaction. Bidder must identify a price for each year of the initial period of the contract.

A yearly volume has been provided for evaluation purposes. These figures are not a guarantee of future yearly volumes.

In the event there are fees associated with the services solicited by this RFP that are not listed on the cost sheet below, the bidder shall list all such additional fees that could be charged under the contract resulting from this RFP *ON FORM A.8 "OTHER COSTS"*. The bidder should specify the unit of measure and any maximum caps, and follow essentially the same format as this cost sheet.

ACH Origination Services								
Services	Volume	Cost	UOM	Year 1	Year 2	Year 3	Year 4	Year 5
Account maintenance - per account	180	\$						
Electronic credits	6,539	\$						
Electronic debits	4,583	\$						
Online Services								
Current Day Detail – Account	180	\$						
Current Day Per item detail	571,643	\$						
Current Day Per item summary	41,415	\$						
Previous Day Detail - Account	180	\$						
Previous Day per item detail	703,341	\$						
Previous Day Per item summary	45,180	\$						
ACH Return and NOC Report	114	\$						
ACH Settlement Report	60	\$						
EDI Remittance Report	168	\$						
Account Analysis Report PDF	12	\$						
ACH Services								
ACH Monthly Maintenance	48	\$						
ACH Originated Addenda	3,669,635	\$						

Item								
ACH Process Run	2,221	\$						
ACH Originated Transit Item	3,129,145	\$						
ACH Originated On-Us Item	674,056	\$						
ACH File Confirmation Email	8,744	\$						
ACH Received Item	684,357	\$						
ACH Outgoing Transmission	762	\$						
ACH Monthly Maintenance – 3 rd party	24	\$						
ACH Return – per item	10,029	\$						
ACH Notification of Change	10,383	\$						
Business Echeck Block Month Maintenance	72	\$						
ACH Return/NOC Transmit Items	14,805	\$						
ACH Item Adjustment Request	247	\$						
UPIC monthly maintenance	144	\$						
Revenue								
Monthly Maintenance for online system	12	\$						
Monthly Maintenance for Web	12	\$						
Web Transactions – Non-Recur	439,825	\$						
IVR Initiated Payments	11,002	\$						
IVR Minutes	46,108	\$						

**Form A.8
Other Costs**

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In the event there are fees associated with the services solicited by this RFP that are not listed on Form A.7, the bidder should list all such additional fees that could be charged under the contract resulting from this RFP here. The bidder should specify the unit of measure and any maximum caps, and any other pertinent information regarding the identified cost.

ACH Origination Services								
Services	Volume	Cost	UOM	Year 1	Year 2	Year 3	Year 4	Year 5
Check Filter Monthly Maintenance	24	\$						
Book Transfer Monthly Maintenance	12	\$						
Wire Monthly Maintenance	12	\$						
Account Add/Modify/Delete	1	\$						
UPIC Set-up Fee	1	\$						
Custom Report Monthly Fee	36	\$						

