| **Fairfax County Government**  **Cash Management and Lockbox Services Proposal**  **Response Matrix** | | | |
| --- | --- | --- | --- |
| **Offeror**: | | | |
|  | YES | NO | Comments |
| **8. TASKS TO BE PERFORMED - GENERAL:** |  |  |  |
| 8.1. Contractor shall have the capacity to ensure that none of the following actions will occur unless authorized in writing by the County Director of Finance or an authorized designee: |  |  |  |
| a. Open and close bank accounts |  |  |  |
| b. Change authorized signatories |  |  |  |
| c. Delegate funds transfer authority |  |  |  |
| d. Establish or modify funds transfer instructions |  |  |  |
| e. Execute agreements as provided for under the provisions of this contract. |  |  |  |
| 8.2. Upon reasonable notice, Contractor to allow the County to visit processing sites to observe all or specific parts of processing for banking and related services acquired through this contract. |  |  |  |
| 8.3. Contractor to provide product manuals/procedures and training for products and services offered under this contract. |  |  |  |
| 8.4. Contractor to provide a relationship manager with five or more years of experience with government banking to serve as the County’s principal contact for all operational aspects of banking services. This individual must have sufficient authority to solve routine problems and command the resources necessary to address complex problems. The relationship manager will be expected to have at least monthly contact with the County to discuss ongoing issues and be on-site at least quarterly to review bank performance and provide information on new services or products of potential interest to the County. |  |  |  |
| 8.5. Contractor to provide a statement of Qualifications that must include a description of organizational structure and staff experience and resumes of key staff. |  |  |  |
| 8.6. Contractor shall demonstrate how response times to issues and/or problems will be addressed and monitored for each service. |  |  |  |
| 8.7. Contractor shall describe its approach to assuring delivery of agreed upon service levels including fee credits, if any, for failing to achieve mutually agreed upon service levels. |  |  |  |
| 8.8. Contractor shall submit examples of all reports referred to in its proposal. |  |  |  |
| **9. Management and Industry Standards** |  |  |  |
| In all its responses, the Contractor is strongly encouraged to identify best-practices it shares with the banking and finance industry. The Contractor is also encouraged to specify all  applicable regulations. |  |  |  |
| **9.1. Internal Control Reporting** |  |  |  |
| Contractor shall provide, on an annual basis, a SSAE 18, SOC 1, 2 or 3 report or substitute that reviews its organizational control activities and processes. |  |  |  |
| **10. DEPOSITORY SERVICES** |  |  |  |
| **10.1. Mandatory Requirements** |  |  |  |
| 10.1.1. Contractor to provide convenient deposit locations to all County agencies through a branch network or other secure means of collection. |  |  |  |
| 10.1.2. Offeror shall list the number and locations of branches, cash vaults or affiliated banks in the Commonwealth of Virginia and provide a proximity study to include visuals identifying the closest bank branch location for each County agency identified in Appendix B. Specify in response full services, ATM only, night drop processing, and other services offered at each site. |  |  |  |
| 10.1.3. Contractor shall redeposit all checks twice before classifying a check as non-sufficient funds (NSF). |  |  |  |
| 10.1.4. Contractor shall provide notification of NSF check information to County agencies in electronic format. |  |  |  |
| 10.1.5. Contractor must accommodate night depository services and weekend deposits by County agencies as needed. |  |  |  |
| 10.1.6. Contractor must accept walk-in deposits at all branches with validation of receipt by the bank of all items with deposit to the county staff. |  |  |  |
| 10.1.7. Contractor shall provide official checks as needed from local branch locations. |  |  |  |
| 10.1.8. Contractor must provide a robust web-based portal that enables the County to: |  |  |  |
| * + 1. Monitor both ledger and available balances. |  |  |  |
| * + 1. Access all previous and current day transaction detail and summary reporting. |  |  |  |
| * + 1. Access real-time ACH and wire transaction detail. |  |  |  |
| * + 1. Receive multi-bank previous day balance reporting. |  |  |  |
| * + 1. Process remote deposit transactions, access images of deposits and receive notifications. |  |  |  |
| * + 1. Transact Fed Wire payments. |  |  |  |
| * + 1. Execute positive pay exception decisions. |  |  |  |
| * + 1. Place stop payments on checks. |  |  |  |
| * + 1. Provide on-line information on returned checks. |  |  |  |
| * + 1. Allow County staff administration user rights to update company profile, user rights, roles, functions, and account access. |  |  |  |
| 10.1.9. Contractor shall have the capacity to accept two authorized signatures for check processing on accounts designated by the County. |  |  |  |
| 10.1.10. Contractor shall provide a monthly bank statement for all accounts regardless of account activity, either by access to the Offeror’s web-based portal service or by reporting in an electronic format. |  |  |  |
| 10.1.11. Contractor shall provide a funds availability schedule to be applied to the County’s deposits. |  |  |  |
| 10.1.12. Contractor shall accept and process ACH files (containing e-Check data) from the County and its electronic payments provider(s). |  |  |  |
| 10.1.13. Contractor shall provide currency for change at branch offices as needed. |  |  |  |
| 10.1.14. Contractor shall describe an efficient and effective approach for collection, sorting and depositing coins from the various locations in a manner such that the County receives same-day availability. |  |  |  |
| 10.1.15. Contractor shall have a product to enable managed subaccounts as outlined in section 6.3.2. |  |  |  |
| **10.2. Desirable Service Requirements** |  |  |  |
| 10.2.1. Contractor shall suggest products and services as an alternative to transporting cash and coin to the branch, including cash automation. |  |  |  |
| 10.2.2. Contractor shall provide ability to process non-standard deposit tickets from County’s software. |  |  |  |
| **11.2. Department of Finance- Automated Clearing House Services (ACH)** |  |  |  |
| **11.3. Mandatory Requirements** |  |  |  |
| 11.3.1. Contractor shall allow ACH credits to all County accounts and provide all available payor information. |  |  |  |
| 11.3.2. Contractor must be able to receive and send sFTP files with PGP encryption method, containing account information to create and transmit ACH transactions. Contractor is encouraged to suggest other secure processes. |  |  |  |
| 11.3.3. Contractor shall provide online portal capability to initiate electronic payment files, payment or collection, through the ACH network. The product must interface across all ACH platforms. |  |  |  |
| * + 1. Contractor shall act as an originating/receiving depository financial institution for credit/debit entries initiated by the County. |  |  |  |
| 11.3.5. Contractor shall provide emergency backup plan to receive payment information. The County currently provides payment information to the originating/receiving depository financial institution via secured internet transmission. |  |  |  |
| 11.3.6. Contractor shall provide alternative process to pick up the direct deposit file from the County for payroll processing two business days prior to payroll in the event the emergency backup plan is instituted. |  |  |  |
| 11.3.7. The Contractor shall not debit the County's payroll accounts until 12:01 am ET payday. |  |  |  |
| 11.3.8. Contractor will be responsible for the correct release of funds to the County-designated accounts on the scheduled payment dates and in compliance with NACHA rules and regulations. |  |  |  |
| 11.3.9. Contractor shall provide the County the ability to place ACH debit blocks and filters on all disbursement accounts |  |  |  |
| 11.3.10. Contractor will provide to the County a daily report of all ACH debit and credit activity on all disbursement accounts. |  |  |  |
| 11.3.11. Contractor will assist County staff in the testing and implementation of new electronic payment methods as they become available. |  |  |  |
| 11.3.12. Contractor shall actively monitor live-dollar ACH transmission to member banks one day prior to payday in conformance with NACHA rules and regulations. Credit entries returned to the originating bank because of the inability of the receiving bank to post the entry to the indicated account, or for any other reason, shall be credited back to the County on a same-day basis upon notification. |  |  |  |
| 11.3.13. Contractor shall notify the County via secure web-based reporting product no later than 2:00 pm ET the banking day following the return of the credit entry. |  |  |  |
| 11.3.14. Contractor shall accept electronic authorization to credit/debit an account or to delete/reverse entries. All instructions received by email shall be posted on a same-day basis. The Contractor shall not charge for deletions or reversals. Once instructed, all corrections and adjustments to direct deposit accounts shall become the sole responsibility of the Offeror. |  |  |  |
| 11.3.15. Contractor shall notify the County via secure web portal no later than 2:00 pm ET the next banking day following the return of credit entries for deletions or reversals. |  |  |  |
| 11.3.16. Should the Contractor fail to act on any such request, the County shall be compensated at the daily effective U.S. Federal Funds rate for any lost availability of funds for each day of the failure. |  |  |  |
| 11.3.17. Contractor shall credit such accounts on scheduled pay dates by Fed Wire at no cost to the County should it be determined that due to the Offeror’s error, an employee or a group of employees from the County are unable to receive payroll credits to their accounts on scheduled pay dates. Wire instructions and payment amounts shall be accepted in electronic format or by facsimile from individuals authorized by the County to initiate payments. |  |  |  |
| 11.3.18. In the event of an emergency situation that prevents the County from printing checks, Contractor will provide capability to print and mail checks and remittance advices based on electronic data transmission from the County from anywhere from 7 days to 6 months. |  |  |  |
| **11.4. Desirable Service Requirements** |  |  |  |
| 11.4.1. Contractor shall provide the County with a service whereby an ACH transaction will replace a second presentment of a returned check. |  |  |  |
| 11.4.2. Contractor shall provide payroll cards for employees who do not have access to bank accounts. Please provide the fee structure for this product in the pricing schedule, Attachment B. |  |  |  |
| 11.4.3. Contractor will be capable of providing alternative mechanisms to enable the County to make payments to its vendors apart from self-issued checks and ACH, including B2C digital payments |  |  |  |
| **12. DEPARTMENT OF FINANCE- WIRE TRANSFER** |  |  |  |
| **12.1. Mandatory Requirements** |  |  |  |
| 12.1.1. Contractor shall provide 24-hour access to an online portal provided by the Contractor shall execute repetitive and non-repetitive funds transfers. If necessary, the Contractor shall provide on-site training on the use of its system. |  |  |  |
| 12.1.2. Offeror’s web portal must be capable to provide intra-day wire transfer activity reports. |  |  |  |
| 12.1.3. Contractor must designate the County as the system administrator for managing system user access and wire transfer templates. |  |  |  |
| 12.1.4. Offeror’s online portal must provide for dual release of wires, and describe the capabilities of the system to segregate user authority by function in relation to access account information, initiate, approve and release fed wires. |  |  |  |
| 12.1.5. Contractor shall provide electronic notifications of wire confirmation, including the receipt of funds by the receiving bank as instructed. Notifications will be accessible via online portal and available as an alert notification. |  |  |  |
| 12.1.6. Contractor shall provide, as needed, a complete listing of all County-authorized users of the bank’s wire transfer system for which the County is not a system administrator, such as telephonic authorizations. |  |  |  |
| 12.1.7. Contractor shall provide one or more alternative methods of initiation should the County be unable to access the bank’s system in the usual manner. The alternative methods will also require dual-release security and provide complete audit reports. |  |  |  |
| 12.1.8. Contractor shall provide future-value date capabilities up to 10 business days. The County must have the ability to cancel future dated wires. |  |  |  |
| **13. ACCOUNT RECONCILIATION** |  |  |  |
| **13.1 Mandatory Requirements** |  |  |  |
| 13.1.1. Contractor shall provide full reconciliation services for disbursement accounts. Within three business days of receipt of the input file or at month-end for accounts without input file transmissions. Contractor shall provide the following : |  |  |  |
| 1. For full reconciliation accounts, a report listing all checks in ascending check serial number sequence reflecting the amounts and status as follows: |  |  |  |
| a. Checks issued by the County |  |  |  |
| b. Paid |  |  |  |
| c. Outstanding |  |  |  |
| d. Voided |  |  |  |
| e. Stopped Payment |  |  |  |
| f. Paid – No notice of issue received from the County |  |  |  |
| g. Missing check number |  |  |  |
| 2. The Contractor will not run the reconciliation before receiving the check-issue file. |  |  |  |
| 13.1.2. Contractor shall provide electronic copies of all debit and credit memos for all adjusting entries to the account(s). Backup must include the deposit ticket number. Copies must be sent to the County via e-mail no later than the business day following the account activity. |  |  |  |
| 13.1.3. Contractor must provide an on-line stop payment system capable of confirming the placement of a stop payment in real time. Please specify any delay in the confirmation of a stop payment and uploading to the branch teller system. The stop payments must stay in effect for a minimum of 12 months. After the specified stop payment, the checks should be removed from the bank’s outstanding report (ARP). |  |  |  |
| 13.1.4. Contractor will provide images of the front and back of all paid disbursement checks through a secure web-based banking product in addition to electronic media, no later than five business days following the end of the processing period. The online product must be accessible from various locations by multiple simultaneous users. |  |  |  |
| * + 1. Contractor shall treat checks presented more than 180 days from issue date as exception items in the positive pay system. |  |  |  |
| * + 1. Contractor must provide fee-free check cashing for all County-issued checks to a County official, including petty cash custodians, for the purpose of conducting County business. |  |  |  |
| * + 1. Contractor shall provide teller- and payee-positive pay programs for all County checking and controlled disbursement accounts. The County requires a web-based system and alternative procedures in the event online access is not available to either the County or Offeror. System capabilities should include but not be limited to: |  |  |  |
| a. View exception items |  |  |  |
| b. Review status of items |  |  |  |
| c. Ability to add manual checks to issue file |  |  |  |
| d. Ability to add cancelled checks to issue file |  |  |  |
| e. Notification of exception items no later than 10 am ET |  |  |  |
| f. Ability to receive decision from County by 4:00 pm ET. |  |  |  |
| * + 1. Contractor shall provide statements for disbursement accounts by electronic media or other electronic alternative no later than five business days following the end of the processing period. |  |  |  |
| **13.2. Desirable Service Requirements** |  |  |  |
| 13.2.1. Online Bill Payment Consolidation- Contractor shall provide human resources and/or system that enables the county identification on payments received from Online Bill Payment Consolidators. |  |  |  |
| **14. INFORMATION SERVICES** |  |  |  |
| **14.1. Mandatory Requirements** |  |  |  |
| 14.1.1. Contractor shall have multiple levels of security for accessing information via a web-based system. The Contractor shall describe its security procedures and provide reasonable assurance that the County’s information cannot be accessed by unauthorized users. |  |  |  |
| 14.1.2. Contractor shall report previous day information electronically on each of the bank accounts. Previous day balance information shall be available no later than 7:30 am ET. |  |  |  |
| 14.1.3. Contractor shall provide current day detail and summary information regarding incoming ACH credits and debits. ACH information must be available by 8:00 am ET. |  |  |  |
| 14.1.4. Contractor shall provide summary level first and second controlled disbursement data. The first report shall be available by 8:15 am ET. The second report shall be available no later than 9:40 am ET. |  |  |  |
| 14.1.5. Contractor shall provide access to reports and information to the County on all information received for incoming fund wires. |  |  |  |
| **15. LOCKBOX SERVICES** |  |  |  |
| **15.1. Mandatory Requirements** |  |  |  |
| 15.1.1. Contractor shall provide wholesale and retail lockbox services either directly or through a subcontractor. Regardless of provider, all funds must be deposited on the day of receipt in a Virginia Qualified Public Depository. |  |  |  |
| 15.1.2. Contractor shall provide secure daily courier service from the Merrifield, VA Post Office and the Fairfax County Government Center to the processing facility. |  |  |  |
| 15.1.3. Contractor must be able to process all lockbox receipts for all programs per the specifications outlined. |  |  |  |
| 15.1.4. Contractor guarantees same-day processing of all checks picked up from the post office and Government Center and same day-deposit of all non-rejected transactions. |  |  |  |
| 15.1.5. Contractor shall provide state of the art lockbox operations that includes image cash letter deposit capability, imaging and transmission of related documents and sFTP payment file transmission to various agencies payment collection systems. |  |  |  |
| **16. DEPARTMENT OF TAX ADMINISTRATION** |  |  |  |
| **16.1. Mandatory Requirements** |  |  |  |
| 16.1.1. Contractor shall provide same-day processing of all work picked up from the post office and same-day deposit of all non-rejected transaction checks. |  |  |  |
| 16.1.2. Contractor shall image all rejected items daily. DTA staff will review the rejected items and instruct Contractor on how to process these items. After 48 hours if no instructions are provided, return the rejected items to DTA. |  |  |  |
| 16.1.3. Contractor shall process all payments on a first-in, first-out basis. |  |  |  |
| 16.1.4. Contractor's courier shall deliver to the DTA the previous day’s work, all rejected payments and, for late payments, the remittance envelopes. These returns shall be delivered no later than 1:00 pm ET each day, Monday through Friday, excluding holidays when the DTA and/or the bank is closed. See Appendix C for a current list of County Holidays. |  |  |  |
| 16.1.5. Contractor’s courier shall pick up mail from both DTA and the Merrifield Post Office utilized by DTA, and deliver it to the lockbox processing site. Mail must be picked up daily or more frequently as determined by DTA. |  |  |  |
| 16.1.6. Contractor shall ensure that the courier is bonded and insured. |  |  |  |
| 16.1.7. Contractor shall provide the County current day imaging of processed work at the lockbox. Contractor is to provide the Image Retrieval System that provides real time payment information of the processed work. |  |  |  |
| 16.1.8. Contractor shall keep a record for seven years of all payments processed. This record must be in format such that an entire processing period, e.g., 30 days, can be retrieved for a particular account number. At the end of the fifth year, transfer images to electronic media and provide to DTA. |  |  |  |
| 16.1.9. Contractor shall provide to the County electronic media images of the processed work within five business days of processing. Alternative secure file transmission will be considered. |  |  |  |
| 16.1.10. Contractor shall have the ability to image the remittance document and the payment check. The audit trail must also be available on the image. This record should be stored on electronic media for PC-based viewing and should also be available to view via the Internet. |  |  |  |
| 16.1.11. Contractor shall provide upon request by DTA, query reports from data captured during processing of transactions. |  |  |  |
| 16.1.12. Contractor must be able to provide an electronic listing for tax bills returned by the post office as “Moved, Left No Address”. |  |  |  |
| 16.1.13. Contractor shall process items via OCR scanning or bar coding in CODE 3 of 9 (CODE 39). |  |  |  |
| 16.1.14. Contractor shall produce electronic transmission for each tax type processed, separated by delinquent and current payments. |  |  |  |
| 16.1.15. Contractor shall accept checks made payable to County of Fairfax, Fairfax County, Treasurer, Director of Finance, Commissioner of Revenue and Department of Tax Administration, and Supervisor of Assessments, including abbreviations and variations thereof. |  |  |  |
| 16.1.16. Contractor shall reject checks that are in currency other than in U.S. dollars. |  |  |  |
| 16.1.17. Contractor shall accept multiple checks with one document |  |  |  |
| 16.1.18. Contractor shall accept multiple like documents with one check. |  |  |  |
| 16.1.19. Contractor shall accept multiple documents with multiple checks. |  |  |  |
| 16.1.20. Contractor shall accept checks greater or lesser than document or equal to document. |  |  |  |
| 16.1.21. Contractor shall accept one day postdated checks. |  |  |  |
| 16.1.22. Contractor shall accept checks not dated by affixing deposit date on check. |  |  |  |
| 16.1.23. Contractor shall accept checks dated by no more than 180 days in arrears. |  |  |  |
| 16.1.24. Contractor shall accept checks when the written amount in the body of the check agrees with the document and the courtesy line is incorrect or incomplete. |  |  |  |
| 16.1.25. Contractor shall process work in batches of no more than 200 items each. |  |  |  |
| 16.1.26. Contractor shall print document audit trail information on back of each remittance document. |  |  |  |
| 16.1.27. Contractor shall print audit trail on the back of each check. |  |  |  |
| 16.1.28. Contractor shall produce a report of all checks deposited by batch. |  |  |  |
| 16.1.29. Contractor shall produce a report, by batch, of all documents included on daily transmission showing any difference between the scan amount and check amount, using the payment type indicator as described in text. Transmission is to be sent to the County no later than 4:00 PM ET the same day the work is processed. |  |  |  |
| 16.1.30. Contractor shall provide an audit tape attached to the deposit slip for manual transmission for any other applications processed outside the automated mode. |  |  |  |
| 16.1.31. Contractor shall provide guarantee endorsement - ("Credited to the account of the within named payee, absence of endorsement guaranteed"). |  |  |  |
| 16.1.32. Contractor shall include the following record types on the payment transmission media for each day’s work processed: |  |  |  |
| a. One cashier summary record per credit/collection date. |  |  |  |
| b. Batch header record per 200 transactions, maximum. |  |  |  |
| c. Automated payment transaction record: |  |  |  |
| 1 = Payment in Full - Scanned amount of document equals the check amount. |  |  |  |
| 2 = Payment in Range - Scanned amount on document is greater than check amount by no more than $4.99 or scanned amount of document is less than check amount by $0.99 or less. |  |  |  |
| 3 = Partial Payment - Scanned amount on document is greater than check amount by $5.00 or more. |  |  |  |
| 4 = Over payment - Scanned amount of document is less than check amount by more than $0.99. |  |  |  |
| d. Separate checks and documents. Be sure to keep checks and documents in order. (When processing multiple documents and one check, process in order of least to greatest amounts due). Example: $6.00, $20.00 and $300.00 - would be placed in this ascending order so that if a bill needs to be "shorted", it will be the largest amount and not one or more of the smaller amounts. |  |  |  |
| e. Capture map reference number(s) for Real Estate, property number(s) for Personal Property. |  |  |  |
| f. Run a report to balance checks to receipts and return to DTA. |  |  |  |
| g. Perform automated remittance processing, Appendix H for specific instructions. |  |  |  |
| h. Deposit checks into the County's account. |  |  |  |
| i. Email reports to DTA at AccountsReceivable@fairfaxcounty.gov. |  |  |  |
| 16.1.33. Contractor shall process late payments for Real Estate and Personal Property as outlined in item u. In addition to, the Contractor must: |  |  |  |
| a. Record property numbers and the amounts being applied to each property number. |  |  |  |
| b. Save image of the remittance envelope(s) when instructed by DTA. Imaging the late payment envelopes is critical to the DTA operation |  |  |  |
| 16.1.34. Contractor shall adhere to the following payment type processing specifications: |  |  |  |
| a. Real Estate |  |  |  |
| * Include the Remittance Document description |  |  |  |
| * Forward payments by credit card |  |  |  |
| * Forward any correspondence |  |  |  |
| b. Personal Property |  |  |  |
| * Include the Remittance Document description |  |  |  |
| * Forward correspondence |  |  |  |
| * Forward payments by credit card and foreign checks |  |  |  |
| c. Dog License – Rejects |  |  |  |
| * Forward payments by credit card |  |  |  |
| - Forward correspondence |  |  |  |
| - One section of the three-part form is missing. |  |  |  |
| * Incomplete application |  |  |  |
| * Proper amount not included |  |  |  |
| **16.2. Dog Licenses** |  |  |  |
| **16.2.1. Mandatory Requirements** |  |  |  |
| a. The application is an 8 1/2" x 11” perforated 3-part form (Appendix F). The residents are to return the entire form back to DTA with their check. The bottom portion stamp paid along with the assigned dog tag will be returned to the resident. |  |  |  |
| b. Contractor shall place transactions in batches (maximum 50 per batch) and assign consecutive batch numbers. Begin each day with batch # 1. |  |  |  |
| c. Contractor shall process payments and generate payment files. DTA will retrieve the payment files and post payments to the appropriate accounts and update rabies expiration dates keyed by lockbox. DTA assigns a license tag number and produces two output files for printing. DTA uploads two print files to lockbox SFTP site, one entitled “fulfillment” and the other “expired letters”. Contractor is to print each file and mail to citizen as follows: license matched to the correct dog tag number or the expired rabies letters along with a return envelope. |  |  |  |
| d. Contractor shall check the rabies expiration date. If the rabies vaccination expired prior to the date the tag is being issued, or if “EXPIRED” is shown in that space, a tag can be issued only if a new rabies certification from a veterinarian is enclosed. If a new rabies certification is enclosed, write in the new rabies expiration date on both copies of the license. The rabies certification must be returned to the resident with the new license. |  |  |  |
| 1. Contractor shall stamp part 2 and part 3 with the “paid” stamp provided. |  |  |  |
| f. Contractor shall select a metal tag and write the tag number on both copies of the license. |  |  |  |
| g. Contractor shall run an audit tape. |  |  |  |
| h. Contractor shall place the metal tag and “S” hook in a coin envelope and put in mailing envelope along with part 2 of the license. Contractor shall verify that the resident’s name/address appears in the window. |  |  |  |
| i. Contractor shall complete a deposit slip and deposit funds to the County’s account. |  |  |  |
| j. Contractor shall return the deposit receipt and journal tape (Detail Report) to DTA along with part 1 of the license. |  |  |  |
| k. Contractor shall reject the following items |  |  |  |
| - License shows an expired rabies date and a copy of a new certificate is NOT included with the license. |  |  |  |
| - License fee is not enclosed or is different from the preprinted amount shown on the license. |  |  |  |
| - Part 2 or part 3 is missing. |  |  |  |
| - Incomplete application. |  |  |  |
| - A form other than the 2-part form is attached. |  |  |  |
| - Neutered/Spayed has been handwritten on the form but there is no certificate enclosed for verification. |  |  |  |
| - Changes, other than owner name address and phone number, have been made to the form. |  |  |  |
| **17. FAIRFAX COUNTY PUBLIC SCHOOLS** |  |  |  |
| **17.1. Mandatory Requirements** |  |  |  |
| * + 1. Contractor shall process and deposit lockbox receipts daily. The lockbox packet, described in 17.1.2., should be delivered to the Fairfax County Public Schools Administration Center, 8115 Gatehouse Road, Suite 2200, Falls Church, VA 22042. |  |  |  |
| 17.1.2. Contractor shall include the following items in the lockbox packet: |  |  |  |
| - Hardcopy reports / deposit advice with audit tape |  |  |  |
| - Check images |  |  |  |
| - Envelopes |  |  |  |
| - Coupons or other remittance advice |  |  |  |
| - All correspondence |  |  |  |
| - Unprocessable items |  |  |  |
| 17.1.3. Assume 1 check + 1 coupon + 1 envelope together constitute 1 item. |  |  |  |
| * + 1. Contractor shall accept all checks including post-dated checks. |  |  |  |
| * + 1. Contractor shall process any and all items with restrictive endorsements. |  |  |  |
| * + 1. Contractor shall process according to written amount when discrepancy exists between numerical and written check amount. |  |  |  |
| * + 1. Contractor shall accept all properly endorsed negotiable instruments regardless of payee specified. |  |  |  |
| * + 1. Contractor shall reject checks drawn on non-US currency accounts and include unprocessed in the lockbox packet. |  |  |  |
| 17.1.9. Contractor shall capture and/or key the following fields for each item: |  |  |  |
| - SSN (9s if not available) (manually keyed) – Leading zeros keyed – 9 digit field |  |  |  |
| - Check # (system generated from-no keying required) |  |  |  |
| - Date Processed (system generated-no keying required) |  |  |  |
| - Dollar amount of check (system generated - no keying required) |  |  |  |
| - Dollar amount from invoice (9s if not available) (manually keyed) |  |  |  |
| 17.1.10. Contractor shall make one image of each check or money order received, regardless of whether accompanied by remittance advice or coupon. |  |  |  |
| - Image assembly: Attach coupon or remittance advice, if any, to back of the check image. Attach the envelope to the back of these documents; staple all in upper left hand corner. |  |  |  |
| 17.1.11. Contractor shall correct erroneously deposited payments and to email a copy of the debit/credit memo to FCPS within 48 hours of identification. |  |  |  |
| 17.1.12. Contractor shall automatically resubmit for payment, checks returned for non-sufficient funds the first time. |  |  |  |
| 17.1.13. Contractor shall fax copy of NSF notification to FCPS for checks returned a second time. |  |  |  |
| 17.1.14. Contractor shall provide a monthly report via electronic media identifying individual lockbox transactions in a sequential format and accompanying lockbox batch subtotal to facilitate reconciliation. Report is to be received by the 10th of the following month. |  |  |  |
| **18. DEPARTMENT OF NEIGHBORHOOD AND COMMUNITY SERVICES, OFFICE FOR CHILDREN** |  |  |  |
| **18.1. Mandatory Requirements:** |  |  |  |
| * + 1. Contractor shall provide a courier to pick up mail from the designated Post Office for processing daily. |  |  |  |
| * + 1. Contractor shall process items same day for all non-rejected items. |  |  |  |
| * + 1. Contractor shall accept checks made payable to Fairfax County, Fairfax County Office for Children, School Age Child Care, SACC and any reasonable abbreviation or variation thereof. Additional listing of acceptable payees will be provided upon contract award. Contractor shall make every effort to ensure that only checks intended for the OFC SACC lockbox are accepted and processed. |  |  |  |
| * + 1. Contractor shall accept the following items into the lockbox processing system: |  |  |  |
| - Multiple checks with one document. |  |  |  |
| - Multiple documents with one check. |  |  |  |
| - Multiple documents with multiple checks. |  |  |  |
| - Checks greater or lesser than document or equal to document. |  |  |  |
| - One day post-dated checks. |  |  |  |
| - Checks not dated, by affixing deposit date on check. |  |  |  |
| - Checks dated not more than six-months prior to date of receipt. |  |  |  |
| - Money orders and other non-personal check payment types. |  |  |  |
| - Checks when written amounts in the body of the check agree with the documents and the courtesy/memo line is incorrect or incomplete. |  |  |  |
| 18.1.5. Contractor will not accept the following items into the lockbox processing system and will return them to the County: |  |  |  |
| - Checks missing the authorized signature. |  |  |  |
| - Checks dated more than six months prior to processing date. |  |  |  |
| 18.1.6. Image each check or money order. Attach remittance advice and envelope. |  |  |  |
| 18.1.7. Forward any correspondence received to Department of Neighborhood and Community Services Office of Children. |  |  |  |
| 18.1.8. Contractor shall assist in the development of a scan-able payment coupon. |  |  |  |
| 18.1.9. Contractor shall produce a daily electronic file retrieved by the county or its designee by 8am the day following receipt into the lockbox. |  |  |  |
| 18.1.10. File header must contain the date lockbox payments were received. |  |  |  |
| 18.1.11. The file must include the remitter’s name and address for any payment received without the payment coupon and without an account number. |  |  |  |
| 18.1.12. Unidentified payments are listed with zeros for the account number. |  |  |  |
| 18.1.13. Contractor shall provide two transaction reports. First report in account number order, second report presented in batch number order and must contain: |  |  |  |
| - Lockbox date (must match electronic file date) |  |  |  |
| - Item number |  |  |  |
| - Batch number |  |  |  |
| - Amount paid |  |  |  |
| - SACC Account number |  |  |  |
| - Unidentified payments must have payee name and address listed next to the payment on the report |  |  |  |
| 18.1.14. Contractor shall correct erroneously deposited payments and e-mail a copy of the debit/credit memo to Office For Children within 48 hours of identification |  |  |  |
| 18.1.15. Contractor shall process no more than 50 items per batch. Batches are sorted by: |  |  |  |
| - Payments sent in with payment coupon |  |  |  |
| - Payments sent in without payment coupon but with SACC Account # noted on payment |  |  |  |
| - Payments sent in without payment coupon and without SACC Account # noted on the payment |  |  |  |
| 18.1.16. Report is returned with check copies, enveloped, payments coupons and any correspondence processed as part of that batch. Information is mailed to the OFC, or provided electronically, the business day following the date of the lockbox deposit, see Appendix I. |  |  |  |
| **19. FIRE AND RESCUE DEPARTMENT– EMS TRANSPORT** |  |  |  |
| **19.1. Mandatory Requirements** |  |  |  |
| * + 1. Contractor shall provide physical, technical and administrative safeguards applied to the handling of confidential information such as protected health information from patient correspondence. |  |  |  |
| 19.1.2. Contractor shall provide a HIPAA certified health care group to process all lockbox transactions. |  |  |  |
| 19.1.3. Contractor shall return daily processed and deposited lockbox receipts via overnight carrier to: Change Healthcare, 3131 Newmark Dr., Suite 100, Miamisburg, OH 45342. |  |  |  |
| 19.1.4. Contractor shall process all items with restrictive endorsements. |  |  |  |
| 19.1.5. Contractor shall open envelopes at the top. |  |  |  |
| * + 1. Contractor shall accept checks post-dated up to 1 calendar day. |  |  |  |
| 19.1.7. Contractor shall process according to written amount when discrepancy exists between numerical and written check amount. |  |  |  |
| 19.1.8. Contractor shall accept all payees. |  |  |  |
| 19.1.9. Contractor shall make one image of each check or money order received, regardless of whether accompanied by remittance advice or coupon. |  |  |  |
| - Image assembly: Attach coupon or remittance advice, if any, to back of the check image. Attach the envelope to the back of these documents; staple all in upper left hand corner. |  |  |  |
| * + 1. Contractor shall include the following the items in the lockbox packet for FRD and mail via overnight carrier to Change Healthcare: |  |  |  |
| - Hardcopy batch reports |  |  |  |
| - Check images |  |  |  |
| - Envelopes |  |  |  |
| - Coupons or other remittance advice |  |  |  |
| - All correspondence |  |  |  |
| - Un-processable items |  |  |  |
| * + 1. Contractor shall correct erroneously deposited payments and to e-mail a copy of the debit/credit memo to FRD within 48 hours. |  |  |  |
| 19.1.12. Contractor shall automatically resubmit for payment, checks returned for non-sufficient funds the first time. |  |  |  |
| * + 1. Contractor shall e-mail copy of NSF notification to FRD for checks returned a second time. |  |  |  |
| 19.1.14. Contractor shall provide a monthly report identifying individual lockbox transactions in a sequential format of dollar amount of daily lockbox deposits. Report to be received by the 10th calendar day of the following month by FRD. |  |  |  |
| **20. HOUSING AND COMMUNITY DEVELOPMENT** |  |  |  |
| **20.1. Mandatory Requirements** |  |  |  |
| 20.1.1. Contractor shall provide a courier to pick up mail from the designated Post Office for processing daily |  |  |  |
| 20.1.2. Contractor shall process items same day for all non-rejected items. |  |  |  |
| 20.1.3. Vendor will process items via OCR scanning. |  |  |  |
| 20.1.4. All non-processable work will be returned to the FCRHA batched by rejection type. |  |  |  |
| 20.1.5. Vendor will image and provide FCRHA with next day imaging of payments processed. |  |  |  |
| 20.1.6. Vendor will image both the remittance document and the payment check. The audit trail must be also available on the image. |  |  |  |
| 20.1.7. Vendor shall transmit data to FCRHA by sFTP daily |  |  |  |
| 20.1.8. Vendor shall produce a report of all payments deposited by batch. |  |  |  |
| 20.1.9. Vendor shall produce a report by batch of all documents included on the transmission, showing any difference between the scan amount and the check amount. |  |  |  |
| 20.1.10. Transmission is to be made no later than 8:00 am the next day. |  |  |  |
| **21. SOLID WASTE MANAGEMENT PROGRAM** |  |  |  |
| **21.1. Mandatory Requirements** |  |  |  |
| 21.1.1. Contractor shall provide a courier to pick up mail from the designated Post Office for processing daily. |  |  |  |
| * + 1. Contractor shall process items same day for all non-rejected items. |  |  |  |
| * + 1. Contractor will process items via OCR scanning. |  |  |  |
| * + 1. Contractor shall accept the following items into the lockbox processing system: |  |  |  |
| - Multiple checks with one document. |  |  |  |
| - Multiple documents with one check |  |  |  |
| - Multiple documents with multiple checks |  |  |  |
| - Checks greater or lesser than document or equal to document. |  |  |  |
| - Checks not dated, by affixing deposit date on check. |  |  |  |
| - Checks dated not more than six-months prior to date of receipt. |  |  |  |
| - Money orders and other non-personal check payment types. |  |  |  |
| - Checks when written amounts in the body of the check agree with the documents and the courtesy/memo line is incorrect or incomplete. |  |  |  |
| * + 1. All non-processable work will be returned to the SWMP batched by rejection type. |  |  |  |
| * + 1. Contractor will image and provide SWMP with next day imaging of payments processed |  |  |  |
| * + 1. Contractor will image the remittance document, envelope and the payment check. The audit trail must be also available on the image. |  |  |  |
| * + 1. Contractor shall transmit data to SWMP daily. |  |  |  |
| 21.1.9. Contractor shall produce a report of all payments deposited by batch. |  |  |  |
| 21.1.10. Contractor shall produce a report by batch of all documents included on the transmission, showing any difference between the scan amount and the check amount. |  |  |  |
| 21.1.11. Transmission is to be made no later than 8:00 am the next day. |  |  |  |
| **22. Compensation** |  |  |  |
| 22.1. The County will retain the option to compensate the Contractor for service charges in any combination of hard- and/or soft-dollar payments through analysis. Monthly excess earnings credit will be carried forward from month to month to provide compensation in ensuing months and will be carried forward through June 30, the end of the County’s fiscal year. The County will make payment by August 15 for amounts owed. The Contractor is NOT authorized to charge the County’s account for service fees or earnings deficits without the County’s permission. |  |  |  |
| 22.2. Upon verification by the County of incoming funds, the County expects all outgoing Fed Wire transfers to be released regardless of funds availability. The County is not to be responsible for daylight uncollected overdraft fees or charges, and is not to be subject to per item insufficient fund or overdraft charges. In the event of an insufficient funds or overdraft situation the County agrees to pay the U.S. Fed Funds effective rate on the negative/overdrawn collected balances. |  |  |  |
| **22.3. Account Analysis** |  |  |  |
| 22.3.1. The Contractor will provide the County, within five (5) days after month-end, an electronic monthly account analysis statement, reflecting both a group summary and an individual account analysis. The analysis statement must include, but is not limited to, the following: |  |  |  |
| - The average collected balance and average investable balance, if different, in total for all accounts in the County-Contractor relationship. |  |  |  |
| - The earnings credit rate and earnings amount. |  |  |  |
| - The applicable monthly service charges (itemized with volume numbers and unit prices). |  |  |  |
| - The compensation position for the month and fiscal year-to-date. |  |  |  |
| * + 1. Proposals submitted in response to this RFP must include six (6) months of Earnings Credit Rate (ECR) history and the basis for determining the rate. Please include the published source for the underlying rate readily verifiable by the County. The ECR and the collected balances shall be used to determine the earnings credit. The method of calculation shall not change during the term of the contract without prior consent of the Fairfax County Director of Finance. |  |  |  |
| * + 1. Contractor shall confirm that the account analysis system allows for incorporating any pass-through costs incurred pursuant to the contract resulting from this RFP, e.g., subcontractor charges, courier costs, etc. |  |  |  |
| **22.4. Compensation to County** |  |  |  |
| In its response to this RFP, Contractor will propose measurable performance standards to be incorporated with various cash management and lockbox requirements. Contractor will propose how the County will be compensated when these standards are not met. |  |  |  |
| **22.5. Cash Management Services Annual Evaluation** |  |  |  |
| Contractor shall agree to an annual evaluation of specific and overall performance of the cash management services as it relates to meeting the RFP requirements, and future services added during the contract period. Evaluation will be either County developed or commercially procured, and subject to change. Contractor may also provide a Service Level Agreement to go in conjunction with this annual evaluation. |  |  |  |
| **22.6. Lockbox Service Level Agreement (SLA)** |  |  |  |
| Contractor shall adhere to SLA’s for each department/agency lockbox requirements. Contractor shall work with county to finalize lockbox SLA’s. |  |  |  |