

# ARIZONA SUPREME COURT

Administrative Office of the Courts  
1501 West Washington, Suite 105  
Phoenix, Arizona 85007

## Request for Proposals RFP 14-01 Statewide Arizona Courts Electronic Payment Processing System

### Addendum 3

October 23, 2014

The following revisions shall be incorporated into this solicitation:

ATTA ATTACHMENT A: SOW Specifications and Response Matrix, Section 3.2.32, shall now read:

#### **Section 3.2.32:**

##### **SOW Specifications**

Electronic payment service must maintain a Disaster Recovery environment.

##### **Additional Requested Information**

1. Provide your Disaster Recovery Plan to deal with potential disasters so the effects will be minimized and the organization will be able to maintain or quickly resume mission critical functions. **A disaster recovery summary that substantially conveys your disaster recovery capability may be provided in lieu of a plan.**

There are no further changes at this time to the solicitation.

## ATTACHMENT A: SOW Specifications and Response Matrix

Offeror must complete the following SOW Specifications and Response Matrix. If Offeror supplies supplemental information, indicate the name of the file of the supplemental information associated with each applicable specification in the SOW.

#	SOW Specifications	Offeror's System conforms to Specifications as is? (Yes or No)	Identify any exceptions or qualifications to the specification.  If an enhancement is needed to meet this specification please describe the changes required and an expected date of delivery.	Additional Requested Information
	<b>General</b>			
3.2.1	Offeror is responsible for delivering, operating, and maintaining an electronic payment service that complies with PCI Security Standards.			1. Please indicate if your company's electronic payment service has ever been compromised as a result of a security breach. If applicable, please provide specific information regarding the breach and explain the process your company took to notify customers, the steps taken to protect the customer's data, and the safeguards put in place to prevent such a breach from occurring again.
3.2.2	Electronic payment service is capable of complying with and allowing courts using the system to comply with the Minimum Accounting Standards (MAS) as defined in the Arizona Code of Judicial Administration 1-401 ( <a href="http://www.azcourts.gov/Portals/27/1-401_Effective_01-01-2012.pdf">http://www.azcourts.gov/Portals/27/1-401_Effective_01-01-2012.pdf</a> )			
3.2.3	Electronic payment service must be able to integrate with public-facing web-based applications provided and maintained by the AOC and third-party vendors.			1. Describe which transactions (e.g. authorization, refund, capture, etc.) between the payment system and the customer facing system are currently supported and the general format(s) (e.g. XML) used for these transactions. If a standard message structure is used provide a sample message.

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3.2.4	Electronic payment service must have the ability to support the following credit card payment methods: <ul style="list-style-type: none"> <li>• Visa</li> <li>• MasterCard</li> <li>• Discover</li> <li>• American Express</li> <li>• Branded Debit Cards</li> </ul>			
3.2.5	Electronic payment service must provide a payment solution that allows for the processing of electronic payments via real time transactions.			
3.2.6	Electronic payment service must support subscription (recurring) payment accounts on a periodic basis (e.g. monthly).			
3.2.7	Electronic payment service must provide a payment solution that allows for the processing of electronic payments via the following methods: <ul style="list-style-type: none"> <li>• Web               <ul style="list-style-type: none"> <li>○ Credit Card</li> <li>○ Debit Card</li> <li>○ ACH Debit</li> </ul> </li> <li>• Point-of-Service (Optional)</li> </ul>			
3.2.8	All payment transactions must be specified in Mountain Standard Time (MST).			
3.2.9	Electronic payment service may support point-of-sale credit and debit card processing.			
3.2.10	Offeror must be willing to develop, extend or expand payment methods to accommodate other AOC eCourt Services not currently identified. (E.g. Legislative changes, future applications may require changes in an acceptable amount of time determined by AOC).			1. Describe how your architecture, systems and program development staff will work to meet this requirement.

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3.2.11	The Contractor must designate a contact team for the clarification and resolution payment issues.			
<b>Payment Transactions</b>				
3.2.12	Electronic payment service must ensure that each transaction is assigned a unique identification number that will be stored and remain with the transaction throughout the transaction cycle.			
3.2.13	Electronic payment service must collect and transmit the date and time for both authorizations and captures.			
3.2.14	<p>Electronic payment service must support the processing of payment authorizations and captures in the following ways:</p> <ul style="list-style-type: none"> <li>A. Authorize and capture via one transaction (Synchronous)</li> <li>B. Authorize and capture via separate steps in a workflow process (Asynchronous)</li> </ul> <p>Example: For electronic filing, filers have payments authorized when submitting case documents to a local court. However, the capture does not occur until a clerk formally accepts the submitted case documents for filing. Other web-based applications may require a synchronous transaction.</p>			
3.2.15	Electronic payment service must maintain quality controls to minimize the occurrence of unintended duplicate payment transactions by end-users, while allowing for end-users to submit multiple intended payments.			
<b>Disbursements (Deposits)</b>				

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3.2.16	<p>Electronic payment service supports the deposit of payment transaction funds in one or both of the following ways:</p> <p>A. Deposit into a “settlement” account managed by the electronic payment service from which automated next-day disbursements are deposited directly into specific local court and AOC bank accounts; and/or</p> <p>B. Deposit directly into the AOC and local court bank accounts, respectively.</p>			
3.2.17	<p>Electronic payment service must distinguish and disburse different payment amounts due to the AOC and to specific local courts (e.g. for electronic filing, “Application Fees” are disbursed to the AOC and “Filing Fees” are disbursed to specific local courts).</p>			<p>1. Describe how your company would approach charges that need to go to two different entities (i.e., customer pays \$206, \$200 needs to go to the local court and \$6 needs to go to the AOC).</p>
3.2.18	<p>Disbursements for the previous day’s transactions must occur after 11:59:59 PM Mountain Standard Time (MST) through 07:00:00 AM MST. Friday, Saturday, Sunday, and holiday transactions must be disbursed on the next business day.</p> <p>Note: Transaction day begins at 12:00:00 AM MST. Transaction day ends at 11:59:59 PM MST of the same day.</p>			<p>1. Specify the daily cutoff time for next-day deposits. Note: All payment transactions must be specified in Mountain Standard Time.</p>
3.2.19	<p>Electronic payment service must disburse <u>Application Fees</u> to AOC’s bank account on a daily, weekly, or monthly basis depending on specific eCourt project</p>			

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3.2.20	Electronic payment service must disburse <u>Filing Fees</u> to local court bank accounts no later than the business day following the transaction, i.e., disbursements are not contingent of funds settlement.			<ol style="list-style-type: none"> <li>1. Describe any limitations associated with the following scenarios: <ol style="list-style-type: none"> <li>a. Number of transactions contained in a batch process.</li> <li>a. Number of batches transmitted daily.</li> <li>b. Number of settlement transactions daily.</li> <li>c. Daily Transaction Amount</li> <li>d. Other?</li> </ol> </li> </ol>
	<b>Reports</b>			
3.2.21	Electronic payment service provides financial reporting support for electronic payment transaction information, reconciliation, and auditing purposes.			<ol style="list-style-type: none"> <li>1. Describe the available standard daily and/or monthly reconciliation reports.</li> </ol>
3.2.22	Electronic payment service provides customizable reports.			<ol style="list-style-type: none"> <li>1. Define how reports can be customized based on the available electronic payment service data, including data supplied by Arizona's public-facing Web-based applications (e.g. by court, transaction types, electronic filing submission ID, multiple query levels against the same data set, etc.).</li> </ol>
3.2.23	Electronic payment service provides real-time and automated access to payment reports via on-demand data downloads.			<ol style="list-style-type: none"> <li>1. Indicate how reports or other information would be made available to the AOC and Local Courts, include download and print capabilities.</li> </ol>

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3.2.24	Electronic payment service provides on-demand access to electronic filing payment reports in "human-friendly" formats (e.g. Excel, PDF).			
3.2.25	Electronic payment service provides on-demand access to electronic filing payment reports in "automation-friendly" formats (e.g. CSV, XML, ASCII).			
3.2.26	Electronic payment service must provide financial reporting support that is specific and available to individual local courts.			1. Describe how reports can be generated for each local court in the Arizona Judiciary. At a minimum, each local court must be able to generate their own reports.
3.2.27	Electronic payment service must provide financial reporting support that is available to the AOC, which includes payment transaction information associated with all local courts. (e.g. parent account)			1. Describe how the AOC can produce statewide reports that "roll up" individual local court information.
3.2.28	Access to the electronic payment service's financial reporting function is secured through AOC-managed administrative controls.			
	<b>Administration</b>			
3.2.29	Electronic payment service provides automated processes and administrative tools that provide support for research, voids, refunds, and customer-disputed charges.			1. Describe with detail how deposits are made by your company (e.g. direct account credit, ACH, wire transfer).

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3.2.30	Electronic payment service provides notification and support for transaction and system failures.			1. Describe the monitoring and notification process if a payment transmission fails at any point within the electronic payment process.
3.2.31	Electronic payment service provides access to historical information for research and auditing purposes.			1. If applicable, describe how historical information regarding individual transactions, refunds, and chargebacks are maintained for future access.
3.2.32	Electronic payment service must maintain a Disaster Recovery environment.			1. Provide your Disaster Recovery Plan to deal with potential disasters so the effects will be minimized and the organization will be able to maintain or quickly resume mission critical functions. <b>A disaster recovery summary that substantially conveys your disaster recovery capability may be provided in lieu of a plan.</b>
<b>Integration</b>				
3.2.33	All payment transactions processed between the eCourt Services applications and the electronic payment service must be conducted through a private switched data network service, which is to be acquired by and paid for by the AOC. The demarcation points for the private switched data network service are the AOC and selected service providers payment processing center.			
3.2.34	Messaging between the electronic payment service and any Court supported public-facing web-based applications must be in an industry standard format (e.g. OASIS LegalXML ECF 4.01, NIEM 3.0, etc.).			

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3.2.35	Messaging specifications used by the electronic payment service must be documented, maintained, and communicated by vendor.			
<b>Project Implementation</b>				
3.2.36	Electronic payment service provider provides a standard method for identifying requirements and configuring, integrating, and implementing the service.			<ol style="list-style-type: none"> <li>1. Provide a detailed description of the service delivery process, including task schedules in calendar days and resources required for the following project milestones: <ol style="list-style-type: none"> <li>a. Requirements Analysis</li> <li>b. Design</li> <li>c. Development/Configuration</li> <li>d. Integration Testing</li> <li>e. Test Environment</li> <li>f. User Acceptance Testing</li> <li>g. Implementation</li> <li>h. Post-Implementation</li> </ol> </li> <li>2. Describe support provided during implementation, including training, technical assistance, user manuals (documentation), tutorials/videos, and on-site visits.</li> </ol>
<b>Test</b>				

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3.2.37	Electronic payment service provides a test environment during integration and updates.			<ol style="list-style-type: none"> <li>1. Describe your test environment. Is it available for client use at all times or during limited periods of time?</li> <li>2. Describe your testing process including: <ol style="list-style-type: none"> <li>a. Are simulated card numbers used?</li> <li>b. How are error conditions tested?</li> <li>c. How are ACH transactions tested?</li> </ol> </li> </ol>
	<b>Fees</b>			
3.2.38	Electronic payment service fees must be deducted from a specified account and must NOT be deducted from each transaction as it is processed.			
3.2.39	Unless otherwise specified by the AOC, electronic payment service processing fees must not be charged to customers. Electronic payment service processing fees must be charged to the AOC.			<ol style="list-style-type: none"> <li>1. Describe any fee options that your company supports (i.e., flat fees, percentage fees, subscription fees, per transaction fees, etc.).</li> <li>2. Describe any proposed alternatives to this requirement.</li> </ol>
3.2.40	Electronic payment service assumes responsibility for chargebacks and disputes and allows the AOC and local courts to retain funds. (Payment Guarantee)			<ol style="list-style-type: none"> <li>1. Describe the process for payment dispute resolution (credit card chargebacks, etc.) if payments are not guaranteed. If applicable, please provide in Attachment B, any price differential with guarantee payment versus non guarantee payment.</li> </ol>

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3.2.41	Electronic payment service must provide merchant processing services. It would be preferable to have one master settlement account held by the AOC with sub-accounts for each local court. As the master account holder the AOC would be responsible for payment of all merchant processing fees. Merchant processing fees are expected to be determined by the master account volume (sum of all sub-accounts).			1. Describe your merchant services solution and how you would intend to implement with Arizona.
3.2.42	Electronic payment service provides tokenization functionality for credit cards and debit cards, and may provide tokenization (aka reference transaction) functionality for ACH payments.			