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March 9, 2012

**ADDENDUM NO. 1  
TO  
REQUEST FOR PROPOSALS  
FOR CREDIT CARD PROCESSING SERVICES  
DATED FEBRUARY 10, 2012**

Dear Proposer:

This letter is Addendum No. 1 to the Request for Proposals (RFP) for Credit Card Processing Services, dated February 10, 2012. Where text is revised, deleted text is shown in strike-through format; added text is *italicized*. The RFP is revised as follows:

<u>Addendum Item</u>	<u>Reference</u>	<u>Change(s)</u>				
1.	RFP, Throughout RFP	All references to the term, "Bank", "Bank Contractor", and "Merchant Banker", where appropriate, means "Firm".				
2.	RFP, Letter of Invitation, 4 <sup>th</sup> Paragraph, Page 1	<u>Proposal Due Date</u> Firms must submit an original and <del>six</del> <i>eight</i> (8) copies of their proposals by <u>4:00 p.m., Monday, March <del>12</del>, 19, 2012</u> . Proposals received after that date and time will not be considered.				
3.	RFP, Letter of Invitation, Contractor Selection Timetable, Page 2	<u>Contractor Selection Timetable</u> <table border="1"> <tr> <td><b>Monday, March <del>12</del> 19, 2012, by 4:00 p.m.</b></td> <td><b>Closing date/time for receipt of Proposals</b></td> </tr> <tr> <td>Week of March <del>19</del> 26, 2012 (approximate)</td> <td>Interviews (if held)</td> </tr> </table>	<b>Monday, March <del>12</del> 19, 2012, by 4:00 p.m.</b>	<b>Closing date/time for receipt of Proposals</b>	Week of March <del>19</del> 26, 2012 (approximate)	Interviews (if held)
<b>Monday, March <del>12</del> 19, 2012, by 4:00 p.m.</b>	<b>Closing date/time for receipt of Proposals</b>					
Week of March <del>19</del> 26, 2012 (approximate)	Interviews (if held)					
4.	RFP, Section I. Background & Project Description, C. <u>Minimum Qualification</u> , Page 3	1. <del>Bank Firm</del> <i>Firm</i> must have a minimum of ten (10) years experience in providing credit and debit card services. <i>If proposing as a joint venture, this Minimum Requirement may be met by either party of a joint venture. If Proposer has had a business name change as a result of a merger or acquisition within the last 10 years, this Minimum Requirement may be met under the former company's legal name;</i>				

STEVE HEMINGER  
Executive Director

ANDREW B. FREMIER  
Deputy Executive Director

<u>Addendum Item</u>	<u>Reference</u>	<u>Change(s)</u>
5.	RFP, Section IV. Proposal Evaluation, B. <u>Evaluation</u> , Pages 6-7	<p>Paragraph B. <u>Evaluation</u> is deleted in its entirety and replaced with the following:</p> <p>Responsive proposals meeting the Minimum Qualifications will then be evaluated by a panel of staff representatives from BATA, based on the following evaluation factors listed in descending order of relative importance:</p> <ul style="list-style-type: none"> <li>• <i>Cost Effectiveness</i></li> <li>• <i>Settlement Capabilities</i></li> <li>• <i>Technological And Reporting Capabilities</i></li> <li>• <i>PCI compliance history and system security</i></li> <li>• <i>Accuracy and clarity of RFP response</i></li> <li>• <i>Staffing plan and its demonstrated experience in credit card processing , specifically on high volume government entity accounts</i> <del>Bank and individual staff qualifications and experience in credit card processing, with an emphasis on government entity accounts</del></li> </ul> <p>Following the evaluation, the panel may elect to recommend award to one Contractor or may develop a “short list” of Contractors with a reasonable likelihood of being awarded a Contract for interviews. References may be checked for one or more of such short-listed firms prior to final evaluation.</p> <p>BATA reserves the right not to convene interviews and to make an award on the basis of written proposals alone. Further, BATA reserves the right to accept or reject any and all submitted proposals, to waive minor irregularities, and to request additional information from the firms at any stage of the evaluation.</p>
6.	RFP, Section IV. Proposal Evaluation, C. <u>Recommendation for Award</u> , Page 7	<p>4. The BATA Project Manager will recommend one firm to the Executive Director. If the Executive Director agrees with the recommendations, he will forward the recommendation to the BATA Oversight Committee for approval. <del>Thereafter, the Executive Director or the BATA Oversight Committee may authorize a contract.</del></p>
7.	RFP, Section V. General Conditions, Add New Paragraph H, <u>Award</u> , Page 10	<p><i>Any award will be to the firm whose proposal is most advantageous to BATA based on the evaluation criteria outlined in Section IV, Paragraph B of this RFP. If the selected firm fails to enter into a contract with BATA in a timely manner as determined by BATA, in accordance with the terms and conditions of this RFP, BATA reserves the right to reject the proposal of the selected firm and enter into a contract with the next highest scoring firm. BATA also</i></p>

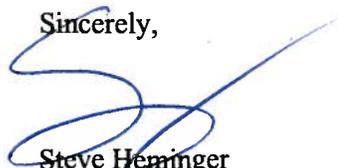
		<i>reserves the right to cancel this procurement and re-procure for this project if it is determined to be in its best interest to do so.</i>
8.	RFP, Appendix A, <u>Scope of Work</u> , Page 11	4. <del>Bank</del> Firm must provide a dedicated Account Relationship Manager and customer service team in California to assist with overall management of contract, billing and fee related issues and to provide support for all transaction related research.
9.	RFP, Missing Pages 17 & 18	<i>Not Used.</i>

The remaining provisions of the RFP, dated February 10, 2012, remain unchanged. In the event of a conflict between this addendum and the previous version(s), this addendum shall take precedence.

Questions and answers from the Proposers' Conference held on February 24, 2012 as well as responses to requests for clarification/questions and exceptions or modifications to RFP provisions are attached to this Addendum.

Any questions concerning this addendum to the RFP should be directed to Michael Brinton, BATA Project Manager, at (510) 817-5727 or [mbrinton@mtc.ca.gov](mailto:mbrinton@mtc.ca.gov).

Sincerely,



Steve Heminger  
Executive Director

SH: MB

**March 9, 2012**

**BAY AREA TOLL AUTHORITY  
REQUEST FOR PROPOSALS FOR CREDIT CARD PROCESSING SERVICES**

**Questions and Answers:**

**From Proposers' Conference on February 24, 2012  
And Received as Clarifications and Exceptions on February 29, 2012  
As Amended by Addendum No. 1 Dated March 9, 2012**

- Q1 How many copies of a proposal should be submitted by a respondent?  
A1 See Addendum No. 1, Item#1.
- Q2 What information is required for submittal under RFP, I. Background & Project Description, C. Minimum Qualifications, Item #2 (page 3), regarding evidence of ten (10) existing clients, three (3) of which are government entities?  
A2 Provide a list of client names and associated average monthly transaction volumes; no contact information is necessary.
- Q3 What contact information is required to satisfy RFP, III. Form of Proposals, D. Qualifications and Experience, Item #4 (page 5), related to references?  
A3 Provide detailed contact information including company/entity name, contact person(s), email address(s), phone number(s) and address for three (3) clients, two (2) of which must be government entities.
- Q4 Are individual departments within a government entity considered separate clients?  
A4 BATA will consider each department as a separate client only if there is a separate agreement with each department within that government entity. As such, proposers may use separate clients to meet the requirements for number of total clients and references.
- Q5 Will there be any changes to the deadlines as currently set forth in the RFP?  
A5 See Addendum No. 1, Item#2 and 3.
- Q6 How are interchange fee refunds for chargeback/credit transactions handled by BATA's current processor?  
A6 BATA's current processor applies the refund of interchange fees against the invoice/billing during the month of the transactions.
- Q7 Does BATA's current processor contribute any funding towards the PCI Compliance process and related expenses incurred by BATA or BATA's contractor, ACS State and Local Solutions, Inc.?  
A7 No, there is no monetary support for the PCI Compliance process, only direct technical support and guidance.

- Q8 What version of the Clear Commerce platform is currently in use? Is BATA open to any other platforms other than the current platform in use by ACS State and Local Solutions, Inc.?
- A8 BATA's contractor, ACS State and Local Solutions, Inc. (ACS), is currently using version 5.9.X and is in the process of upgrading to version 5.10.X. At this time, BATA is not considering any changes to the platform used.
- Q9 How many Merchant ID's are currently in use by BATA? Are there any card swipe terminals or other equipment currently used to collect customer payments?
- A9 BATA currently has four (4) Merchant ID's related to Visa/Mastercard/Discover payment collections and two (2) Merchant ID's related to American Express payments. There are no terminal machines or card swipe devices; All payment information is keyed into payment system via manual, keyboard entry.
- Q10 What are the settlement timeframes offered by BATA's current processor and American Express?
- A10 BATA's current processor settles within 24 hours of submission of batch totals for our Visa/Mastercard/Discover transactions. American Express settles within 72 hours of batch submission. BATA's current agreements provide for settlement of gross proceeds with monthly direct debit from one of the depository accounts for all merchant services related fees.
- Q11 Does BATA accept any other card types other than Visa/MC/Discover or American Express?
- A11 No.
- Q12 Is it possible to provide copies of the Merchant Services billing statements from BATA's current processor?
- A12 No, due to confidentiality agreements BATA will not provide copies of merchant services billing statements, however the following pricing information was disclosed at the Proposer's Conference held on February 24, 2012:
- Pass thru of all interchange fees from Visa/Mastercard/Discover and American Express
  - .01 cent / transaction (excluding credit transactions)
  - .03 cents / authorization (Visa/MC/Discover)
  - .05 cents / authorization (American Express)
  - \$9.95 / month service charge
  - No per item charges for credit / chargeback transactions
  - Interchange Fees refunded on all credit / chargeback transactions
- Q13 Will BATA require access to online reporting for merchant services?
- A13 Yes, online access to merchant services reporting is an integral part of BATA's process. Our current service provides access to account history on a rolling 13 month basis.
- Q14 Will BATA require online access to depository accounts?
- A14 Yes, online access to BATA's depository accounts for information reporting, account transfers and Wire/ACH initiation are an integral part of BATA's process. Our current service provides access to account history on a rolling 13 month basis.

Q15 Does this RFP cover banking needs for other aspects of BATA functions?

A15 No, this RFP only covers depository accounts and services related to FasTrak<sup>®</sup>.

Q16 What types of transactions are to be expected in BATA's depository accounts?

- A16
- Deposits – Checks, Cash, Coin
  - Incoming wires /ACH credits
  - Outgoing wires / ACH debits
  - Account transfers between BATA accounts
  - Check issuance

Q17 Will BATA provide copies of the monthly Account Analysis statements for its current accounts?

A17 No, due to confidentiality agreements BATA will not release copies of past account analysis statements; however provided below are figures of various fee categories and monthly volumes from December 2011:

<b>Account Analysis Statement</b>			
<b>Parent Summary</b>			
<b>12/01/2011 - 12/31/2011</b>			
Average Positive Ledger Balance for Month		\$	28,190,078.46
Fee Category	Volume	Fee Category	Volume
Account Maintenance	6	ACH LV-Monthly Maintenance	2
Debits Posted - Other	173	ACH LV Off Us Items	21
Credits Posted - Other	249	ACH Blocks Auth Instructions	23
GCS - Stop Payment	3	ACH Debit Received Items	71
Photocopies	15	ACH Credit Received Item	239
Vault Deposit	105	ACH Blocks Auth Maintenance	6
Curr/Coin DEP/\$100-VLT	898	Elec Wire Out - Domestic	81
Cash Letter / Item Proc Deposits	1	Direct Account Transfer	1
Checks Dep un-Encoded Items	18,517	Elec Wire Out - Book DB	9
CKS Dep Foreign Item	3	Incoming Domestic Wire	2
Returns-Chargeback	121	Book Credit	1
Deposit Correction-Non-Cash	2	Wire Advice Mail	10
General CKS Paid - Not Truncated	1,949	PHN Wire Rept Template Storage	3
Stop Pay Manual <=12 months	34	Elec Wire BK Mnt Temp Storage	17
Image Maintenance - Direct	6	Wire Module Maintenance Svcs	1
CPO Prem PDR Account	6	CPO Prem PDR Itm Stored 2 Mth	5,154
CPO Online Subscription	1	CPO Prem IR Maintenance	1
Auto Mutl Fnd Invest Svc SHRS	1		

Q18 RFP, Section I. Background & Project Description, B. Project Description (page 2), please clarify the term “ETC transactions”.

A18 “ETC transactions” refers to Electronic Toll Transactions.

Q19 How are ACH debits initiated/originated by BATA and why does BATA utilize this function?

A19 BATA initiates ACH Debits online through current service provided by our depository institution; The ACH origination function is utilized to distribute proceeds from the FasTrak<sup>®</sup> program to various entities that partner with FasTrak<sup>®</sup> for toll/parking fee collection.

Q20 Are proposers required to address the Scope of Work in proposal response?

A20 No, proposers do not need to specifically address the Scope of Work in their proposals. Proposers are to submit a response in accordance to RFP, Section III., Form of Proposals and BATA will evaluate proposals in accordance to RFP, Section IV., Proposal Evaluation.