



**STATE OF NEW YORK
DEPARTMENT OF TAXATION AND FINANCE
Office of Budget & Management Analysis
Bureau of Fiscal Services
Building 9, Room 234
W.A. Harriman Campus
Albany, NY 12227**

Patricia Mitchell, Chief Financial Officer
Eric Mostert, Assistant Director, Budget & Accounting Services
Catherine Golden, Assistant Director, Procurement

**AMENDMENT TO RFP 08-13 FINANCIAL INSTITUTION DATA MATCH SERVICES
and Response to Bidder Questions**

July 18, 2008

To All Potential Bidders:

Attached are the Questions and Answers for the above referenced RFP.

PLEASE NOTE: As indicated in the response to questions 10 and 18, the performance of all work under this contract must be within the boundaries of the United States.

All other conditions of the RFP remain as indicated in the RFP and prior Amendments.

08-13 Financial Institution Data Match Services – Department response to Questions

	PAGE	SECTION	QUESTION	ANSWER
1	11	1.B. Method 1 and Method 2	When a near match is found, what information does the DTF require for the reason for the near match?	DTF requires a “Match Indicator” as indicated in the updated file formats posted to our website on July 16, 2008 (Amendment 4).
2	11	1.B. Method 1 and Method 2	Is a human review process required for those instances where a match on non-match cannot be determined, i.e., those matches that fall below the match probability and above the non-match probability?	No. DTF will review any near matches to determine the viability as a levy source; the vendor is only responsible for supplying the files.
3	11	1.B. Method 1 and Method 2	For near-matches is there an established business process for a decision determination?	No. As noted in response to question 2, DTF will review any near matches to determine the viability as a levy source.
4	11	1.B. Method 1 and Method 2	Is there a requirement by the DTF to output or include reasons for matches, i.e. which business rules fired?	No.
5	11	1.B. Method 1 and Method 2	Is there a need to display or include the probability of a match, non-match or near-match?	No.
6	11	1.B. Method 1 and Method 2	Does each financial institution have an accurate cleansed database that does not contain duplicate records? <ul style="list-style-type: none"> • Are the DTF databases cleansed or do they need to be de-duplicated? 	DTF has no knowledge of the FI’s database. The id/name combination will make the record unique.
7	11	1.B. Method 1 and Method 2	Is there an accuracy requirement expressed in terms of percentage for matching?	No.
8	49	1A	What is the current number of financial institutions article 36 1701 applies to?	The Department estimates there are 900 Financial Institutions to which article 36, section 1701 applies.
9	49	1A	How many current tax debtors are there? What is the anticipated annual growth rate over the next seven	Refer to page 11, Section 1.B paragraph 1. Growth is difficult to predict but based on past patterns it should be

08-13 Financial Institution Data Match Services – Department response to Questions

	PAGE	SECTION	QUESTION	ANSWER
			year period?	minimal.
10	49	2a	What if any constraints are there on the physical operating location of the matching system?	The performance of all work under this contract must be within the boundaries of the United States. Additional constraints are identified in Appendix A, paragraph 21.
11	49	2a	When is the system required to be in production operation?	Refer to page 13, Section 1.E., Implementation.
12	49	2a	What if any constraints or guidelines are there on the technical infrastructure that the matching system will be built and operated on? This might include mandates on open source usage, a preference for a Linux operating system, the Java programming language etc	No constraints defined.
13	49	2a	Given variations and errors in data from each financial institution and the department - what is the required or expected matching accuracy rate for the system? Is 100% accuracy required?	No matching accuracy rate defined.
14	51	File layouts	The file layouts for DTF to Contractor and contractor to DTF are defined – is there a specification of the financial institution to contractor file layout?	DTF did not define a specification for the files exchanged between the bidder and the Financial Institution. The law states “If a financial Institution has a data match system developed or used to administer the child support enforcement programs of the state, and if that system is approved by the commissioner or the commissioners authorized designee, the financial institution may use that system to comply with the provisions of this section”.

08-13 Financial Institution Data Match Services – Department response to Questions

	PAGE	SECTION	QUESTION	ANSWER
15			Is there an incumbent contractor? If so, who?	There is no incumbent contractor.
16			What is the projected annual budget for this project?	The Budget for this project is under development.
17	N/A	N/A	Would the State please clarify the number of New York Financial Institutions?	The Department estimates there are 900 Financial Institutions to which article 36, section 1701 applies.
18			Does the work have to be in the state of New York?	No. Please see response to question 10.
19			<p>The match is based on SSN/FEIN and the first 4 bytes of the last name field.</p> <p>Would the state be willing to send the business name in the last name field to alleviate the need for an ID indicator?</p>	<p>The match criteria for this RFP has not been defined as SSN/FEIN and the first 4 bytes of the last name field.</p> <p>No. DTF needs to distinguish between SSN's and FID's via the ID Indicator. The file layouts will be finalized during the development phase.</p>
20			<p>Would the state be willing to use the existing files layouts used for the child support program? In the document found at:</p> <p>http://www.acf.hhs.gov/programs/cse/fct/fidm/dataspecs.pdf the request file can be found on page 13 and the result file can be found starting on page 15.</p>	<p>No. The contractor can use the file layouts found at http://www.acf.hhs.gov/programs/cse/fct/fidm/dataspecs.pdf when sending data to and from the Financial Institutions. DTF requires that the contractor use the file layouts defined in the RFP when sending data to and from the DTF. The file layouts will be finalized during the development phase.</p>
21			The data match file layout used by the financial institutions for matching does not allow for an ID indicator. Since it is envisioned that this field will not be provided to the financial institution, is there a reason it needs to be sent to the vendor and stored by the vendor?	DTF needs to distinguish between Social Security Number's and Federal Employer Identification Numbers. The ID indicator must be returned to DTF.
22			Could the RFP and all Addenda and other attachments be made available in Microsoft Word format?	Yes. They will be posted to our website.

08-13 Financial Institution Data Match Services – Department response to Questions

	PAGE	SECTION	QUESTION	ANSWER
23	9 36	Preface, Section 1 “Proposal Questions/Inquiries” Section 15; “Proposed Extraneous Terms,”	<p>The Preface indicates that <i>“all clarifications and exceptions, including those relating to the terms and conditions of the RFP are to be resolved prior to the submission of a bid”</i>. Section 13 on page 36 indicates that <i>“Any objections to terms and conditions set forth in this section of the RFP (Section V) and the Preliminary Contract, Exhibit 4, must be provided to the Department in the bidder’s Administrative Proposal.”</i></p> <p>Please clarify which of these statements takes precedence over the other. Is it acceptable for a bidder to include exceptions in its bid that have not been resolved prior to the submission of the bid? If all clarifications and exceptions must be resolved prior to bid submission, is there a deadline by which bidders must request such resolution in order to complete the process prior to the bid submission deadline?</p>	<p>Page 9 of the Preface refers to clarifications vendors may require in order to properly respond to the bid. Page 36, Section 15, Proposal Conditions and Administrative Requirements refers to the contract terms and conditions.</p> <p>It is acceptable to include exceptions to the contract conditions and/or preliminary contract that have not been resolved as part of your proposal.</p>
24	11	I. Introduction B. Background	<p>The RFP indicates that <i>“N. Y. S. Tax Law, Article 36 § 1701, Exhibit 1, requires Financial Institutions (FI) that do business in NYS to participate in the development and operation of a data match system in conjunction with the Commissioner or the Commissioner’s authorized designee using data exchanges to identify non-exempt assets of tax debtors.”</i> “Financial Institutions” are further defined in the RFP Glossary section on pages 7 and 8.</p>	<p>The Department estimates there are 900 Financial Institutions to which article 36, section 1701 applies. We do not have a breakdown by type.</p>

08-13 Financial Institution Data Match Services – Department response to Questions

	PAGE	SECTION	QUESTION	ANSWER
			Please indicate the total number of Financial Institutions required to participate in the data match system described in this RFP (broken down by type of Financial Institutions as defined on pages 7 and 8; i.e., <i>"banks and savings associations, Federal and State credit unions, institution-affiliated parties..., benefit associations, insurance companies, safe deposit companies, money-market mutual funds or similar entities"</i>).	
25	12	Sec 1. Introduction C. Program Objectives (bullet #4) Exhibit 5, Draft MOA	Will DTF provide addresses for MOA mailing, and will associated postage costs be reimbursed?	No.
26	13	Sec 1. Introduction E. Implementation	Is the expectation that the vendor will possess signed MOAs for all FIs by December 10, 2008?	While it is not expected that the vendor will possess signed MOA's for all Financial Institutions by 12/10/08, it is expected that the vendor will possess a significant number of MOA's to provide the DTF with the matches necessary to begin the levy process. The expectation is that the vendor will possess several hundred MOA's by 12/10/08.