



**BUREAU OF FISCAL
SERVICES
PROCUREMENT UNIT**

September 18, 2020

**Request for Proposals (RFP) 19-100
Controlled Disbursement and Direct Deposit Services**

Amendment #4

To All Potential Bidders:

The Department is issuing Amendment #4 as clarification to:

- Amend Table 3.1, Requirement 2.15
- Amend RFP Exhibits, Table of Contents
- Replace RFP Exhibit D

Corrected pages are attached to this document. All deletions are shown as orange strikethrough text and additions are made in dark blue text.

All other requirements and conditions remain as indicated in the RFP.

TABLE 3.1: FUNCTIONAL REQUIREMENTS		
#	REQUIREMENT	REQUIRED RESPONSE
	See Exhibit D, PIT Refund Image 90 File Image 90 File (Image Index File) Layout, Image 90 File (Image Index File) – Sample.	Describe the reconciliation process that will guarantee that each check is imaged and that each image file is included on the image index file. Describe: <i>The space will expand as you type. Provide additional pages as necessary.</i>
2.16	The Bidder must bundle the images and their associated header records into a file formatted archive, encrypted public PGP key and transfer the files (FTP put) via the Internet to the Department. The images must reconcile to the number of images included in the image index file. The images and related index data must be provided to the Department on the Business Day following payment. The Department prefers that the images and related index data be provided to the Department on the Business Day following payment.	The Bidder must affirm understanding of, and agreement to comply with, this Requirement. <input type="checkbox"/> Yes, the Bidder affirms its understanding of, and agreement to comply with, this Requirement. Specify the time of delivery of the image files. Time of Delivery of the Image Files:
3.	DIRECT DEPOSIT SERVICES AND PROCESSING	
3.1	The Bidder must be able to accept a direct deposit file in an acceptable format designated by the Department and authorized by NACHA. The file must be processed completely and accurately by the Bidder, reflecting the data transmitted in the file to the Bidder from the Department. The Bidder must ensure direct deposit files received from the Department by the daily cut-off time will be processed the next Business Day. See Exhibit E, Direct Deposit Initiation File Layout, Direct Deposit Initiation File – Sample.	The Bidder must affirm understanding of, and agreement to comply with, this Requirement. <input type="checkbox"/> Yes, the Bidder affirms its understanding of, and agreement to comply with, this Requirement. Identify the daily cut-off time necessary to process direct deposit files by the next Business Day. Daily cut-off time necessary to process direct deposit files by the next Business Day:

Table of Contents

Exhibit A –	Volumes.....	4
Exhibit B –	Check Issue File Layout, Check Issue File – Sample.....	5
Exhibit C –	Check Clear File Layout, Check Clear File – Sample.....	6
Exhibit D –	PIT Refund Image 90 File Image 90 File (Image Index File) Layout, Image 90 File (Image Index File) – Sample	7
Exhibit E –	Direct Deposit Initiation File Layout, Direct Deposit Initiation File – Sample	9
Exhibit F –	Direct Deposit Confirmation Report File– Sample	11
Exhibit G –	Direct Deposit Reject File Layout, Direct Deposit Reject File – Sample	13
Exhibit H –	Direct Deposit Change Reject Summary Report File – Sample.....	17
Exhibit I –	Direct Deposit Reversal File Layout, Direct Deposit Reversal File – Sample.	18
Exhibit J –	New York State Office of the State Comptroller Substitute Form W-9	20
Exhibit K –	Minority and Women-Owned Business Enterprises – Equal Employment Opportunity Policy Statement.....	22
Exhibit L–	Contractor Sales Tax Certification Forms.....	24
Exhibit M –	Work Force Employment Utilization	30
Exhibit N –	DTF-202, Tax Information Access and Non-Disclosure Agreement	31
Exhibit O –	Preliminary Base Contract	33
	ARTICLE I. DEFINITIONS.....	33
	ARTICLE II. ENTIRETY OF AGREEMENT.....	35
	ARTICLE III. CONTRACTOR RESPONSIBILITIES	36
	ARTICLE IV. DEPARTMENT RESPONSIBILITIES.....	37
	ARTICLE V. AGREEMENT TERM	38
	ARTICLE VI. FEES, PAYMENT AND COLLATERAL.....	38
	ARTICLE VII. SECRECY PROVISIONS.....	42
	ARTICLE VIII. IMPLEMENTATION	45
	ARTICLE IX. CONTRACTOR PERFORMANCE MONITORING.....	45
	ARTICLE X. MAINTENANCE AND ENHANCEMENTS	47
	ARTICLE XI. SERVICES MANAGEMENT	47
	ARTICLE XII. SECURITY	48
	ARTICLE XIII. DISASTER RECOVERY/FAIL SAFE OPERATIONS /BUSINESS CONTINUITY PLAN	49
	ARTICLE XIV. WARRANTIES	50
	ARTICLE XV. CHANGE CONTROL PROCEDURES	51

**Exhibit D – Image 90 File (Image Index File) Layout, Image 90 File
(Image Index File) – Sample**

CHECK ISSUE FILE AAYOUT					
DATA ITEM	BEG POS	END POS	LENGTH	FORMAT	COMMENTS
RECORD-TYPE	1	3	3	CHAR	VALUE '090'
DLN	4	20	17	CHAR	Document Locator Number
TAX-TYPE	21	22	2	CHAR	VALUE 'PI'
PROCESSING YEAR	23	26	4	CHAR	Process Year
RETURN-TYPE	27	29	3	CHAR	VALUE SPACES
FORM-TYPE	30	37	8	CHAR	VALUE "PITRFND"
FORM-SIDE	38	38	1	CHAR	VALUE "T" or "H" Based on whether the images in the image file are rotated (T) or not rotated (H).
FILLER	39	41	3	CHAR	VALUE SPACES
TIF-FILE-LOC	42	81	40	CHAR	Location of Image file in Saved File Directory Structure. The Format of this field is "images/dnnn/nn/DLN.nnn"
FILLER	82	89	8	CHAR	VALUE SPACES
CHECK-NMBR-ID	90	99	10	CHAR	Check Number
FILLER	100	107	8	CHAR	VALUE SPACES
LIAB-BEG-DATE	108	115	8	CHAR	VALUE SPACES
LIAB-END-DATE	116	123	8	CHAR	VALUE SPACES
EXT-TP-ID	124	134	11	CHAR	VALUE SPACES
FILLER	135	142	8	CHAR	VALUE SPACES
ALTERNATE-DLN	143	154	12	CHAR	VALUE SPACES
FILLER	155	158	4	CHAR	VALUE SPACES

CHECK ISSUE FILE - SAMPLE

090PF2000513747	PI2020	PITRFND h	/images/d984/56/PF2000513747.01f	0094403728
090PF2000513747	PI2020	PITRFND t	/images/d984/56/PF2000513747.01r	0094403728

New York State Department of Taxation and Finance
Request for Proposals (RFP) 19-100
Controlled Disbursement and Direct Deposit Services

Exhibit D – PIT Refund Image 90 File

~~PIT Refund Image 90 file: PR.NYT.TICS.IMAGE90.PI1
Backed up to: PR.TICS.IMAGE90.BKUP.PI(+1)~~

~~**File Layout:** (program PR.COMMON.\$BATCH.SOURCE(DJ0003B))~~

```
01 DJ0010I1 REC.  
05 I1 REC ID PIC X(03).  
05 I1 DSN PIC X(17).  
05 I1 TAX TYPE PIC X(02).  
05 I1 PROCESS YEAR PIC X(04).  
05 I1 RETURN TYPE PIC X(03).  
05 I1 FORM TYPE PIC X(08).  
05 I1 FORM SIDE PIC X(01).  
05 FILLER PIC X(03).  
05 I1 TIF FILE LOC PIC X(40).  
05 FILLER PIC X(08).  
05 I1 CHECK NMBR ID PIC X(10).  
05 FILLER PIC X(08).  
05 I1 LIAB BEG DATE PIC X(08).  
05 I1 LIAB END DATE PIC X(08).  
05 I1 EXT TP ID PIC X(11).  
05 FILLER PIC X(08).  
05 I1 TARGET ID PIC X(16).  
05 I1 ALT DSN FLD REDEFINES I1 TARGET ID.  
10 I1 ALT DSN PIC X(12).  
10 FILLER PIC X(04).
```

Image Control File (Image90)

a. Description and Purpose

The Image Control File is a text file containing a listing of all Image Files in a given Extract. This file contains six pieces of important data:

- ~~1. The associated Tax Type of the Image File.~~
- ~~2. The associated Tax Year of the Image File.~~
- ~~3. The location of the Image File in the Saved File Directory structure.~~
- ~~4. The associated DLN of the Image File.~~
- ~~5. The associated Image Code of the Image File.~~
- ~~6. The associated External Taxpayer Identification (TPID) number of the Image File.~~

The Image Control File is used to pass the elements of an Extract's Image Files necessary to store them in the NYSDTF Content Manager Server.

New York State Department of Taxation and Finance
Request for Proposals (RFP) 19-100
Controlled Disbursement and Direct Deposit Services

b. File Format

The Image Control File is a text file. The file contains one 158-character, plus Carriage Return/Line Feed (CR/LF), fixed field length record for each unique Image File in a given Extract. Each of these records are referred to as "Image90 Record." An Image90 Record is comprised of 16 fixed length fields:

1. 05 i90-record-identifier — A 3-character field containing a constant value of "090."
2. 05 i90-dln — A 12-character field containing the DLN² associated to the Image File.
3. 05 i90-tax-type — A 2-character field containing a constant value of "PI."
4. 05 i90-processing year — A 4-character field containing the tax year associated to the Image File. This is determined within the TMS program and has the format of "yyyy."
5. 05 i90-ret-type — A 3-character field containing the constant value of "TRC."
6. 05 i90-form-type — An 8-character field containing the 3-digit Image Code associated to the Image file followed by 5 spaces. The Image Code is determined within the TMS program.
7. 05 i90-new-form-side — A 1-character field containing either an "h" or "t." This value is determined in the TMS program based on whether the images in the Image File are rotated ("t") or not rotated ("h").
8. 05 filler — A 3-character field containing only spaces.
9. 05 i90-file-location — A 32-character field containing the full path of the image in the Saved File Directory structure followed by a single space. The format of this field is "images/dnnn/nn/DLN.nnn."^{††}
10. 05 filler — A 20-character field containing only spaces.
11. 05 i90-check-nmbr — A 10-character field containing only spaces.
12. 05 filler — A 25-character field containing only spaces.
13. 05 i90-external-id — An 11-character field containing the TPID number associated to the Image File. This field is left justified and padded by spaces. If no associated TPID number exists this field contains 11 spaces.
14. 05 filler — An 8-character field containing only spaces.
15. 05 i90-alternate-dln — A 12-character field containing only spaces.
16. 05 filler — A 4-character field containing only spaces.

^{††}The DLN value in the fields "05 i90-dln" and "05 i90-file-location" must match each other (i.e. positions 4 through 15 must be the same as positions 53 through 64).