

# REQUEST FOR PROPOSALS (RFP) #Z-46 BENEFIT BANKING SERVICES

## Attachment 5 – Mandatory Technical Requirements Affirmation

Bidder **affirms** understanding and agreement of RFP # Z-46 and provides response below certifying that it meets the Mandatory Technical Requirements specified in Section 2 of RFP #Z-46. The Bidder shall provide additional documentation certifying the mandatory eligibility requirements in its proposal.

Proposals from Bidders not meeting and certifying the Mandatory requirements may be eliminated from further consideration. The State, however, reserves the right to eliminate a Mandatory requirement when all Bidders cannot meet that requirement unless that requirement is deemed to be material by the State.

Section	Sub-section	Requirement	Requirement Met
<b>2.1 System Requirements</b>			
		Does Bidder agree to provide for a web-based system which allows the State to assign different levels of authority access for individuals in different locations across the State to provide for internal security during transmission and storage?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	1)	Does Bidder agree provide that at a minimum, all data transmissions will be through a Secure File Transfer Protocol (SFTP) connection with encrypted transport and payload for incoming and outgoing transfers?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2)	Does Bidder agree to include the back-up process provided, if the primary method of transmission is not available?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	3)	Does Bidder agree to provide for the security of the information being transmitted or at rest?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	4)	Does Bidder agree to design all incoming and outgoing data file transmissions to provide for additional field space for DOL and OCFS unique fields that are essential to DOL and OCFS internal systems to be used by the State to add and subsequently transmit data to the bank and back to the State?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	5)	Does Bidder agree to keep a copy of all data files transmitted to the State for a minimum of 5 business days, in the event that the State requires the data to be re-sent?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	6)	Does Bidder agree to meet any future system requirements developed by the State?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder provide listing of its file descriptions on Appendix 1?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to provide for web-based intranet and Internet information and applications development, or programming delivered pursuant to the contract or procurement which complies with the NYS Enterprise IT Policy NYS-P08-005, Accessibility Web-Based Information and Applications, and NYS Enterprise IT Standard NYS_S08-005, Accessibility of Web-Based Information Applications as such policies or standards may be amended, modified or superseded?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.1.1 Fraud</b>			
		Does Bidder agree to cooperate with the State and law enforcement agencies to combat fraud against UI, OTA and the Adoption Subsidy programs?	Yes <input type="checkbox"/> No <input type="checkbox"/>

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<b>Section</b>	<b>Sub-section</b>	<b>Requirement</b>	<b>Requirement Met</b>
	1)	Does Bidder agree to respond, with no transactional fees to the State, to lawful requests by the State for documents, including monthly statements of debit card transaction history, within 15 business days of the request, to deliver the response electronically in password-protected e-mail or by password-protected media such as CD or DVD as directed by the State, and to certify the records as specified in Section 2.15 of the RFP?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2)	Does Bidder agree to store, with no transactional fees to the State, IP addresses of all internet transactions with Benefit Banking users for 2 years from the date of the transaction and provide such information to the State upon its lawful request within a reasonable time?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	3)	Does Bidder agree to store, with no transactional fees to the State, incoming telephone numbers on all calls from Benefit Banking users for 2 years from the date of the telephone call and provide such information to the State upon its lawful request within a reasonable time?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	4)	Does Bidder agree to keep a record of any telephone conversations between a Recipient and its customer assistance unit, with no transactional fees to the State, for 2 years from the date of the telephone call and to provide it to the State upon their lawful request within a reasonable time.?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	5)	Does Bidder agree to provide a weekly report listing of all Recipient address change requests and requests for re-issuance of debit cards, with no transactional fees to the State, along with the IP address or telephone number source for the request?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	6)	Does Bidder agree to store, with no transactional fees to the State, either hard or electronic copies of paid checks for 7 years from the paid date?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	7)	Does Bidder agree that upon receipt of a lawful request by DOL or OCFS Special Investigations Office or other authorized entity identified by the State, it will provide, with no transactional fees to the State, live monitoring of the use of a debit card, delivering same day usage records, including exact location, amount of the transaction, any other available information about the transaction, such as items purchased, and any surveillance photos/videos of the transaction?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	8)	Does Bidder agree that with regard to an allegation of forgery of a check, it will perform the steps listed in a) through d) of this section, with no transactional fees to the State?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	9)	Does Bidder agree to make good faith efforts to return funds in the possession of the Bidder, or its subcontractors when the State has determined that the funds were paid to a Recipient due to fraud or willful misrepresentation by the Recipient?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	10)	Does Bidder agree that upon request from a prosecutor, it will provide a witness to testify in a Grand Jury, trial or other proceeding regarding alleged fraudulent receipt of Benefits, with no transactional fees to the State?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	11)	Does Bidder agree to deploy a secure web portal for delivery of requested documents and fraud leads to the designated fraud investigators for the State, with no transactional fees to the State?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	12)	Does Bidder agree to monitor suspicious requests for debit card replacement, such as multiple requests from the same IP address or same telephone number within the same day and reporting of such activity to designated staff at the related State program, with no transactional fees to the State?	Yes <input type="checkbox"/> No <input type="checkbox"/>

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<b>2.2 Bidder Requirements</b>			
	1)	Does Bidder describe the organization as it relates to the bid proposal in its Executive Summary?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to remain responsible for any and all aspects of performance pursuant to this RFP and any contract executed, including any aspects of performance carried out by subcontractors?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2)	Does Bidder agree to perform all of its work in the United States and list all of the mailing and street addresses for all facilities where the work will be performed?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to include specifics regarding service and operations for each facility and a description of the debit card customer service call center, if applicable?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2b)	Does Bidder agree to identify whether any of the Contractor Facilities to be used for these Services is located outside CONUS?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2c)	Does Bidder agree to identify the nature of such data storage, access, and/or processing services, the country where each Contractor Facility outside CONUS is located, and a reasonably detailed, summary description of the applicable safeguards the Contractor has or will put in place to protect State data outside of CONUS such as those listed in subsection 1-5?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2d)	Does Bidder agree to state whether each respective Contractor Facility located outside CONUS that will be used for any portion of the Services provided to the State is owned by the Contractor or a third party?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	3)	In addition to ACH and checks (which are required in small quantities as outlined in Section 2.7), does Bidder offer at least one other method for payment of Benefits?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	5)	Does Bidder agree to provide the proposed network ATM accessibility by providing an <b>Appendix 3</b> for ATM and ATM Network Locations as an electronic file with a table formatted in either Comma Separated Value or Excel spreadsheet with the address of each of their ATMs or network ATMs?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder affirm that P.O. Boxes will not be used as an ATM address, the address of the ATM will be the exact address of where the ATM is located, if the ATM is located in a business, the address of the business will be used, and there will be at least one ATM per New York County?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	6)	Does Bidder provide details of the on-line system available to look up ATM locations?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	7)	Does Bidder affirm its ability to create a debit card account and mail or deliver a debit card to all Recipients, to provide its lead time for startup debit cards, and to affirm that it will have the plastic supply to use for the startup cards? In addition, does bidder affirm its ability to meet requirements found within the CFR (Code of Federal Regulations) including, but not limited to Regulation E (Electronic Fund Transfers) and Regulation Z (Truth in Lending) as it relates to the Prepaid Rule?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	8)	Does Bidder affirm its ability to provide a process to transition recipients who are receiving benefits through a debit card, to a new payment method or to the default payment method identified by the State?	Yes <input type="checkbox"/> No <input type="checkbox"/>

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<b>Section</b>	<b>Sub-section</b>	<b>Requirement</b>	<b>Requirement Met</b>
<b>2.2.1 Experience</b>			
	1)	Does Bidder include a narrative describing its financial and managerial experience providing similar banking services?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2)	Does Bidder provide a description of its experience working with government and/or large clients and with adapting procedures and policies according to changes in regulations?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	3)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal regarding the annual volumes for the three largest direct deposit and prepaid debit card customers serviced?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	4)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal regarding the description of its experience handling Fraud Control Operations requests (including but not limited to subpoenas for records, live monitoring of stolen debit cards, ATM address verifications, request for ATM photo/video for fraudulently used cards, request for unlimited and unrestricted access to information to assist with the Federal Single Audit, Data Breach Notifications and/or other Security Incidents and related processes pursuant to State Technology Law Section 208 and/or Section 899-aa of the General Business Law) and its timeframe for responding to these requests. Currently, DOL averages 1,500 – 2,000 subpoenas per year?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	5)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal regarding the description of its experience as an ODFI credit transaction service provider, including, but not be limited to: Years of experience as an ODFI; The annual number of transactions and total dollar amount as an ODFI?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.2.2 Reference(s)</b>			
		Does Bidder provide additional detail in response to this Section as required in its Technical Proposal regarding its ability and resources to provide the range of banking and program services capable of meeting program goals as outlined in the RFP and references for three (3) customers with contracts that are similar in scope and complexity to the State’s requirements?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.3 Benefit Banking Accounts</b>			
		Does Bidder agree to provide for a DOL UI Account, DOL OTA Account, a DOL Exchange Account, and an OCFS Adoption Subsidy Account for each LDSS?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to address the need for full account reconciliation service including positive pay provisions for all accounts?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to make provisions to maintain an adequate level of security and controls on each account and make the State whole for misappropriated funds plus applicable interest?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.3.1 DOL UI Account</b>			
		Does Bidder agree to provide a master concentration account and (1) zero balance sub-accounts for DOL UI accounts and to transfer funds on a daily basis, if necessary, from the master concentration account to the zero balance sub accounts?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to provide DOL Finance with an online report of daily check presentments, scheduled ACH payments and electronic benefit payments by 10 AM ET time each day?	Yes <input type="checkbox"/> No <input type="checkbox"/>

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		Does Bidder agree to hold over presentments made after 10 AM ET until the next business day?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to make the State whole for lost interest incurred because of its error on balance information provided to DOL Finance and not to charge the State an overdraft fee?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to provide monthly bank statements of DOL UI accounts as well as any other accounts that may become required as part of this contract through either the RFP process or change order to DOL?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.3.2 DOL OTA Account</b>			
		Does Bidder agree to provide a master concentration account and (1) zero balance sub-accounts for DOL OTA account and to transfer funds on a daily basis, if necessary, from the master concentration account to the zero balance sub account?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to make the State whole for lost interest incurred because of its error on balance information provided to DOL Finance and not to charge the State an overdraft fee?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to hold over presentments made after 10 AM ET until the next business day?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to provide DOL Finance with an online report of real-time bank balances by 10 AM ET time each day and monthly bank statements of the DOL Occupational Training Account?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.3.3 OCFS Account(s)</b>			
	2a)	If debit cards are an additional solution offered in the Bidder's proposal, does Bidder affirm that they will be able to meet this need?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2b)	If debit cards are not an additional solution offered in the bidder's proposal, does Bidder agree to provide a process for transitioning the recipients who receive payment via debit card to one of the solutions proposed by the Bidder?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2b)	If debit cards are not an additional solution offered in the bidder's proposal, does Bidder agree that the process used to transition recipients, who received payments via debit card, includes a method for recipients to either choose a new payment method or be transitioned to the default payment method identified by the State?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to work with each LDSS to establish and maintain their account(s) and support funding of said accounts based on their individual processes?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to disburse funds based on each LDSS established payment schedule and support LDSS in its reconciliation process?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does the Bidder affirm its compliance with NACHA Operating Rules and applicable Federal and state banking standards?	Yes <input type="checkbox"/> No <input type="checkbox"/>

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<b>2.4 Child Support ACH Payments</b>			
	1)	Does Bidder agree that it can accomplish fund file transfers as ACH file transfers?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2)	Does Bidder agree to provide for the transfer of ACH funds files to the state through a mutually acceptable electronic mean?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	3)	Does Bidder agree that the ACH payment provided will have the capability for one entity to input information and a second entity to authorize and release the payment file?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	4)	Does Bidder agree not to charge the State’s account prior to the settlement date of the payments?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	5)	Does Bidder affirm that the ACH release system will provide the State with immediate verification so that the file totals being released reconcile with the State’s records and provide information requested in subsections a) and b)?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.5 Electronic Distribution of Benefits</b>			
		Does Bidder agree to provide Benefit Banking Services electronically through the ACH or a pre-paid debit card, which includes a bank customer service-oriented Call Center, IVR system and a bank website, available 24/7 with multi-language capabilities, to provide up to date debit card-related information to customers, including information on current balances, weekly replenishments, lost/stolen cards, and other card related information?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.5.1 Direct Deposit and Debit Card Requirement</b>			
		Does Bidder provide a description of its ACH Direct Deposit and prepaid Debit Card systems including Recipient accessibility for such a system?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	1)	Does Bidder agree that it has independent capability and processes in place to provide daily, weekly, monthly, or on-demand direct deposit or any other proposed disbursement of funds (including customer access to funds on a 24 hour/7 day a week basis)?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2) a)	Does Bidder agree that it has the ability to issue the card or arrange for the direct deposit of funds into the Benefit Recipient’s account within eight (8) business days of notification by the State of a Recipient’s qualifying for Benefits and the decision to make benefit payments to the individual using the preferred or default disbursement option?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2) b)	Does Bidder agree to provide the State with any information needed to begin making payments within four (4) business days of notification by the State of a Recipient's qualifying for Benefits and the decision to make benefit payments to the recipient using the direct deposit or prepaid debit card option?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2) c)	Does Bidder agree to process a daily payment file containing deposits with the assigned account numbers and other identifying information, no later than two (2) business days after the payment file is sent to the bank?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2) d)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal regarding its agreement to reimburse the Recipient for all lost interest and bank related expenses (including but not limited to: stop payment fees, returned item fees) for failure to deposit funds to the Recipient’s account as directed by the State?	Yes <input type="checkbox"/> No <input type="checkbox"/>

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	3)	Does Bidder agree to maintain a secure link from the bank’s website to the DOL or OCFS in order to provide a seamless navigation mechanism for Recipients to access Benefit information and services that do not come under the bank’s purview?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	4)	Does Bidder agree to establish an appropriate system whereby Adoption Subsidy payees and KinGap payees will be able to verify their identity to the awarded bidder’s call center staff <b>without using SSNs</b> ?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	5)	Does Bidder agree to create a method for transferring Recipient questions or complaints that more properly come under the State’s jurisdiction from the Bank’s customer call center to the State’s Call Center in a seamless and customer service oriented fashion?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	6)	Does Bidder agree to provide telephone access for Recipients to obtain Account Information, 24 hours a day, 7 days a week?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.5.2 Additional Requirements for Direct Deposit</b>			
	2.5.2.1 1)	Does Bidder agree to provide the State with an acknowledgment file of all files received for direct deposit ACH transactions?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2.5.2.1 2)	Does Bidder agree to provide the State with a daily file return containing confirmation of successful and filed payments and any other payment-related information needed for the State to properly make and monitor Benefit payments?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2.5.2.2 1)	Does Bidder affirm that when requested by the State, direct deposit accounts will be pre-noted to validate the account prior to sending ACH payments?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2)	Does Bidder affirm that upon notification from the State, it will not deposit funds into certain types of Recipient-identified depository accounts?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.5.3 Additional Requirements for Debit Card</b>			
	2.5.3.1 1) a)	Does Bidder agree to provide for a prepaid debit card that operates on a widely accepted banking network, which is compatible with an operating and available ATM network as well as POS retail locations?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	1) b)	Does Bidder agree to provide a prepaid debit card that is limited to only one specific debit card brand?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	1) c)	Does Bidder agree to have an expiration term of at least three years from the date of issue or according to appropriate banking standards?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	1) d)	Does Bidder agree to replace the debit card at no extra charge after the expiration date if funds are still available to the Recipient even if the account has not had any activity or has not been activated?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	1) e)	Does Bidder agree to provide a prepaid debit card which is compliant and will remain compliant with all Federal Reserve Regulations?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	1) f)	Does Bidder agree to provide a prepaid debit card which is compliant and will remain compliant with current industry standard for security and confidentiality?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	1) g)	Does Bidder agree to provide a prepaid debit card which will be accepted by participating merchants and will allow PIN-based purchases as well as credit via signature without any cardholder fees?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	1) h)	Does Bidder agree to provide a prepaid debit card which allows the withdrawal of cash through in network ATMs?	Yes <input type="checkbox"/> No <input type="checkbox"/>

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	2.5.3.1 2)	Does Bidder agree to provide customer service to Recipients regarding issues, including but not limited to; issuance of cards and replacement cards, PIN changes, withdrawals, account balances, fraudulent use of cards, account overdrafts?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	3)	Does Bidder agree that its website will provide Recipients with ATM locations throughout the state, where they can view weekly and or monthly replenishments of benefit amounts to debit cards, current balances on accounts as well as transactions histories and that this website would be accessible via a link from DOL or OCFS website?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	4)	Does Bidder agree to provide monthly statements, either electronic or paper at the option of the Recipient, to each/prepaid debit cardholder, reflecting transactions histories and card balances?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	5)	Does Bidder agree to provide cardholders with a minimum of five (5) surcharge-free in-network ATM cash withdrawal transaction per month as well as "surcharge-free" access at a wide range of POS locations throughout the State?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	6)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal regarding the limitations on balance inquiries?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	7)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal regarding its reasonable steps taken to preclude Recipients from overdrawing their debit card accounts, and its assumption of financial responsibility for any debit card accounts that may be overdrawn?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	8)	Does Bidder agree to issue prepaid debit cards and related PINs to Benefit Recipients on behalf of the State, allow the cardholders to change their PINs without any charge, and provide the cardholder with the PIN selection process for when a card is lost or stolen and when the cardholder forgets his/her PIN, after the initial card issuance?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	9)	Does Bidder agree that the prepaid debit card services will be available to Recipients of Benefits who live outside the continental United States and those who have United States Military addresses?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	10)	Does Bidder agree to notify the cardholders of any changes in policy that affect them or their account in accordance with industry standards?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	11)	Does Bidder agree that it will be able to process multiple account enrollment files on a daily basis and provide an acknowledgment for all enrollment files received and it will be able to send on a daily basis, a return file containing the newly created debit card account numbers, all reissued prepaid debit card account numbers, and all other payment-related information needed for the State to properly make and monitor Benefit payments?	Yes <input type="checkbox"/> No <input type="checkbox"/>



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	12)	Does Bidder agree to accept without charge to the State or cardholder, any reversals from the State for any prepaid debit card credit entries made in error to the cardholder account per NACHA Rules, to the extent that such entries are within the Bidder’s jurisdiction?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	13)	Does the Bidder agree to provide language assistance services (interpretation and translation services) to people with LEP in the six most common non-English languages spoken by individuals in NYS, based on US census data, that its customer support will provide telephone interpretation services in any language to Recipients, and translation services of vital documents, including essential public documents such as forms and instructions provided to or completed by Recipients in accordance with Executive Order 26?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	14)	Does Bidder agree to acknowledge the right of the State to approve the name, design and graphics of the card that will be issued, and all instructional materials sent to cardholders, under this program?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	15)	Does Bidder agree to create and mail first class notification letters to cardholders who have not activated their debit cards and that the content of the notification letter will be subject to the prior approval of the State, and that for debit cards that have not been activated after the date indicated in the notification letter, Bidder will transmit to the State an electronic file containing the cardholder name, address, account number and debit card amount?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	16)	Does Bidder agree to return un-activated debit card funds and/or unused debit card funds pursuant to NYS law and/or the direction of DOL and/or OCFS?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	17)	Does Bidder agree to provide notification to the State whenever the prepaid debit card account is no longer active or the card is not activated?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	18)	Does Bidder agree to accept address changes and date of birth changes from DOL Claimant cardholders, make the address changes and date of birth changes available to DOL via a mutually acceptable electronic format, and advise cardholders to notify DOL of their address changes and/or date of birth changes?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	19)	Does Bidder agree to assist the State with developing informational and marketing materials for Recipients as well as with training of State staff on debit card program?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	19) a)	Does Bidder agree to make all informational and marketing materials clear regarding the services being provided, and that all possible fees will be built into the fully loaded debit card cost reflected in the Bidder’s Cost Proposal?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	19) b)	Does Bidder agree that all such informational and marketing materials must be approved by the State prior to distribution or use and will be deemed “Works for Hire” as such term is used in the Copyright Act (17 USC Section 101 et seq.)?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	20)	Does Bidder agree to provide detailed monthly reports to the State regarding prepaid debit card activities, which reports will include the total number of prepaid debit cards issued as well as the timeliness of the issuance of these cards and the total number of prepaid debit cards cancelled?	Yes <input type="checkbox"/> No <input type="checkbox"/>

# REQUEST FOR PROPOSALS (RFP) #Z-46 BENEFIT BANKING SERVICES

## Attachment 5 – Mandatory Technical Requirements Affirmation

21)	Does Bidder agree to create a debit card account and mail or deliver a debit card to all new Recipients who choose debit card as their method of payment and to existing Recipients who do not already have a debit card account and who choose to change their method of payment to debit card?	Yes <input type="checkbox"/> No <input type="checkbox"/>
22)	Does Bidder agree to lock debit card from further use when overdrawn until resolved or account settled?	Yes <input type="checkbox"/> No <input type="checkbox"/>
23)	Does Bidder agree to provide Benefit Recipients with the following additional debit card services: Allow out of network ATM cash withdrawals and inquiries? Expedited mailing services of replacement cards? Additional debit card for an authorized representative of Benefit Recipient? Issue a check to close out the debit card?	Yes <input type="checkbox"/> No <input type="checkbox"/>
2.5.3.2		
1)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal on how ongoing and up to date Recipient information regarding current balances on individual accounts and transaction history information will be made available to the Recipient via a bank toll free Customer Call Center and IVR system?	Yes <input type="checkbox"/> No <input type="checkbox"/>
2)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal regarding any limitations on the dollar amount that can be withdrawn at ATMs which are placed on Cardholders?	Yes <input type="checkbox"/> No <input type="checkbox"/>
3)	Does Bidder explain how cardholders will report lost, stolen and damaged debit cards to customer support?	Yes <input type="checkbox"/> No <input type="checkbox"/>
4)	Does Bidder provide information as to how quickly and through what method the cardholders will be notified of the changes in bank policy that affect them?	Yes <input type="checkbox"/> No <input type="checkbox"/>
5)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal explaining the process for resolving errors on the part of the Bidder?	Yes <input type="checkbox"/> No <input type="checkbox"/>
6)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal explaining the process for resolving complaints from Recipients of Benefits through prepaid debit cards?	Yes <input type="checkbox"/> No <input type="checkbox"/>
7)	Does Bidder describe any restrictions that will be placed on debit card usage?	Yes <input type="checkbox"/> No <input type="checkbox"/>
8)	Does Bidder supply a list of additional languages that are available through its customer support center and provide the name of any interpretation and/or translation services that will be used?	Yes <input type="checkbox"/> No <input type="checkbox"/>
9)	Does Bidder provide information on how customer support will be provided to Recipients who are hearing impaired using TTY and as well as those with other disabilities as referenced in Appendix GTC.?	Yes <input type="checkbox"/> No <input type="checkbox"/>
10)	Does Bidder describe the documents that they expect to provide in 10 languages including relevant customer service and disclosure information?	Yes <input type="checkbox"/> No <input type="checkbox"/>
11)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal explaining the process of notification to the State of address changes received and the timeframe of notification?	Yes <input type="checkbox"/> No <input type="checkbox"/>
12)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal explaining the process for reporting to the State when the Bidder receives returned mail regarding a Cardholder?	Yes <input type="checkbox"/> No <input type="checkbox"/>

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<b>Section</b>	<b>Sub-section</b>	<b>Requirement</b>	<b>Requirement Met</b>
<b>2.6 Requirements for Additional Disbursement Methods</b>			
	1)	Does Bidder affirm that the alternative solution proposed takes in to consideration the needs of unbanked and underbanked recipients?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2)	Does Bidder affirm that the alternative solution is accessible to Recipients throughout the State?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	3)	Does Bidder affirm that they have the ability to perform all functions related to check payments, regardless of if they propose it as a primary disbursement option?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.7 DOL Paper Check Issuance Procedure</b>			
		Does Bidder affirm that paper checks will be issued due to the IRORA?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to provide an electronic file transfer daily which lists all items that have been paid on all the accounts the previous business day?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder affirm that the controlled disbursement site will be able to process as many as 100 checks as part of a normal business day?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to offer check services as part of the proposed solutions?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		If Bidder offers checks as an alternative to ACH, does bidder affirm they will be able to meet the number of checks requested by benefit customers each day?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does bidder agree to provide the information outlined in subsection 1-4?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.7.1 Automated Issuance Procedure</b>			
		Does Bidder agree that it is willing and capable of receiving the check issuance data daily from DTF electronically and will process the DOL check issuance file with information from both UI and OTA benefit programs?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder provide its file descriptions for the check issuance files?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to compare the checks being presented against the DOL check issuance file that has been provided by NYS on the day of receipt and to adjust or reverse the funding for unmatched or exception items no later than the next business day?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder provide additional detail in response to this Section as required in its Technical Proposal describing the process for the positive pay matching of paid items, how NYS will be notified of unmatched items, and how and when the funding will be adjusted for any positive pay exceptions?	Yes <input type="checkbox"/> No <input type="checkbox"/>

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Section	<u>Sub-section</u>	Requirement	<u>Requirement Met</u>
<b>2.7.2 Check Removal/ Void/Stop Payment Issuances for Lost Checks</b>			
		Does Bidder agree to post removal/void/stop payment issuance transactions immediately?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	1)	Does Bidder agree to provide NYS with the ability to void issuances on-line and advise at what point a void will be indicated on the system?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2)	Does Bidder agree to provide on-line verification that the voids have beenaffected no later than 10:00 AM ET Time, the next business day?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	3)	Does Bidder agree that once a void is placed on-line, the transaction must be effective in that day's bank processing?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	4)	Does Bidder agree that its on-line system would allow a variety of simultaneous accesses, such as separate individuals placing voids?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	5)	Does Bidder describe how and when reports on voids will be available?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.7.3 Check Removal/Void Issuances for Returned Checks</b>			
		Does Bidder agree that it is willing and able to receive the file of checks to bevoided from the State and void the checks from its system no later than the next business day?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to provide its file description for the void check file?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to process the void check file, update it and return the file to the State on a weekly basis for all checks that were voided during theprevious week?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to include the back-up process provided if the primary method of transmission is not available?	Yes <input type="checkbox"/> No <input type="checkbox"/>

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<b>Section</b>	<b>Sub-section</b>	<b>Requirement</b>	<b>Requirement Met</b>
<b>2.7.4 Write-Off of Checks</b>			
		Does Bidder agree to provide the State the ability to write off (cancel/void/delete) all checks that have been outstanding for 74 calendar days?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to automatically identify for the State aged outstanding items for potential stale-dating, and remove them from the outstanding file and provide the State with a daily electronic file listing (which includes a total item count and total dollar amount) of the aged items that were removed?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder provide its file descriptions for the daily electronic file, as indicated in Section 2.1, System Requirements and does the electronic file provide a total item count and total dollar amount?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to include the listing of written-off checks on the paid transmission file that is sent back to the State?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree that if the listing of written-off checks will be a separate file, then it will be electronically transmitted to the State on the day it was written off?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder describe the most efficient and secure method proposed for the daily transmission of written-off check data providing their file descriptions for the paid transmission file?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.7.5 Check Imaging and Check Retention</b>			
		Does Bidder agree to provide a web-based system via a secure Internet connection for viewing and retrieving check images to DTF?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to maintain and store images of the front and back of all paid checks issued from these accounts and make these images accessible to the State for a 7 year period?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder describe a procedure to request and receive certified copies of checks to avoid bank representation at judicial proceedings?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder affirm understanding and acceptance of the requirements in subsection 1) through 8) of this section?	Yes <input type="checkbox"/> No <input type="checkbox"/>

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<b>Section</b>	<b>Sub-section</b>	<b>Requirement</b>	<b>Requirement Met</b>
<b>2.8 Account Reconciliation Services for Checks</b>			
		Does Bidder agree to provide a daily full account reconciliation service with a positive pay feature for the Benefit Accounts and explain the positive pay feature fully?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree that Paid items will remain on the inquiry system for at least one year to expedite the request of copies/images?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	1)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal providing an overview of the positive pay and account reconciliation services including: <ul style="list-style-type: none"> <li>• A description of how items that do not match the issuance file will be processed?</li> <li>• A definition of the use of the terms ‘Paid No Issue’ and/or ‘Paid without Issue’?</li> <li>• Whether altered or counterfeit are covered?</li> <li>• Procedures for handling altered or counterfeit checks?</li> </ul>	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal providing the time of the day that the ‘Paid No Issue’ or ‘Paid Without Issue’ items will be scrubbed?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	3)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal providing when paid items will be posted?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	4)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal describing the process for notifying the State of items that cannot be reconciled?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	5)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal describing in detail the process to reconcile differences between postings to the outstanding ledger and postings to the main account? (If posting occurs after reconciling, this information is not necessary.)	Yes <input type="checkbox"/> No <input type="checkbox"/>
	6)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal providing the length of time that paid items will remain on the system?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	7)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal describing the process the State will use to obtain images once the paid items are cleared on the system?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	8)	Does Bidder agree to accommodate and support the OCFS Subsidy Payments reconciliation process as established by each of the 57 LDSS?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.9 Online Access and Reports</b>			
	1)	Does Bidder agree to provide a secure web-based system which allows the State’s authorized users’ access that includes, but is not limited to, reports, inquiries, and authorizations for release of payments?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2)	Does Bidder agree to give the State the ability to grant and revoke permissions of its employees for accessing account and report information online which includes unique passwords for the State administrators?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	3)	Does Bidder agree to provide an overview of the process for user maintenance to add or delete users and assigning functions to various users?	Yes <input type="checkbox"/> No <input type="checkbox"/>

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<b>Section</b>	<b>Sub-section</b>	<b>Requirement</b>	<b>Requirement Met</b>
		Does Bidder provide additional detail in response to this Section as required in its Technical Proposal regarding its agreement that in the event that on-line access to the bank becomes inoperable for one day or longer, it will provide a satisfactory back-up service so that all photocopy requests and void requests are achieved timely and all required on-line access and reports specified in the RFP will be made available in a comparable form for the electronic benefit distribution system via pre-paid debit cards, until the on-line access is fully restored?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.9.1 Online Access</b>			
	1) - 5)	Does Bidder agree to provide online access for <u>all</u> of the following: Reconciliation Inquiry, Transactions Paid Inquiry, Void Requests, Image Requests, and Account Analysis?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	6)	Does Bidder agree to communicate to the State regarding any data that the Bank has changed and provide the State with the ability to edit consumer data, such as date of birth, mother's maiden name, and address changes to keep the data in the system uniform with the data in the State system?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	7)	Does Bidder agree that it has the ability to generate weekly reports to check on the status of Recipient's debit card (active, inactive); lost debit cards that are reissued; damaged debit cards that are reissued; and undeliverable debit cards?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.9.2 Online Reports</b>			
		Does Bidder provide additional detail in response to this Section as required in its Technical Proposal regarding its agreement to provide <u>all</u> of the reports listed on Exhibit 2?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder provide additional detail in response to this Section as required in its Technical Proposal regarding its agreement that it could keep all reports secure during transmission to the State?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder provide additional detail in response to this Section as required in its Technical Proposal regarding its agreement that all reports will be available online for a minimum period of 90 days and otherwise maintained for a minimum period of 7 years?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder provide additional detail in response to this Section as required in its Technical Proposal regarding its agreement that the State has the right to add, delete or make changes to required reports and in the event that this is necessary, Bidder will meet with the State to determine how new report requirements will be met?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder provide additional detail in response to this Section as required in its Technical Proposal affirming its understanding and acceptance of the requirements listed in subsections 1) through 5)?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.10 Testing and Implementation</b>			
<b>2.10.1 Pre-Implementation Testing</b>			
		Does Bidder affirm that before implementation, it will demonstrate to the complete satisfaction of the State that requirements of the RFP will be in place?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree that prior to testing, its agents and employees who will have access to State information will sign the NDA provided by the State?	Yes <input type="checkbox"/> No <input type="checkbox"/>

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<b>Section</b>	<b>Sub-section</b>	<b>Requirement</b>	<b>Requirement Met</b>
		Does Bidder agree to conduct a full simulation of an active bank account using test data, including transmitting an issuance file, posting outstanding items, obtaining images, posting voids, and matching paid items to the issuance file?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2.10.1.1	Does Bidder affirm understanding and acceptance of requirements of Full Simulation as listed in 1) through 16) of this subsection?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2.10.1.2	Does Bidder agree that its plan will address the procedures for testing the items listed in Section 2.10.1, how an account simulation will be conducted, the extent of the State’s role in the testing process, and the timeframe?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.10.2 Implementation Plan</b>			
		Does Bidder agree to provide an Implementation Plan for providing the Benefit Banking Services?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to work with all parties necessary to establish the banking services required under the RFP, make all reasonable efforts to work with the current contractor for transition, and transfer services without interruption to the State and/or a subsequent service provider upon termination or expiration of the contract resulting from the RFP?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to list the major activities and time frames for completing the development, Pre-Implementation testing, transition to production, and on-going support functions?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	1) - 13)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal affirming its understanding and acceptance of requirements in 1) through 13) of this subsection?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.10.3 Staffing Plan</b>			
		Does Bidder agree to provide a staffing plan for development, implementation (testing and conversion), training and continuous support of banking services, which includes the qualifications of bank staff and years of experience?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	1) - 4)	Does Bidder affirm understanding and acceptance of requirements in 1) through 4) of this subsection?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.11 Disaster Recovery/Fail Safe Operations</b>			
		Does Bidder agree to submit a Disaster Recovery Plan to be used in the event of a systems failure or other disaster at the primary processing site related to these services which provides a sufficient level of fail-safe and disaster recovery operations so that any disruptions to services are not apparent to Recipients?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder describe the critical aspects of the plan in the event of a systems failure or other disaster at the primary processing site related to these services?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to provide to the State the date when the relevant aspects of the plan were last tested and the frequency which the plan will be tested and updated?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder agree to submit an updated Disaster Recovery Preparedness Plan on an annual basis for the life of the contract?	Yes <input type="checkbox"/> No <input type="checkbox"/>



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Section	Sub-section	Requirement	
	1)	Does Bidder provide additional detail in response to this Section as required in its Technical Proposal describing the formal disaster recovery plan that will be in place in the event of a systems failure or other disaster at the primary processing site?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	2) – 11)	Does Bidder affirm its understanding and acceptance of requirements in 2) through 11) of this subsection?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.12 Banking Service Schedules</b>			
		With regard to Banking Services Schedules and other standard Bank-related materials submitted by Contractor with its proposal, does the bidder affirm that nothing contained in such schedules and materials will be effective to the extent that it constitutes a variance with the terms or requirements of the Agreement, the RFP Z-46, or any of the above-referenced documents, and which has not been agreed to by the State in the final Contract/Agreement?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does the Bidder affirm that any proposed banking services schedules submitted with the proposal will be submitted as an attachment to the Administrative Proposal and must be provided in editable, Word format?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.13 Check Cashing</b>			
		Does Bidder agree to cash DOL benefit checks without requiring the individual to have an account with the Bidder and acknowledge that it understands that the State will not indemnify it for losses incurred for cashing checks?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder describe its policies regarding cashing “on-us” checks and provide a list of requirements that would be imposed for Recipients to cash a check?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		Does Bidder provide additional detail in response to this Section as required in its Technical Proposal regarding the positive pay program at the teller level that will be used?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>2.14 Court Certifications</b>			
		Does Bidder agree to provide certification of records for admission in court cases or administrative hearings and witnesses upon request of the State, at no additional cost to the State?	Yes <input type="checkbox"/> No <input type="checkbox"/>

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**Bidder's Name**

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**Signature**

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**Title of Signatory**

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**Printed or Typed Name**

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**Date:**