

**Request for Information (RFI) 20-600 Modernization of Receivables, Collections, and Dispute Management systems
Questions and Answers**

#	Vendor Question	Department Response
1	Does the State prefer on-premise or cloud implementation? If cloud are there any standards, statues, regulations, or other requirements or constraints that a vendor needs to be aware of in bidding a hosted cloud solution?	The Department prefers on-premise implementation, but for research gathering purposes, would like information returned on all solutions available.
2	Does the State prefer a COTS (commercial off the shelf) solution vs. a design and develop from the ground up?	For the purposes of this RFI, the Department would prefer a COTS solution.
3	Is there a time event that necessitates a new system to be implemented by? If yes, when is that date?	The Department has not made a determination of need at this point. Once such determination is made, if at all, all dates would be communicated to the vendor community appropriately.
4	Does the State have an expected timeline for the issuance of an RFP, and a start of the project?	This Request for Information (RFI) is issued solely for the research and gathering of information to learn about the options available in the marketplace regarding possible solutions for Modernization of the Department's Receivables, Collections and Dispute Management Systems. It is not a Request for Proposals (RFP) or a promise to issue an RFP in the future. Accordingly, no such timeline is available.
5	Approximately what are the total users accessing the system? And approximately what would the maximum number of concurrent users at any given point in time on the system?	Approximately 4,000 total users / 2,000 concurrent users
6	How many active and archived accounts are there? What is the anticipated growth of accounts year over year?	There are over 22 million assessments, with approximately 1.76 million assessments created each year. There are over 7 million collection cases, with approx. 360,000 new collection cases created each year. Approx. 261,000 dispute (protest) cases are created annually.
7	Is there a conversion from the existing systems to the new systems? If yes, can you briefly describe how many systems will be converted to the new system, how many accounts, and what is the total size of the databases that are being converted?	Yes, there will be a conversion from the existing systems to the new systems. No determination has been made regarding what percentage of accounts will be converted for the Account Receivables, Collections, and Dispute Resolutions systems. There are over 300 distinct IDMS record types ("tables") for CARTS.
8	How many current workflows does the State have? Do you have the current and to-be requirements documented?	The Department is unclear what is meant by 'workflows'. There is a workflow for each system. The to-be requirements have been documented.

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9	Can the state provide an approx. total number of letters and reports.	The Department of Tax and Finance sends out several million letters per year. As each assessment (1.76 MLN of them per year, as stated previously) would result in at least one letter (bill), and often many more, including adjusted and follow-up notices, and various protest/collection letters... which also get spouse/POA copies. As for reports, a few hundred reports on the mainframe (CMOD), but also multiple Cognos reports.
10	Can the State describe how many interfaces/data exchanges there are, how many one way vs. two-way interfaces	CARTS has over 200 interfaces, some are internal to DTF, others are with external entities, incl. IRS. The majority are two-way.
11	Page 2 – How many different debt types will come into the system?	The Department is unclear on what is meant by debt types. DTF administers over 40 tax types.
12	Page 2 – Are all debt types from Department of Taxation and Finance, or do some come from another agency?	There are debts from DTF and other agencies.
13	Page 3 – Associated Assessments. We assume that once the assessment is made, both the original entity and the responsible person (or persons) would now all be jointly responsible for the debts. Further, while we don't see it in the document, can we assume there are requirements to maintain those relationships, ensure that reports don't overcount the individual debts, and that once paid, the liability is removed from all responsible parties?	The requirement to maintain those relationships is not encompassed within this system. There are requirements to ensure that reports don't overcount the individual debts. Additionally, there are payment transactions that must be applied to associated assessment liabilities as well.
14	Page 4 – Offset Process. Can we assume there are multiple sources of offset, including State Refunds, Federal Payments, and payments from other agencies (e.g., Lottery)?	Yes, there are multiple sources of offset including State Refunds, Federal Payments, and payments from other agencies (e.g., Lottery).
15	Section I.2 – What is the approximate transaction volume expected?	Approximately 665,000 - 860,000 per month.
16	Section I.6 – Can you describe the Department's vision as to which system is the "system of record" for the debts. Are these internal systems copies of the debts, or are they the system of record, or does the new CARTS system become the system of record?	Each of the individual systems will be the system of record for the respective functionalities.
17	Will responses to the RFI be subject to disclosure through the New York State Freedom of Information Law or another statute prior to the RFP being issued?	Information received by the Department is presumptively available for public inspection.

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18	Can the State describe how they currently work images, desired to be state, including how you invasion using the MS Outlook integrator referred to in the RFI?	The Department is unclear what is being requested. There is no reference to MS Outlook Integrator in the RFI.
19	What is DTF's current landscape including existing ERP, that this tax solution would interact with?	There is not currently an existing ERP landscape for CARTS.
20	What is the CARTS system built upon and are we anticipating to include other components of tax collection & management like tax payer registration or audit management, etc. in our future scope?	<p>The CARTS system includes a backend COBOL batch running on zOS mainframe with IDMS the primary database and limited IBM DB2. Front includes some CICS green screens with a large percentage converted to Java web application and interacting with Cobol modules thru CICS transaction Gateway.</p> <p>It is unknown whether other components of tax collection and management would be included in the future.</p>
21	What are the next steps to this RFI and when should we expect the RFP?	This Request for Information (RFI) is issued solely for the research and gathering of information to learn about the options available in the marketplace regarding possible solutions for Modernization of the Department's Receivables, Collections and Dispute Management Systems. It is not a Request for Proposals (RFP) or a promise to issue an RFP in the future. The Department may reach out to select vendors if it has further questions regarding a submission.
22	The RFI mentions that this request is for information surrounding the replacement of the current legacy systems of Case and Resource Tracking Systems (CARTS), is that a single existing contract or multiple integrated systems, and can I get the current vendor name(s) and contract numbers?	The CARTS system is an in house developed software. There is no outside vendor or contract.