**Attachment 1: Questionnaire**

***Please insert your responses after each question. Your completed, printed questionnaire will comprise Tab B of your proposal. Delete this note.***

CONTRACT NUMBER: TREAS-1603-DIRDEP

**Experience**

1. Generally describe the background of your firm. Include a brief history, functional organizational chart and ownership structure. Prove a more in-depth discussion of your firm’s experience with Direct Deposit services, including how that function fits in with your firm’s operations. Do you consider it a core banking service?

2. Describe the ACH origination component of your overall banking structure, especially the Direct Deposit function. Include number of employees.

3. Provide any market share analyses from internal or external sources that illustrate your relative competitive position to your competitors for the requested services.

4. List and describe any significant contributions your firm has made in provision of the requested services that differentiates you from your competitors.

5. Describe and/or provide your firm’s core values, governing principles, and mission statement. How do these traits and/or goals relate to your firm’s provision of the requested services? Why do they make your firm a “good fit” for this engagement?

6. Describe in detail the composition and experience of those individuals who would be assigned to provision of this service for the State. For each individual, include a complete resume with both work and academic experience. Highlight the individual’s experience with public sector clients. What level of access will the OST have with respect to each of the persons identified?

7. Describe any SEC or other material litigation, action or sanctions against your firm, its subsidiaries, or contracted third party processors that is presently pending or that was resolved (favorably or unfavorably) in the prior five years, as it relates to this RFP.

8. Provide the last two years of audited financial statements for your firm plus the most recent statements for unaudited periods (Tab J).

9. For what types of governments – municipality, county, state, federal – do you provide Direct Deposit services? Please briefly describe the number and scope of your Direct Deposit clients.

10. What is the greatest number of records you’ve received from your current largest client for any single payment period? In terms of volume, where would the State of Delaware’s Direct Deposit of payroll program fall in your ranking of clients? Direct Deposit of pension? Combined?

11. What would the effect be of the State of Delaware’s Direct Deposit program on your overall capacity? How would you handle situations where several large clients transmitted their Direct Deposit payments on the same day? How would you mitigate the risk that your system would be overburdened?

**Subcontractors**

1. Will you use a subcontractor to provide this service to the State? If yes, what is its name and how long have you had this relationship? If no, please proceed to the next section.

2. Please explain your relationship to the subcontractor? Independent third party? Subsidiary? Other?

3. For what government entities does the subcontractor currently provide Direct Deposit services? Please include length of time.

4. Please describe the experience of the subcontractor’s management team.

**Disaster Recovery / Continuity of Operations Plan**

1. Describe your contingency plans for equipment, power disruptions or other failures that could affect Direct Deposit services or information reporting. Please include detail on the following topics:

* Location of alternate work sites
* Personnel who would move to alternate work sites
* Frequency that “hot site” testing is conducted
* Redundant equipment and/or procedures that are in place in the event of equipment failure
* Routine data backup procedures

2. How often is your Disaster Recovery Plan reviewed? Tested?

**Data Storage**

1. Please describe how you archive your files, including what options the State of Delaware may have and costs associated with those options.

2. How long is data archived and available for retrieval? Is retrieval available via your online reporting service or must a special request be made via Customer Service?

**Reporting**

1. How do you report return items and notifications of change?

2. What statements are available online? Daily? Monthly? In your response, please include what download formats, such as PDF, MS Excel, CSV and BAI, you support.

3. For both “standard” and “extended” storage, how many days of access would the State have for these online reports?

* Notifications of Change
* Daily statements
* Monthly statements

**Customer Service**

1. Please briefly describe the dedicated customer service team that will be assigned to the State of Delaware relationship for day-to-day issues. Please include the city (or cities) where your respective teams (operations, customer service, and management) are based.

2. What is your expected time for resolving standard customer service requests? Special, non-routine requests?

**Transition**

1. What is your expected time (in weeks) to transition this Direct Deposit service from the incumbent bank to yours? The time should be measured from the date the contract is awarded to the date the service is fully operational.

2. Would the State incur any bank-generated costs associated with the transition? If so, please detail them.

**Risk Management**

1. Provide the following information:

* Organizational code of conduct and/or statement of ethics.
* Regulatory Reports: Statement on Standards for Attestation Engagements No. 16, Reporting on Controls at a Service Organization (SSAE16), and your Securities Exchange Commission (SEC) Form 10-Q. Enumerate any issues raised about these documents during the bank’s most recent audit.
* Provide your organization’s current short-term and long-term credit ratings.

*Note: The SSAE16 and SEC Form 10-Q should be referenced in your response, but the reports themselves may be provided outside the vendor’s 3-ring binder proposal.*