



STATE OF NEW YORK
OFFICE OF THE ATTORNEY GENERAL

LETITIA JAMES
ATTORNEY GENERAL

DIVISION OF ADMINISTRATION
BUDGET AND FISCAL MANAGEMENT BUREAU

Purchasing Memorandum

DATE: October 26, 2021

PLEASE ADDRESS INQUIRIES TO:

Rachel Young, *Contract Management Specialist*
Telephone Number: (518) 776-2144
E-Mail: purchase@ag.ny.gov

REQUEST FOR PROPOSAL NO.: 21-002

TITLE: Court Docket, Calendaring and Case Monitoring Software Solution

RFP DUE DATE: ~~October 27, 2021~~ **October 29, 2021 by 5:00 PM EST**

PERIOD: 5 years

SUBJECT: Answers to Questions/Inquiries

TO: **ALL PROSPECTIVE APPLICANTS**

In reference to the above Request for Proposal, the following questions/inquiries were submitted by the deadline indicated in the RFP. We are hereby providing answers to each question below:

- QUESTION:** In order for us to have a more accurate bid and quote, we would like to know how many calendar recipients do you have for the docketed cases as well as recipients for alerts? For this purpose, “calendar recipient” means any member of your staff (attorneys, legal secretaries, paralegals, docketing team, et. al.) that are required to receive notifications and calendar events. Those who you would like to receive the calendar events in Outlook. This is different from the 7 concurrent “users” you mentioned in 2.1. “Alert recipient” – any staff member receiving the alerts on the cases identified.

ANSWER: We are starting with 7 current users. Anticipating expansion as per #2 below.
- QUESTION:** There is also a mention of growth in the future. How many additional calendar recipients do you anticipate for such growth? How about the “piggyback” agencies calendar recipients? Estimate is acceptable.

ANSWER: We need the original 7 and expansion of approximately 20. As for piggyback, we would consider the option.
- QUESTION:** RFP Submission. Are RFP Submissions fully electronic and to be emailed to purchase@ag.ny.gov? Please confirm there is no hard copy submission requirements.

ANSWER: RFP bid submissions must be submitted electronically to purchase@ag.ny.gov.
- QUESTION:** It seems from the Technical Specifications provided that the OAG would like to host the solution on its own (on-prem). Is this correct and if a cloud hosting option is available, would you like the pricing for that as well?

ANSWER: We would like a proposal and pricing for both solutions.
- QUESTION:** What are the “OAG and SQL server applications” envisioned in question 2.1.4?

ANSWER: We are capable of supporting SQL or Oracle back ends. We do not need to commit to one over the other.



STATE OF NEW YORK
OFFICE OF THE ATTORNEY GENERAL

LETITIA JAMES
ATTORNEY GENERAL

DIVISION OF ADMINISTRATION
BUDGET AND FISCAL MANAGEMENT BUREAU

6. QUESTION: Where is question 2.6.4?
ANSWER: **There is no 2.6.4 requirement**
7. QUESTION: RFP Bidder Reference. The Excel worksheet provided (Attachment B) asks for a Bidder signature and the references Signature. Would it be acceptable for our references to print out the worksheet and sign and scan/PDF for submission?
ANSWER: **Yes, it is acceptable for references to print the form, sign it, then scan it for submission.**
8. QUESTION: 2.1.4 Are the OAG, Office of Court Administration, and/or PACER SQL-based? If not, do they have an open API?
ANSWER: **We do not have the answer to this question. We are relying on the vendor to do this research prior to providing their proposal and bid. These systems are not owned or maintained by the OAG.**
9. QUESTION: 2.1.20 What types of relationships are you needing to track between name/caption records? Please provide an example.
ANSWER: **Related cases; one OAG employee may be tracking two or more different matters.**
10. QUESTION: 2.2.2 Do you require all formats or any combination of document types?
ANSWER: **We require all formats.**
11. QUESTION: 2.4.12 Need further clarification regarding "Emails to contain PDF's of the court filing". Are these emails to or from the OAG? Are you requesting this be generated by an event in the calendaring software? Please provide an example.
ANSWER: **The court notifies of a document being filed by one of the parties, the filed document should be included in the notification to the OAG.**
12. QUESTION: 2.1.2.i - The growth should accommodate locations across the state, the OAG has 13 regional offices, besides the Capital and NYC offices. Will there be a requirement to customize the system for the other offices?
ANSWER: **System should be uniform for all OAG locations.**
13. QUESTION: 2.1.5 - CMS must provide docket, document management, calendaring, event scheduling, notices, data reporting, and accounting for all matters in the New York State Courts and NYS Federal Courts. Are "Notices" internal or external? Is the Docket management internal or shared with the opposing parties? Is there a need for an external portal? Is there a need for data migration related to Document Management?
ANSWER: **All information is coming from the Courts through the CMS ultimately to the NYS OAG.**
14. QUESTION: 2.1.5.i - CMS should provide other state courts nearby the tri-state area: docket, document management, calendaring, event scheduling, notices, data reporting, and accounting for all matters. In providing other state courts access would this be to the system itself or via a Portal and doesn't it need be bidirectional? Any integrations with ERPs?
ANSWER: **Foreign state court information should be provided to NYS OAG in the same way as the NY state & federal court information is provided.**
15. QUESTION: 2.1.4 must integrate with existing systems, such as OAG, Office of Court Administration, PACER, and other MS SQL databases - are they all MS SQL databases? What does the current integration look like with PACER, and how



STATE OF NEW YORK
OFFICE OF THE ATTORNEY GENERAL

LETITIA JAMES
ATTORNEY GENERAL

DIVISION OF ADMINISTRATION
BUDGET AND FISCAL MANAGEMENT BUREAU

would you envision using a future integration with PACER? Is there a current integration with MS SQL database? Is that hosted on or off premises? What types of data are stored?

ANSWER: We do not have the answer to this question. We are relying on the vendor to do this research prior to providing their proposal and bid, with a defined approach. These systems are not owned or maintained by the OAG. PACER is Public Access to Court Electronic Records service provided by the federal government.

16. QUESTION: 2.1.9 - Exchange of e-discovery from the Courts to the Attorney General's Office. How is this currently performed (i.e. 3rd party system, upload into new system, etc)?
ANSWER: This is the e-filed documents that the court integration sends through the CMS to the OAG.
17. QUESTION: 2.1.10 - OAG desires robust document management and storing within the Case Management System. What is the current document management system in place? Are you looking to replace the system or integrate the existing document management system?
ANSWER: Case management system now in use is ALM's MA3000. OAG wishes to store e-filed documents.
18. QUESTION: 2.1.16 - Capability for offline/mobile user access to documentation, emails, and synchronization. How much of the system, and how often, would offline access be needed?
ANSWER: This is for use by attorneys that are in court. This would be infrequent use.
19. QUESTION: 2.1.20 - System is able to track an unlimited number of relationships between name/caption records (related parties). Can we get further clarification on what you're looking for as an example?
ANSWER: Please see #9.
20. QUESTION: 2.2.2 - System has PDF/Microsoft word/Excel/RTF/XML reporting capability in a user-friendly format. And they are exportable. Is the requirement to have the data exportable into all formats (PDF/Microsoft word/Excel/RTF/XML)?
ANSWER: Please see #10.
21. QUESTION: 2.4.2 - Supply the rules for individual judges which should include communications with the court, appearances, motions and trials. Would the Individual Courts have access to the system to update? Would a portal be needed for the Courts to be able to access?
ANSWER: The courts would not have access to upload themselves.
22. QUESTION: 2.4.2.i - Include Rules and Regulations of the courts. Is there any logic, automations or validation rules needed behind the rules?
ANSWER: To clarify, the OAG is anticipating being able to look up the posted rules and regulations of each court. Therefore, we do not believe there is a need for any additional logic, automation, or validation rules behind this functionality at this time.
23. QUESTION: 2.4.8 - Ability to send calendars via email from within the application. What functionality is being sought and what is the intent?
ANSWER: Calendars to be generated by staff to be forwarded to the attorneys handling the cases.
24. QUESTION: 2.6.6 - The ability to cleanup or merge duplicate names that represent the same party (individual or company). Is this Pre or Post Migration?
ANSWER: Pre and post migration. Should be able to clean up periodically.



STATE OF NEW YORK
OFFICE OF THE ATTORNEY GENERAL

LETITIA JAMES
ATTORNEY GENERAL

DIVISION OF ADMINISTRATION
BUDGET AND FISCAL MANAGEMENT BUREAU

25. QUESTION: Understand currently utilizing MA3000. What other systems are being used? What other systems does it interface with?
ANSWER: **No other systems are being utilized.**
26. QUESTION: Who's to provide training?
ANSWER: **The CMS company should provide training per section 2.7 of the RFP.**
27. QUESTION: Does website need any attention/updating?
ANSWER: **Website referred to in 2.7.3 is the contractor's website.**
28. QUESTION: Discovery, Requirements and analysis: how will this work?
ANSWER: **We are looking for the vendor to provide their approach for discovery, requirements gathering and analysis in the response proposal. The State is committed to providing subject matter experts to assist with this phase of the project, as needed.**
29. QUESTION: Who is lead/in charge of the project? Project plan?
ANSWER: **This information will be discussed with the selected vendor.**
30. QUESTION: Who will manage support? Will it be split up?
ANSWER: **The CMS should manage support in communication the Managing Attorney and assistant managing clerk.**
31. QUESTION: 2.1 Other state, federal and supreme courts should be searchable as they become available, examples Connecticut, New Jersey, California, Texas. How will this work?
ANSWER: **The OAG handles matters in foreign jurisdictions. We should be able to add them to the CMS program and receive notifications and search, such CMS program should be expanding their courts.**
32. QUESTION: 3.4.1 Presentation will provide a general overview of the proposed solution - how will this work?
ANSWER: **Bidder will present the CMS capabilities to a panel of evaluators. The OAG will work with the selected vendor as to whether the presentation will be virtual or in person.**

Due to the delay in putting out questions, the OAG is extending the due date to Friday, October 29, 2021 at 5:00PM EST.

All other terms in conditions stay the same. This Purchasing Memorandum is to be signed, submitted and made a part of your proposal. If you have any questions, do not hesitate to contact the person listed on top of this memorandum.

VENDOR: _____

ADDRESS: _____

SIGNATURE OF BIDDER: _____

DATE: _____