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**Addendum 1**  
**Solicitation 20-09AA**  
**RFP for City Attorney's Office Case Management Software Solution**

This addendum serves to notify all bidders of the following answers to submitted questions:

1. Where are the "Technical Requirements" referenced in Part III.2.A.1?
  - a. The Evaluation Criteria are defined in Part III of the RFP. All of the technical requirements are in Part IV of the RFP. There is no separate attachment. Also, please disregard the references to "columns" in Part IV-2; this was included in error from a time when the Technical Requirements were included as a separate spreadsheet attachment. Any comments for an "ALT" or "MOD" solution should be explained as part of your proposal. We apologize for the confusion.
2. Is the city open to either a premise or hosted solution?
  - a. Yes, we will accept either. Please cost out both options, if available.
3. Will additional information be provided for proposers to develop a cost for data conversion? (What type of database, what type of data, etc.?) Do you want civil case tracking data converted?
  - a. TCP3 is a SQL database. We understand that detailed pricing is difficult to determine. We are looking for a ballpark figure based on cities of similar size; focusing more on the criminal side. We will also accept an hourly rate for data conversion.
4. What kind of cases does the city prosecute?
  - a. Gross misdemeanors, misdemeanors and petty misdemeanors. No felony cases.
5. Is most of the volume in prosecutions, or city business? Does the city want the system to handle both?
  - a. Yes, we would like a solution that handles both.
6. Does the city have a Traffic Court?
  - a. The city issues traffic citations – parking and incident. The attorney's office only gets involved in payable citations if the defendant requests a court date. The attorney's office is involved in all non-payable citations (accidents are one example of a mandatory court appearance citation and any other case labeled CR vs VB in MNCIS (69DU-CR-20-####)). Parking ticket information is obtained through Brazos. Proposed solutions should be able to handle that data. Also, the city will go-live with a new police records management system on October 6th.

7. Does the city track financial transactions or take payments?
  - a. Not in criminal matters. Payment of criminal fines and fees are handled by the court. For Civil matters, we need to track the payment of claims and settlements.
8. Does the city have any pre-trial diversion programs?
  - a. Yes. There are driving and theft diversion programs, as well as a park clean-up program for underage drinking and other violations.
9. Part IV-2 references an interface with the Minnesota Court Information System (MNCIS). Is that an import only interface or two-way?
  - a. It is a two-way interface.
10. Is there a city court?
  - a. No, only county court.
11. Is the use of Laserfiche for document management a requirement? Will it be used to create documents?
  - a. The city would prefer to use LaserFiche for document storage to streamline document retention, backups, and for single storage. It is not a requirement; we will evaluate other proposed solutions. Documents are not typically created in LaserFiche – they are imported for storage.
12. Attachment F requests that Minnesota agencies be listed as references. Will you accept references from entities outside of Minnesota?
  - a. Yes. In state references are preferred because it shows that the proposer has previously worked with Minnesota state requirements, but references from outside the state will be accepted.
13. Will the city accept a completely remote/virtual implementation?
  - a. The City prefers to have some onsite support, especially for the go-live. However, we are currently working through implementations remotely due to COVID-19 restrictions, and will not rule out a remote implementation.
14. Is there a mandated go-live date?
  - a. Not at this time. \*\*Please include a proposed implementation timeline as part of your proposal.
15. Will the city consider alternatives to data conversion?
  - a. Yes.
16. How many user licenses is the city requiring?
  - a. Approximately 20 users.
17. What is the project budget?
  - a. The city does not disclose budget information as part of the RFP process.
18. After the submission of the responses to the RFP, what is the award date?
  - a. We anticipate making an award prior to the end of the calendar year.
19. Will our questions and the city's answers be shared with other vendors?
  - a. All Q & A are included in this addendum. Questions will not be attributed to a

specific vendor.

20. When do you expect to implement this solution?
  - a. 2021
21. What types of Contracts and Claims do you expect to have?
  - a. Claims: bodily injury from trip and falls, gas main breaks, defective streets, sewer backups, water main breaks, negligence, and other.  
Our office works on many different types of contracts such as professional services agreements, development agreements, business contracts, construction contracts, collective bargaining agreements, memorandums of understanding,
22. What type of volume do you currently experience with each, Contract/Claims?
  - a. Claims: In 2019: 256 claims and 29 CVS. 2020 to date: 158 Claims and 50 CVS  
Our office works on approximately 400 agreements per year.
23. Are the Claims both - Internal and external?
  - a. Yes.
24. When someone is filing a claim against the City, do they use a Custom Claim Form, if so is there one available to look at?
  - a. <https://forms.duluthmn.gov/forms/notice-of-claim>
25. What is the process they use to submit a claim form? Can you walk us thru the process?
  - a. Filling out the form above, or mailing in a copy of the form with any documentation. Claim is then opened and reviewed by our internal Claims Adjuster.
26. In light of COVID 19, are you expecting any onsite meetings?
  - a. We do not currently anticipate any onsite meetings due to COVID-19.
27. As you are replacing the current system, please provide the details of the current system such as name, hardware, software, what does it do, number of closed cases and associated documents, number of active cases and associated documents, metadata, etc.
  - a. This is a replacement of our current system called TCP3, an SQL based system which was built and purchased from Anoka County Courts. The final vendor chosen will be provided data on the current system for use in data conversion.
28. One of your goals is to "Improve service to the public", are you expecting part of the system to be public facing? If so, which part?
  - a. At this point there is no requirement to have a public facing portion of the application. The goal of improving services comes from the efficiencies of having an easy to use centralized system for criminal and civil cases.
29. Your ask, "Access to data in the courtroom and in the field." Presumably, access to active litigation cases. Who needs access? Attorney, Paralegal, Judge?
  - a. Access in the courtroom is for our City Attorneys. There is the need to package specific information that is submitted to the Courts but actual physical access to

the application in the courtroom will be solely for the Attorney.

30. Is there a need to manage attorney, paralegal, and judge's litigation schedule and conflicts via Outlook and Calendar?
  - a. There is a preference to have the system integrate with the Attorney's Outlook calendar for ease in identifying availability.
31. Bidders shall submit one copy of the entire proposal (Technical and Cost submittals, along with all requested documents) on a flash drive in Microsoft Office- compatible or pdf format. Is this in addition to the paper copies?
  - a. Yes.
32. Preference will be given to those vendors offering a fully integrated suite of applications. Please provide details about the applications.
  - a. The City is seeking a solution that meets the needs for both our Criminal and Civil Divisions.
33. Your ask of "working interfaces to local, State and National databases." Please provide more details about these databases
  - a. The Minnesota Bureau of Criminal Apprehension (BCA) allows for certain case types to be submitted, updated, searched for, and deleted through their BCA eCharging Service. This service uses an Enterprise Service Bus to route web requests to and from the BCA; the details of which are provided by the BCA to approved agencies/vendors.
34. What kind of features are you looking for Outlook and calendar integration? Presumably, you want to send an email request for missing information, email documents for approval, litigation email conversation. For inbound email, marry email attachment to a Case. Can an incoming email start a Case? Do we need to track who sent which email to who and when?
  - a. Emails should be integrated with files and cases. The system should utilize Outlook to send and receive emails directly in the file(s).
35. As for calendar integration, do you want to manage litigation and conflict schedules from a Case?
  - a. There is a preference to have the system integrate with the Attorney's Outlook calendar for ease in identifying availability.
36. What are the most important out of the box Case Management and other features are you looking for?
  - a. Please see the RFP Requirements.
37. What is the intake procedure to initiate a case? Via portal? Paper? Manual Upload? Bulk feed? Email? Via Tightly integrated system using web services? Call Center?
  - a. Criminal Division: MN Courts Criminal Cases; Civil: email, phone, paper, and electronically from court. No call center.
38. Please provide details for Case Workflow for each business process, such as for criminal

and civil divisions and more. Presumably, the business processes are for Duluth Airport Authority, Duluth Transit Authority, Spirit Mountain Recreation Area Authority, the Duluth Seaway Port Authority, and the Duluth Economic Development Authority

- a. Office has many different workflows. We will utilize file management system to create more uniformity and consistency
39. Please explain each phase within each business process, such as intake, review, e-discovery, analysis, legal, completion, etc.
- a. Office has many different workflows. We will work utilize file management system to create more uniformity and consistency
40. What are the users' functional roles for Case workflows? Intake, Reviewer? Examiner? Investigator? Director? Legal? Paralegal? Collaborate? Etc.
- a. Our office has many different workflows. We will utilize file management system to create more uniformity and consistency
41. What is the interaction between business processes? Messaging? Transfer Case, Return Case, Delegate Case, Delegate a task from a case? Etc.
- a. Our Civil Process would delegate case or file to an attorney. There would then be automatic tasks and assigned task. In the criminal division cases would be unassigned and attorneys and staff would perform tasks depending on the stage of the case.
42. Is your ask "Ability to interface with MNCIS, Bureau of Criminal Apprehension ("BCA") and AXON Evidence.com for charging criminal matters and discovery collection" from active cases. Do these systems provide web service integration?
- a. The preference would be for real time integration with MNCIS, BCA and AXON but a scheduled job may be provided as an alternate solution.
43. It appears that you are looking for a Case Management System for several departments that have one or more Case Management business processes. How do you want us to handle the implementation cost? Fixed cost basis which may be difficult to nail it down to a reasonable price or are you willing to take an agile implementation approach and work on time and material basis?
- a. The City is seeking a solution that meets the needs for both our Criminal and Civil Divisions. Please include the costs for the software licensing as well as implementation costs, maintenance and support. With regard to data conversion costs, please include the hourly cost for development staff and project management staff who would perform the work, along with an estimate of conversion hours based on experience from a like size municipality.
44. How many correspondences are typically created from a case? In what format? Word? PDF?
- a. This is very dependent on the subject matter of the case or file. Correspondence would be by email, Word and PDF

45. What kind of notifications are required from a case? Email? Text?
- a. Notifications should be by email
46. What are the interfaces for data conversion from TCP3 and in-house system? SQL?
- a. MN BCA is the only active interface from our current TCP3 system. TCP3 is an SQL based platform.
47. Case will house content pertaining to the case. Do you need to house Video and Sound (Voice) content for litigation purposes?
- a. Video and sound are housed in the AXON system in use by our Police department. The City is interested in an integration with AXON, if possible.
48. Do you require Electronic Document Signatures such as DocuSign? Especially for contracts
- a. Yes, the City currently utilizes DocuSign for electronic signatures.
49. Please explain the types and details of the reports you require? Do you want your business analysts trained on reporting?
- a. Please see the RFP Requirements. Provide what your solution offers for canned reporting and/or customized reporting.
50. In the RFP, you refer to the file management system four times. What is the difference between File Management and Case Management? Presumably, it is the same.
- a. Case Management is commonly used for our criminal cases while File Management is more commonly used on the civil side of our operations.
51. The RFP states Consultant shall also provide evidence of Statutory Minnesota Workers' Compensation Insurance. Is this mandatory?
- a. Yes, if employees of Consultant are physically working in Minnesota at any time after being selected.
52. Are you looking for a cloud-based system that is completely managed by the service provider for 5 years? Or an on-premises system that is maintained by you?
- a. The City is open to either an on premise or cloud based solution.
53. Have you had any case management demo from any vendors? If so, please share the name of the vendors.
- a. The City has viewed case management demos in the past but nothing in the past twelve months.
54. Does the system need to be Highly Available?
- a. Yes, the system should be highly available.
55. What about Disaster Recovery Plan?
- a. If you are proposing a cloud based solution include information as to your disaster recovery plan.
56. How many environments are you planning to have? DEV?, SIT?, UAT? STAGING?, PROD?
- a. Production, Test and Development are anticipated environments.

57. What source control system have you adapted
  - a. The City does not have a formal source control system.
58. Do you use collaborative tools such as JIRA?
  - a. The City utilizes JIRA Projects and Ticketing
59. Is Single Sign On required? Are you already using an SSO product today?
  - a. The City does not have a current SSO product in place.
60. Would you clarify the Citrix requirements?
  - a. The city needs to know if your product is able to operate in a Citrix environment for remote office work capabilities.
61. What browser support is required?
  - a. IE 10+, Chrome 52+ and latest version of Edge will suffice.
62. Is any third party certification required to meet CJIS requirements?
  - a. The successful vendor needs to be vetted and compliant through the Minnesota BCA and meet the CJIS requirements for securing data within the application as well as during transport to the Court system.
63. Is the city using the Laserfiche Document Management system and for what purpose? What systems/applications are currently involved?
  - a. The City of Duluth is currently utilizing the Laserfiche Document Management system. We currently use it for various customer facing online forms, various workflows, and have it integrated with several in house applications and are in the process of integrating it with Tyler New World ERP system.
64. Does the city want to do documents authoring within the system? Or create/draft outside system and will upload/attached only?
  - a. The City of Duluth utilizes the Microsoft suite of applications for business applications. It would be our preference for the chosen application to interface with Microsoft Outlook for scheduling purposes, such as court dates. If the chosen application utilizes an outside business application for processing standardized letters and documents, the preference is that it utilizes the Microsoft Office suite, in particular Microsoft Word.
65. How the integration to the MN Courts system possible? Need to discuss in details.
  - a. If the provider has integrated with the MN State Courts system, please provide network diagram depicting the setup. If the vendor has not, then this can be addressed at a later date.
66. What kind of data conversion is required?
  - a. Data mapping specifics will be discussed with the chosen vendor. Please provide and hourly price for data conversion development staff, project management staff, etc. as well as an estimate for the number of hours for a like size municipality converting criminal data.
67. What kind of integration with the MN Courts System (Real time or schedule job) is required? How Integration is possible?

- a. The preference would be for real time integration with MNCIS but a scheduled job may be provided as an alternate solution.
68. "What kind of integration with MNCIS, BCA and AXON (Real time or schedule job) is required? How Integration is possible?
- a. The preference would be for real time integration with MNCIS, BCA and AXON but a scheduled job may be provided as an alternate solution.
69. Elaborate on the e-discovery requirement.

Our office would be interested in the following capabilities:

- a. Recursive Data Parsing (read document production in original format).
- b. Search Index and Interface.
- c. Tagging and Organizing Documents.
- d. Conversion to Other Formats.
- e. Document Viewing Options. .
- f. Audio Transcription.
- g. Optical Character Recognition (OCR)
- h. Email Threading
- i. Bate stamping

**Please acknowledge receipt of this Addendum by submitting a copy of it with your proposal.**

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