

STATE OF NEW MEXICO

Public Regulation Commission



NEW MEXICO
**PUBLIC REGULATION
COMMISSION**

REQUEST FOR INFORMATION

RFI# 24-430-001

Electronic Filing and Docket Management system, Case Load Litigation Management and Tracking System, and Document Review and Management Software

Issue Date: August 11, 2023

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1.0 Purpose

The purpose of this Request for Information (“RFI”) is to gather information to help the New Mexico Public Regulation Commission (the “PRC”) determine the best method to modernize its e-filing, case and document management systems. The PRC is seeking information from interested vendors (“Respondents”) who can provide software solutions for the following:

- A) electronic filing and docket management;
- B) case load and litigation management and tracking; and
- C) document review and management.

These functions may be a single solution or separate solutions. PRC seeks information regarding whether to purchase pre-existing but configurable solutions or build custom solutions. PRC may follow-up the receipt of written responses to solicit additional information. Please share this RFI with anyone that may be interested.

THIS IS A REQUEST FOR INFORMATION ONLY. This RFI is issued solely for information and planning purposes—it does not constitute a Request for Proposal (“RFP”) or a promise to issue an RFP in the future. This RFI does not commit the PRC to contract for any supply or service whatsoever. The PRC is not, at this time, seeking proposals and will not accept unsolicited proposals. Those parties responding are advised that the State of New Mexico will not pay for any information or administrative costs incurred in responding to this RFI; all costs associated with responding to this RFI will be solely at the Respondent’s expense. Not responding to this RFI does not preclude participation in any future RFP, if issued.

2.0 Background

2.1 Agency Needs Analysis

The PRC is a quasi-judicial agency with responsibility for holding hearings on administrative matters, providing representation, expert testimony, and rendering decisions in those matters. Each function is handled by a different division, with appropriate screening and separation between divisions. The PRC maintains a docket for each case which houses the pleadings filed by the parties to the proceeding. It also provides a hearing examiner, to sit as the presiding officer in evidentiary hearings, an advocacy staff to appear in front of the hearing examiners to present evidence, and advisory council to help the Commission review the hearing record and render decisions. Currently, filing into docketed cases is accomplished by a party emailing the PRC records department its pleading and the records department manually uploading that pleading and any associated exhibits to its system. It tracks cases and manages workload of its staff manually. This practice is document intensive, document review and management, including redaction is managed through PDF functions.

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The PRC seeks solutions that will enable it to function similarly to state and federal courts in regard to docket management. It also seeks solutions that will enable its divisions to operate similarly to larger law firms. Specifically, the PRC seeks solutions that will enable parties to PRC proceedings to electronically file into a docket management system, allow the public to view these dockets and associated pleadings, and assists PRC staff with managing its case load and documents.

2.2 Project goals

The PRC is looking for solutions that will enable it to achieve the following:

- 2.2.1 Allow parties to PRC proceedings to electronically file to open a docket or file into existing dockets;
- 2.2.2 Allow PRC administration to create and manage case dockets including reviewing and accepting party filings for submission;
- 2.2.3 Maintain a service list and facilitate service of pleadings;
- 2.2.4 Provide public access to filed documents and case dockets;
- 2.2.5 Provide electronic case management for attorneys and non-attorneys, including docket management, draft version control and permission controls;
- 2.2.6 Provide document management including search functionality, redaction tools, bates numbering and indexing; and
- 2.2.7 Enable collaboration between multidisciplinary teams including staff, lawyers and expert witnesses.

2.3 RFI Manager

The PRC has designated an RFI Manager who is responsible for the conduct of this RFI and whose name, address, and telephone number are listed below:

Name: Lori Narvaiz
Title: Budget & Finance Manager
Address: 142 West Palace Avenue
Santa Fe, NM 87501
Telephone: (505) 699-2929
E-mail: lori.narvaiz@prc.nm.gov

Any inquiries or requests regarding this RFI should be submitted to the RFI Manager in writing via e-mail. Respondents may contact ONLY the RFI Manager regarding the RFI. Other State employees do not have the authority to respond on behalf of the PRC.

3.0 Requested Information

The PRC intends to use the information provided to determine whether to purchase an out-of-the-box, configurable or a custom-built solution either addressing each purpose independently or combined.

- 3.1 Explanation and Narrative of solution.** Respondents shall provide a detailed explanation and narrative describing how their proposed solution(s) meet the expressed needs of the agency.
- 3.2 Out of the Box, A Configuration solution, or A Custom solution, or Not Included.** Respondents shall identify which area(s) (i.e., electronic filing and docket management; case load and litigation management and tracking; and document review and management.) the proposed solution solves along with the functionality of the proposed solution.
- 3.3 Hardware and Software.** Respondents shall provide the software and hardware requirements and specifications required for the solution; and describe the basis for all licenses/subscription services (concurrent user, seat, server, SAN) and licensing/subscription services fees, including upgrades.
- 3.4 Estimated Costs.** Respondents shall complete the Cost Response Form in Section 5.0 in your response and provide as a separate file. A separate file will also be provided to include one form for each of the requested solutions. If a cost category is not captured on the attached form, please include an explanation of the additional costs.

4.0 Responses

4.1 Interested parties are requested to respond to this RFI with a white paper.

4.2 Whitepapers should be submitted in a portable data format (.pdf) with optical character recognition (OCR) and are due no later than Monday September 4, 2023 by 5:00PM Mountain Standard Time. Responses shall be limited to 60 pages and submitted via e-mail only to lori.narvaiz@prc.nm.gov. Proprietary information, if any, should be minimized and MUST BE CLEARLY MARKED. To aid PRC, please segregate proprietary information.

Please be advised that all submissions become State of New Mexico property and will not be returned.

4.3 Section 1 of the Respondent's white paper should include the following at a minimum:

- 4.3.1 Name, mailing address, overnight delivery address (if different from mailing address), phone number, fax number, and e-mail of designated point of contact.
- 4.3.2 Business type (large business, small business, small disadvantaged business, 8(a)certified small disadvantaged business, women-owned small business, very small business, veteran-owned small business, service-disabled veteran-owned

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small business) based upon North American Industry Classification System (NAICS) code 541512, Computer System Design Services.

4.3.3 A cost Response Form provided under 5.0 Cost Response Form for each of the software solutions being proposed for an electronic filing and docket management system, a case load and litigation management and tracking system and a document review and management. A separate file will also be provided to include one form for each of the requested solutions.

4.4 The number of pages in Section 1 of the white paper shall not be included in the 60-page limitation, i.e., the 60-page limitation applies only to Section 2 of the white paper.

4.5 Section 2 of the white paper shall answer the items listed under 3.0 Requested Information and 7.0 Additional Questions to be Answered by Respondents in this RFI and shall be limited to 60 pages.

5.0 Cost Response Form

A separate file will also be provided to include one form for each of the requested solutions.

5.1 ESTIMATED COST- RESPONSE FORM		
Please complete the Cost Response Form below: New Mexico requires that IT Professional Service agreements be priced using deliverables with fixed, maximum prices and clear due dates.		
a.	SOFTWARE LICENSES	Fixed Fee (\$)
	What is the TOTAL, all-inclusive license cost of the proposed solution (s) (with any software tools needed to build the proposed system) to serve an estimated minimum of 1,000 concurrent users? Please list by product name and functionality.	
b.	PROFESSIONAL SERVICES	
	What is the TOTAL, all-inclusive software installation and implementation cost for the proposed solution?	
c.	TRAINING	
	What is the TOTAL, all-inclusive end-user training cost for the proposed solution (with any software tools needed) based on an estimate of five sessions and 26 end users per session?	
d.	ON-GOING SUPPORT	
	What is the annual cost for software maintenance, including all version upgrades, for the software being proposed?	
e.	TOTAL COSTS	
	Cost - Year 1 (add line items a + b + c + d)	
	Cost - Year 2 and 3 (include costs for both 2nd and 3rd year)	
	Cost - Year 4 and Beyond Annual Cost (list only annual cost)	

6.0 Questions

Questions regarding this announcement shall be submitted in writing by e-mail to the RFI Manager, at lori.narvaiz@prc.nm.gov. Verbal question will NOT be accepted. Questions will be answered by posting answers to the PRC website; questions shall NOT contain proprietary or classified information. The PRC does not guarantee that questions received after 3PM Mountain Time August 25,2023 will be answered.

7.0 Additional Questions to be Answered by Respondents

Respondents shall provide responses to the questions below in a narrative format when submitting a response to the RFI.

- 7.1 Does/do your solution(s) integrate with other software (e.g. Microsoft Teams)? Which other software? How?
- 7.2 Does/do your solution(s) provide for functionality with calendaring and deadline reminders? How?
- 7.3 Does/do your solution(s) provide for customized end-user functionality? How?
- 7.4 Does/do your solution(s) provide helpdesk support for non-agency users?
- 7.5 Does/do your solution(s) provide the ability to restrict access to certain users for various reasons, including confidentiality and screening needs? How?
- 7.6 Does/do your solution(s) allow public access with or without an account?
- 7.7 Does/do your solution(s) provide AI assistance? How?
- 7.8 Does/do your solution(s) provide customer support? Is it an additional cost?
- 7.9 Does/do your solution(s) enable case/project managers to assign, edit and remove personnel from cases as the case proceeds? How?
- 7.10 Does/do your solution(s) allow the creation of discrete document groups across cases?
- 7.11 Does/do your solution(s) provide document analysis? How?
- 7.12 How does/do your solution(s) ensure data integrity and security?
- 7.13 Is there a limitation on the volume of data your solution(s) can accommodate?
- 7.14 Is there a limitation on the number of users your solution(s) can accommodate?
- 7.15 Who is responsible for storing and maintaining data with your solution(s)?

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- 7.16 If you are proposing two or more systems as a solution, will such systems integrate with each other?
- 7.17 Can all the current records held in our current filing system be transferred and retained in the proposed e-filing system? These records are currently in pdf format with attachments in excel, word, pdf format.
- 7.18 Can reports in pdf and/or excel format be generated daily that show what documents have been received, accepted, and posted by users?

8.0 Summary

THIS IS A REQUEST FOR INFORMATION (RFI) ONLY to identify sources that can provide an electronic filing and docket management system, case load litigation management and tracking system, and document review and management software. The information provided in the RFI are subject to change and is not binding on the State of New Mexico. PRC has not made any commitment to procure any of the items discussed, and release of this RFI should not be construed as such a commitment or as authorization to incur cost for which reimbursement would be required or sought. Ownership of all data, material, and documentation originated and submitted to the State of New Mexico, pursuant to the RFI, shall belong exclusively to the State of New Mexico and shall be subject to public inspection in accordance with the New Mexico Inspection of Public Records Act (Chapter 14, Article 2, NMSA 1978).