Friday, October 27, 2023
Subject: Request for Proposal 2023-09-001
Legal Lifecycle System

Addendum 2 - This addendum serves to clarify questions received by suppliers.

<u>RFP ADDENDUM QUESTIONS & RESPONSES:</u>

<u>Question 1</u>
Q: Will vendors have access from proposals submitted by other participating vendors?
A: No.

<u>Question 2</u>
Q: Is the intention to keep iManage or is there potential for it be replaced in the next 1-3 years?
A: The intention is to keep iManage.

<u>Question 3</u>
Q: Is there a current e-billing provider? How many matters would need to be put in Tracker?
A: No, there is not a current e-billing provider. Please see answer 4 on the number of matters.

<u>Question 4</u>
Q: Does any data need to be migrated from an existing system into Tracker? If so, please provide as much information as possible.

In what format will the data be converted? (SQL DB, Oracle DB, Microsoft Access, Microsoft Excel)
How many matters (open or closed)

- Approximately how many fields will each matter contain:
- 0-13
- 14- 29
- 30- 59
- 60+
- How many invoices?
- How many of those invoices have documents attached which also need to be moved?
- How many documents (in addition to the invoice documents)?
- How many notes, events, or statuses?

A: Yes. Open contracts will be migrated **from an excel spreadsheet into the new system**. The approximate number of contracts will exceed 60. The approximate number of invoices exceeds 100. It is not yet clear whether documents attached to the invoices or the number of documents will require migration, however, we expect the number to be minimal. No events, or statuses, will need to be migrated. Notes associated with the invoices and invoices may need to be migrated. Information identifying existing clients can be uploaded from a spreadsheet.

<u>Question 5</u>
Q: Are any other integrations other than iManage and Oracle that need to be taken into consideration?
A: Not at this time.

<u>Question 6</u>

Q: What was your outside counsels spend in the last 12 months?
A: Less than $5M annually.

Question 7
Q: Is there a current intake/contract lifecycle management tool?
A: No.

Question 8
Q: How many users are in the legal department?
A: Currently, ten.

Question 9
Q: Is there a data migration required for the CLM platform?
A: Yes, contracts that are currently being negotiated will need to be migrated.

Question 10
Q: Where are contracts currently being stored?
A: Contracts are stored in iManage.

Question 11
Q: If they are tracking anything concerning contracts currently (through Excel, or other mechanisms)? If yes, what are they currently tracking? (send tracking sheet, if possible).

A: Yes, contracts are tracked. Information tracked includes:
- iManage Matter Name (by agreement/project/third party)
- Subfolder
- Document Name or Deal Name
- Third party
- Client Name (or client, or team lead)
- Client Email address
- Client Department Name
- Client Contact Number
- Date In
- Date Due
- Contract status
- Comments
- Status
- Project
- Firm
- Outside Counsel Name
- Budget

Question 12
Q: Regarding 4.2, please clarify if any information should have been included under this heading, as this subsection of the RFP is blank.

A: No additional information will be provided under 4.2.

Question 13
Q: Regarding 4.2, to provide a cost estimate for the services to be provided, what is your annual legal/law firm spend?

A: Please see answer to question #6 above.

Question 14
Q: Regarding 4.2, for the Contract Module, please provide the breakdown for the number of users needed:
a. Full Users- Redline, Negotiate, Approve, Contract Creation
b. View Users – Can search and view contracts and dashboards

A: In OGC, the full users will be 10 employees. Outside OGC, we want to provide some access to administrators who send us the contracts for review (only to the contracts administrators send OGC, not all contracts). It is not clear what level of access this means to the supplier to administrators, whether that is Full Access or View Users access.

Question 15
Q: Regarding 4.2, what systems would you like CounselLink to integrate with? i.e. (AP/ERP, CT/CSC. DMS, other)

A: Oracle and iManage.

Question 16
Q: Regarding 4.2, are historical and current matters in scope for migrating into the new system? If so, what system is the current data coming from and in what format is the data stored in currently (i.e., Excel)? Also, what data points would you like loaded? (Summary data, full details, spend, documents, journals etc.)

A: Yes, for historical and current matters, please see answer 4 and 11 above.

Question 17
Q: Regarding 4.2, would you like pricing for a Legal Hold Module? If so, approximately how many current active holds does the University have?

A: No.

Question 18
Q: Regarding 4.2, how many different types of Legal Intake forms are needed?
A: That depends on how the legal intake forms are designed. If the forms are dynamic, we may require less than 10. If they are static, we may require more.

Question 19
Q: Regarding 5.0. the RFP states: "*A narrative description of how the respondent will provide all aspects of the billing management software described in Section 4.0 SCOPE OF WORK. ……. The Program Narrative should be organized using the same sections in this RFP.*"

A 6-page limitation has been imposed for a response to the Program Narrative. Section 4.0 Scope of Work requirements covers 4.5 pages (RFP pages 5-10)

Please clarify if vendors are to provide a response to each item listed within Section 4.0, and 4.1 and 4.2.

A: Yes.

Question 20

Q: Regarding 5.0, the RFP states: "*A narrative description of how the respondent will provide all aspects of the billing management software described in Section 4.0 SCOPE OF WORK. ……. The Program Narrative should be organized using the same sections in this RFP.*"

A 6-page limitation has been imposed for a response to the Program Narrative. Section 4.0 Scope of Work requirements covers 4.5 pages (RFP pages 5-10)

Due to the 6-page limitations, please confirm that a response of: "Vendor agrees to fulfill this requirement, unless otherwise stated." Is an acceptable response to each item listed in Section 4.0 and 4.1 and 4.2?

A: Respondents may provide additional pages if necessary. However, a comprehensive summary of no more than 10 pages describing the features of the legal lifecycle system is preferred. Respondents may also provide visuals. An opportunity to elaborate on the features will be provided to respondents invited to demonstrate the system to Rice.

Question 21

Q: Regarding 5.0, the RFP states: "*A narrative description of how the respondent will provide all aspects of the billing management software described in Section 4.0 SCOPE OF WORK. ……. The Program Narrative should be organized using the same sections in this RFP.*"

A 6-page limitation has been imposed for a response to the Program Narrative. Section 4.0 Scope of Work requirements covers 4.5 pages (RFP pages 5-10)

If proposals are to be organized using the same sections in the RFP, please clarify how the response descriptions are to address all aspects of each item listed in Section 4.0 Scope of Work and remain within the 6-page limitation.

A: Respondents may provide additional pages if necessary. However, a comprehensive summary of no more than 10 pages describing the features of the legal lifecycle system is preferred. Respondents may also provide visuals. An opportunity to elaborate on the features will be provided to respondents invited to demonstrate the system to Rice.

Question 22

Q: Regarding 5.0, A training appendix has been omitted from the list of Appendices. However, subsection 5.1.H. Training and Documentation includes the requirement of: "*Vendor should also include any continuous training options in an appendix.*" Please confirm that vendors are to include an appendix titled: Training.

A: Yes, please include a training appendix.

Question 23

Q: Regarding 5.0, This section of the RFP States: "*the university seeks to award contracts for call center services on a "per event" basis.*" However, the RFP title is "RFP-Legal Lifecycle System and the RFP Introduction states: "*This RFP aims to procure a secure, cloud-based lifecycle legal intake system that streamlines and modernizes our legal and business operations*." Please confirm that vendors are NOT to provide proposals for call center services and vendors are NOT to provide call center services on a "per event" basis.

A: This RFP is not for call center services and suppliers are not required to provide proposals for call center services. Please review page 1 of Addendum 1 for the clarification to subsection 5.2 Contract Form and Term.

Question 24

Q: Regarding 5.0, RFP states: "*Respondents must be able to provide evidence of their financial ability to perform the terms and conditions of the contract. Each respondent must include independently audited financial statements (not annual reports) for the last three years of operations*." As a publicly held company, an annual report is the company's independently audit financial statement. Please confirm that publicly held corporations may submit the annual report that includes audited financials for the past 3 years that have been independently audited to comply with this RFP requirement.

A: Yes.

Question 25

Q: Please indicate the total amount of vendor-hosted storage required in the proposed solution.

A: The proposal should include storage costs at a variety of levels for Rice to consider.

Question 26

Q: When is the desired "go-live" date?

A: Rice University expects awarded suppliers to begin services on or around January 8, 2024 and is willing to work with the awarded supplier to phase in the product as reasonable.

Question 27

Q: Please confirm all products which require integration. Please identify: (1) the requested use case for the integration; (2) what information needs to be transferred; (3) whether this is a one way or bi-directional integration; (4) If one-way, from which direction?

A:

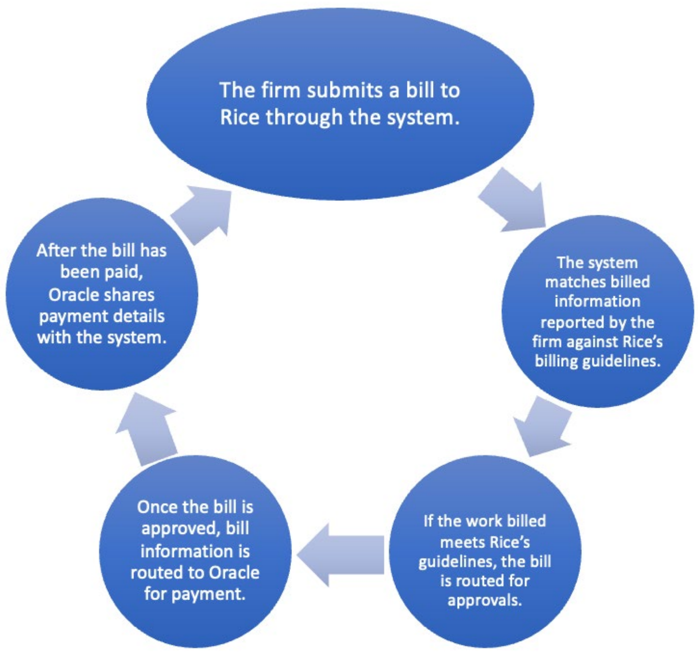
Billing Integration

The firm submits legal invoices through the system. The system matches billed rates, time, and other information reported by the firm against Rice's billing management guidelines.

If the work billed does not meet those guidelines, the bill is routed back to the firm for revision. If the work billed meets the guidelines, the invoice is routed to the attorney supervising the work, and the general counsel, for approval. If the bill is not approved by either attorney, the invoice is routed back to the firm with comments.

Once the bill is approved, the bill information (firm name, chart of accounts, and billed amount) is routed for payment to Oracle. Once the bill has been paid, Oracle supplies the billing management system payment details.

An example of how the system would work, if the bill meets the guidelines and is approved by the attorneys, is below.



<u>Contract Integration</u>

All contracts, at the draft/revision/negotiation/execution stages in the contract management module of the lifecycle system, are also stored in iManage.
Finally, the legal intake process would include a built in-feature for iManage matter creation.

<u>Question 28</u>

Q: Data Migration - Please identify: (a) the amount of data; (b) if documents, how where are they being migrated from; (c) how many documents; (d) whether all versions of the documents need to be migrated; (e) whether metadata needs to be moved with the documents; (f) if metadata is to be migrated, how many fields, where it's located currently, and what format it's in; (g) How much data and documents will be migrated in GB; (h) document breakdown by each practice area/group/department.

A: Please refer to answers #4 and #11 above. No, metadata would not need to be moved with the documents. We expect the volume and size to be minimal, with an estimated 100 contracts to be discussed during a discovery. You may include conversion templates or guidelines for your solution in an appendix.

Question 29
Q: Does the University require a singular invoice for products procured in the proposed solution? Or, if multiple products are bundled together, will multiple invoices be accepted?

A: Rice prefers one invoice for the proposed solution.

Question 30
Q: Regarding the scope of work, please identify the total number of internal users for the proposed solution and provide a breakdown by group/department of total number of users and roles. Please identify any applicable IT staff that will require access to the proposed solution.

A: It would be helpful to define internal users, users and roles. In OGC, ten employees will be using the system. Outside OGC, we want to provide some access to administrators who send us the contracts for review. To answer this question, Rice would need a description of the user roles and how they work in the system.

Question 30
Q: Does the University require a singular invoice for products procured in the proposed solution? Or, if multiple products are bundled together, will multiple invoices be accepted?

A: Rice prefers one invoice for the proposed solution.

Question 31
Q: Regarding data import, does your organization require data import services? If so, please expand upon the data migration / importing requirements for the Contract Management Software? (Such as record info, employee lists, vendor lists, etc.) How many total electronic files (PDF, MS Word, etc.) in current/legacy system into the Contract Management Software?

A: Please refer to question #4 above.

Question 32
Q: Regarding data import, how many total electronic files in current/legacy system? (rows in the exported spreadsheet).
A: Please refer to question #4 above.

Question 33
Q: Regarding data import, where are the legacy (historic) electronic contract files currently stored? (shared folders, SharePoint, document management system, paper, etc.).

A: Please refer to question #4 above.

Question 34
Q: Regarding data integration, can you please expand upon your preferences to integrate with iManage and Oracle? Please provide system details (system name and version, database used, scope of use, home-grown or commercial) if applicable.

A: iManage Work, current version is 10.4.6.701, Work agent version is 10.6.1.0, with versions expected to periodically update by iManage. Oracle Cloud is updated quarterly with the latest releases. Both of these systems are commercial.

Question 35
Q: Regarding data integration, what objects, fields, and tables will your organization be passing in the data integration between the Contract Management Solution and iManage and Oracle?

A: See the Contract Management Scope of Work section of the Request for Proposal on pages 6 and 7.

Question 36
Q: Regarding data integration, are the other systems installed/deployed on your organization's server(s) or is the vendor hosting the software (cloud/SaaS)?

A: See the Introduction of the Request for Proposal on page 1. This RFP aims to procure a secure, cloud-based lifecycle legal intake system that streamlines and modernizes our legal and business operations.

Question 37
Q: Regarding data integration, does iManage and Oracle have one of the following available for integration and your organization has licensed access: SOAP API, REST API?

A: Yes.

Question 38
Q: Regarding data integration, can you please provide additional details about your organization's process flows or diagrams as it relates to the integration requirements?

A: Please see the answer to question 27 above.

Question 39
Q: Regarding document templates, what documents/contract types would you like to author within the system (number of templates)?

A: The types of documents and contract types vary in scope and include agreements for goods, services, real estate, and other contracts.

Question 40
Q: Regarding document templates, do you require professional services to configure templates? If so, how many would be required for the awarded vendor to configure?

A: To answer this question, Rice would require more information about the types of templates offered in the system.

Question 41
Q: Regarding workflow, do you require professional services to configure workflow processes? If so, how many would be required for the awarded vendor to configure?

A: To answer this question, Rice would require more information about the types of workflows offered by the product.

Question 42

Q: Regarding workflow, can you please provide additional details about your organization's workflow/approval processes? Can you please provide a number of steps and examples?

A: Please refer to answer #27.

Question 43

Q: Regarding implementation, do you have an established time frame for the implementation of the awarded solution? If so, what are the anticipated kick-off and go-live dates?

A: Rice University expects awarded suppliers to begin services on or around January 8, 2024 and is willing to work with the awarded supplier to phase in the product as reasonable.

Question 44

Q: Regarding implementation, if no specific dates have been established, how many weeks do you plan to dedicate to the implementation process?

A: Rice is willing to work with the awarded supplier to phase in a product as reasonable.

Question 45

Q: Regarding implementation, in regard to the on-site implementation requirement, is the expectation that the entire implementation process is done on site, or is a hybrid/remote model acceptable?

A: Remote model implementation.

Question 46

Q: Regarding public sector bids, is your organization eligible to purchase off the GSA Schedule 70, Texas DIR, or choice partners? If yes, would you like pricing for either of the above cooperatives in the bid response or retail pricing? If in the event our response is subject to an Open Records Request, will we be notified and given the opportunity to provide a redacted response in accordance with applicable Freedom of Information laws?

A: We can't purchase off of the GSA Schedule 70. However, we are members of several cooperative contracts like Texas DIR, Choice Partners, BuyBoard, and Omnia Partners. If available please provide us with coop pricing information. Rice University is not subject to the Freedom of Information Act. We are subject to the Texas Public Information Act only with respect to law enforcement activities. If you are implicated under an open records request pursuant to the Texas Public Information Act, you will be given the opportunity to respond to the Texas Attorney General's office in accordance with the statute.

Question 47

Q: Can you please confirm the name of the specific electronic signature tool your organization will be utilizing?

A: Rice uses Adobe Sign as its electronic signature tool. If the awarded supplier has another tool that it prefers in the system, Rice would hear more about the solution during the discovery part of this process.

Question 48
Q: On average, how many open matters do you have at any one time?

A: We estimate we open less than 100 matters per month.

Question 49
Q: Matter taxonomy: How many Areas of Law and related Matter Types need to be implemented? (See sample on taxonomy tab and if available please attach a taxonomy document(s))

A: Areas of law include: administrative and regulatory, corporate & transactional, immigration, intellectual property, labor and employment, litigation, office administration, other, personal, real estate, and student affairs.

Matter types generally are: vendors & firms, transactional, record requests & subpoenas, policies, personal, copyright, international, hr/student affairs/faculty matters, general & advice, development, corporate governance meetings, and compliance.

Question 50
Q: How many different matter templates do you require? (a template is a collection of custom fields for a single Area of Law or Matter Type [such as litigation])

A: Listed under matter types above; around a dozen.

Question 51
Q: Please estimate the number of custom fields that may be needed across all matter templates.

A: Around a dozen, including practice area, matter status, additional client, matter open date, close date, description, owner, outside counsel.

Question 52
Q: Do you anticipate a multiphased implementation? (If so please describe those phases)

A: Yes.

Question 53
Q: How many users will be using the solution?

A: At least 10 in-house users.

Question 54
Q: How will matters be created and assigned? (by users? Will there be any automation around matter creation and assignment?)

A: Please see answer 48 above.

Question 55
Q: Will you use the software to budget matters and if yes please describe:
1. Will budgets be submitted by Outside Counsel and reviewed?
2. Will budgets be Life of Matter or Annual or Quarterly?
3. Will Budgets be captured at the Fee and Expense or some other level?
4. How often will Budgets be updated?

A: (1) yes, (2) We'd like to be able to see how the system will handle each. (3) Yes, fee and expense. (4) Budgets will likely be identified when a case is first assigned, but may need to be adjusted as the case evolves, or when the fiscal year ends.

Question 56
Q: Will you use the software to request accruals from outside counsel on matters?
1. What frequency? (monthly or quarterly)
2. All matters or selected matters?

A: Yes, monthly on all matters.

Question 57
Q: Will you track matter key dates for matters? (if so can you provide an example of the types of key dates you will track)

A: Yes, for example: open, close dates, how many days open to close.

Question 58
Q: Will you associate contacts (judges, opposing counsel, etc.) to matters?

A: Yes.

Question 59
Q: Will you track settlements? (if yes will settlement tracking include a workflow?)

A: Yes, if that is an available feature.

Question 60
Q: Will you conduct vendor evaluations?

A: No.

Question 61
Q: Will you utilize a matter closing workflow?

A: If that is an available feature, yes.

Question 62
Q: Do you require document assembly/document generation functionality for documents in the matter management system? (if yes, please identify the number and types of document templates.

A: Yes, although we do not have a number of documents in mind, some examples of templates would be releases, professional service agreements, settlement agreements, facilities use agreements, basic cover letters and form letters .

Question 63
Q: Please use the space to the right or another tab to identify any matter related workflows unique to your needs (examples: FINRA data capture, Reserve tracking, mortgage/loan information, claimant tracking, product tracking, etc.)

A: Although matter workflows are not contemplated at this time, we would be interested in hearing about the availability of any built-in functionality. Some workflows are identified in answer #27.

Question 64
Q: Will all matters be accessible to all legal department users?

A: No.

Question 65
Q: If matter access is not "open to all" please describe how you expect Security to operate?

A: Security would be selected when a matter is open and would be available to selected administrators.

Question 66
Q: Will outside counsel access matters?(if so, for what purpose will outside counsel access matters)

A: Certain matters, yes. They may access certain documents on which Rice and they are revising.

Question 67
Q: Please identify your annual outside counsel spend.

A: Please see answer #6 above.

Question 68
Q: How many law firms/vendors will submit electronic invoices

A: This number will vary, but at the moment, more than 40, but fewer than 100.

Question 69
Q: Will you manage timekeeper rates?
1. Who will approve rates?
2. Is there a single rate for each timekeeper that is approved?

A: Yes. A billing manager will manage rates based on the billing guidelines. Yes, a single rate will be approved and may vary by year.

Question 70
Q: Please describe your invoice review workflow (is the workflow authority level based?)

A: Please see answer #27 above.

Question 71
Q: Will the same set of invoice testing rules be applied across all invoices?

A: For the most part, yes. Some flat fee or reduced fees or discounts should be expected.

Question 72
Q: What Alternative Fee Arrangements will be used?
A: Flat fee and contingency.

Question 73
Q: Respond Yes or No and identify the system we will be integrating with. Please list any additional integrations using the <integration name> rows.

A:
Accounts Payable - Yes, integrating with Oracle.

HR/User Properties (used for master data for users such as department, company and authority level) Yes, master data from a spreadsheet.

Single Sign On - Yes.

IP Management - No.

Purchase Order - Yes, if available. Our AP system is Oracle.

Service of Process - No.

Document Management - Yes. iManage.

Question 74
Q: Identify the number of records to be migrated and the legacy source system:

Matter Records

Vendor records

Contact Records

Budgets

Accruals

Matter documents

Invoice records

A: See answers to questions 4, 11 and 28, above.