



**KATHY HOCHUL**  
Governor

**ADRIENNE A. HARRIS**  
Acting Superintendent

**RFP QUESTIONS/INQUIRIES AND ANSWERS MEMORANDUM**

**DATE:** January 19, 2022

**PLEASE ADDRESS INQUIRIES TO:**

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Contract Management Specialist 2  
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**RFP NO.:** C000522

**TITLE:** Background Investigation Services

**RFP DUE DATE:** February 14, 2022

**CONTRACT TERM:** Five (5) years

**SUBJECT:** Responses to Questions/Inquiries and Additional Information

**ALL PROSPECTIVE BIDDERS**

Below are the answers to the submitted questions:

**QUESTION #1:** Is the expected output for searches strictly source documents (for example, court records showing a bankruptcy)? Or is the expectation that we produce a narrative report for each search to explain or otherwise make sense of the source records? Is there an expectation that our research experts will be available to discuss results by phone?

**ANSWER:** **Source documents will only be required if DFS requests the court documents. Vendor will report any findings for requested records. The vendor must have a contact person available from 8:00 AM to 6:00 PM (Eastern United States time) Monday through Friday to answer any DFS questions.**

**QUESTION #2:** Referencing Proposal Quote Form Attach. D: Foreign translations (line 19) are noted with an annual estimated quantity of 165 and one hour for “physical searches.” Is the expectation that we are to provide a flat-rate cost for translation per document without knowing how long, dense, or otherwise complex each document may be?

**ANSWER:** **Bidder must provide an hourly rate for translation services on line 19.**

**QUESTION #3:** Do foreign translations need to be certified?

**ANSWER:** **Yes**

**QUESTION #4:** Referencing Proposal Quote Form Attach. D: How are “copies of above court documents” (# 32) distinct from documents being requested in lines 27-31?

**ANSWER:** **Lines 27 through 31 must show the individual cost for each individual request listed on each line. Line 32 must show the cost for the request of all items listed on lines 27 through 31.**

QUESTION #5: Referencing Proposal Quote Form Attach. D: Does the number 550 on line 6 for “Copies of suits/judgments documents” or the number 55 in line 10 for “Copies of US bankruptcy documents” refer to the number of suits/judgments/bankruptcies or the number of documents anticipated?

**ANSWER: These numbers are the Estimated Annual Quantity of Database Searches.**

QUESTION #6: In many instances, foreign governments/courts will not make available court records or other documents that DFS may be requesting. What happens when the outcome of an inquiry is that the documents are unavailable?

**ANSWER: The bidder must provide a description of their approach to foreign investigations.**

QUESTION #7: Referencing Proposal Quote Form Attach. D: The spreadsheet states that only one (1) expedited report (line 34) is anticipated to be requested each year. Please confirm that one (1) is indeed anticipated number.

**ANSWER: That is the estimated annual quantity of database/physical searches. Actual numbers may vary during the contract period.**

QUESTION #8: Referencing Proposal Quote Form Attach. D: What is the difference between line 16 (Copies of suits/judgements documents) and line 33 (Copies of civil court action documents)?

**ANSWER: Line 16 refers to copies of suits/judgements documents for Foreign Investigations. Line 33 refers to copies of civil court action documents for Producer Investigations.**

QUESTION #9: Referencing Proposal Quote Form Attach. D: Please confirm that one (1) is indeed anticipated number for line 33 (Copies of civil court action documents).

**ANSWER: That is the estimated annual quantity of database/physical searches. Actual numbers may vary during the contract period.**

QUESTION #10: On the RFP DOC, 4.8 D, page 11 it says that investigators must be available for regulatory hearings and witness testimony. However, there are no line items for such tasks and the time required on the spreadsheets. Is the expectation that such services will be provided for free? If not, how and where should bidders account for anticipated costs? Does DFS anticipate that such hearings and proceedings will require an investigator’s in-person appearance in Albany, or is remote/electronic testimony anticipated? How many such appearances and hours are anticipated?

**ANSWER: Costs for these services, if they are needed, will be handled separately and are not part of this RFP.**

QUESTION #11: RFP DOC, 4.2 and 4.3 on page 8 with regard to domestic investigations, will the investigations be limited to a certain region of the United States, with regard to foreign will we be expected to travel or run down leads in foreign countries or only what we can find in the US databases?

**ANSWER: Domestic investigations are not limited to any region of the United States. Foreign investigations must include the requested records from where the individual being investigated resides. As stated, DFS may require the Contractor to procure copies of litigation/judgment, bankruptcy or court documents for foreign investigations. While we do not anticipate that this will require travel to obtain these documents, as stated the rates proposed by the Bidder must be for the duration of the Agreement, and inclusive of all costs including travel.**

All other terms and conditions of the RFP remain the same.

**This Memorandum is to be signed, submitted and made a part of your bid.**

VENDOR: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

SIGNATURE OF BIDDER: \_\_\_\_\_

DATE: \_\_\_\_\_