



**Solicitation Information  
December 4, 2018**

**RFI# 7597671**

**TITLE: Automated Legal Case Management Software System**

**SUBMISSION DEADLINE: January 7, 2019 at 2:30 PM (ET)**

Questions concerning this solicitation must be received by the Division of Purchases at [gail.walsh@purchasing.ri.gov](mailto:gail.walsh@purchasing.ri.gov) no later than **Monday, December 17, 2018 at 5:00 PM (ET)**. Questions should be submitted in a *Microsoft Word attachment*. Please reference the **RFI#** on all correspondence. Questions received, if any, will be posted on the Division of Purchases' website as an addendum to this solicitation. It is the responsibility of all interested parties to download this information.

**GAIL WALSH  
CHIEF BUYER**

Applicants must register on-line at the State Purchasing Website at [www.purchasing.ri.gov](http://www.purchasing.ri.gov)

**Note to Applicants:**

Responses received without a completed RIVIP Bidder Certification Cover Form attached may result in disqualification.

**THIS PAGE IS NOT A BIDDER CERTIFICATION COVER FORM**

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## SECTION 1. INTRODUCTION

The Rhode Island Department of Administration/Division of Purchases, on behalf of the State of Rhode Island, is soliciting informational responses from qualified firms to provide and implement an Automated Legal Case Management Software System that would serve the attorneys, administrative staff, and other pertinent employees, in accordance with the terms of this Request for Information and the State's General Conditions of Purchase, which may be obtained at the Rhode Island Division of Purchases' website at [www.purchasing.ri.gov](http://www.purchasing.ri.gov).

### **Instructions and Notifications to Offerors:**

1. Potential vendors are advised to review all sections of this RFI carefully and to follow instructions completely, as failure to make a complete submission as described elsewhere herein may result in rejection of the response.
2. The State invites comments, suggestions and recommendations from potential vendors and other interested parties on any questions or issues raised in this RFI. Please note it is not a requirement to answer all questions.
3. Alternative approaches and/or methodologies to accomplish the desired or intended results of this RFI are solicited.
4. This is a Request for Information ("RFI"), and as such no award will be made as a result of this solicitation.
5. All costs associated with attending the pre-solicitation conference and/or developing or submitting responses to this RFI, or providing oral or written clarification of the content of a response shall be borne by vendors. The State assumes no responsibility for any costs.
6. Responses misdirected to other locations, or which are otherwise not present in the Division of Purchases at the above stated date/time of opening for any cause will be determined to be late and shall not be considered. For the purposes of this requirement, the official time and date shall be that of the time clock in the reception area of the Division of Purchases.
7. Vendors are advised that all materials submitted to the State for consideration in response to this RFI shall not be considered to be public records as defined in Title 38, Chapter 2 of the General Laws of Rhode Island unless and until there is a contract award through a subsequent, related procurement.
8. Interested parties are instructed to monitor the Division of Purchases website on a regular basis, as additional information relating to this solicitation may be released as addenda.

## SECTION 2. REQUEST FOR INFORMATION

This RFI outlines the type of information being solicited and response structure requested from potential respondents.

### A. Background

The State of Rhode Island's various executive branch agencies are generally represented by legal departments with broad responsibilities and varied workloads. Key staff in a department may include a chief/lead/executive legal counsel overseeing supporting attorneys, legal assistants and administrative assistants (approximately 300 internal staff). The bulk of agency lawyer work typically consists of: (1) legislative and regulatory review, (2) administrative hearings and claims resolution, (3) licensing and enforcement actions, (4) Labor Relations matters, (5) APRA and subpoena response, and (6) municipal, probate, state and federal court litigation. Additionally, because most of the legal departments are quite small, most executive counsel carry their own caseloads in addition to supervising staff attorneys. This presents a significant challenge to executive counsel who also handle state and federal court litigation, which could be complex and time-consuming.

The State is considering issuance of a Request for Proposals (“RFP”) from qualified vendors to provide, implement and support a *Legal Case Management Software System (LCMS)*. Currently the State employs a variety of tools to manage caseloads across agencies, including Microsoft Office and package and custom-developed desktop.

## **B. RFI Response**

The following outline is intended to minimize the effort of the respondent and structure the response for ease of analysis. The listed questions/requirements can be used to guide responses; please note that a response to each question/requirement is not required however preferred. *Please do NOT include a cost proposal with your RFI response as they will not be considered with this RFI. Concise responses* in the order provided are appreciated.

### **Section 1: Case Administration**

The State envisions case administration functionality including, but not limited to the ability to:

- a) Create/Open and assign a case/file
- b) Organize and track case file information in an easily navigable platform with fully integrated, customizable workflow management.
- c) Design and build workflows (in the variety of flavors of case life cycles) that may or may not include litigation, special attributes, or statutes of limitations with timelines. Some examples include:
  - i. Litigation
  - ii. Administrative Hearings
  - iii. Labor Relations (arbitrations, grievances)
  - iv. APRA requests/responses
  - v. Land acquisitions/leases
  - vi. Bid protests
  - vii. Collection of funds
- d) Deviate from standard/common workflows (add/remove steps, etc.)
- e) Reassign cases from one attorney to another, or hand off management responsibility (the ability to assign cases) from one administrative assistant to another
- f) Deactivate users and identify/reallocate orphaned or previously linked cases so that their responsibility may be assumed by another user
- g) Allow sharing, restriction of access and reassignment of cases and related documents
- h) Integrate with calendars (Microsoft Outlook)
- i) Configure a notification engine to generate alerts
- j) Allow for "Pre-case opening," allowing communication and information exchange about a case that has not yet been entered into the system, with the ability to associate such communication and documentation with the case once it has been established.

**Please provide a description of your software's capability to administer cases with consideration of the State's vision listed above.**

## **Section 2: Document Management**

The State envisions document management functionality including, but not limited to the ability to:

- a) Automatically generate documents/forms (from custom-built templates with “mail-merge” functionality) to be used both in and out of court
- b) Provide long term digital storage of case files
- c) Allow for scanning and attachment of information into cases (documents, multimedia, etc.)
- d) Categorize, limit access rights/sharing or associate documents with one or multiple cases
- e) Label documents as enterprise-wide reference material, hosted on the platform for easy access by all (or a subset of) users
- f) Store large documents and numerous documents in association with a case. Please specify document size limitations and storage limitations (per case, system wide, etc.). This system would ideally have no issue potentially storing terabytes of data.

**Please provide a description of your software’s capability to manage documents with consideration of the State’s vision listed above.**

## **Section 3: Reporting**

The State envisions reporting functionality including, but not limited to the ability to:

- a) Run standard reports of the most common report requests that the system would have available to all users, non-editable.
- b) Build custom reports designed by users on any field, profile and/or document in the system that their account permissions allow them access to.
- c) Restrict access to and/or edit standard reports and allow users to save personal reports that can be kept private or shared with others in the system. Any user looking to make a report public/global must have rights to do so.
- d) Export into .csv, Microsoft Excel or other machine-readable format.
- e) Accommodate the storage of a reasonable variety of reports.
- f) Generate reports highlighting cases with immediate, upcoming or overdue action required, based on dates associated with a case.
- g) Display a dashboard highlighting items requiring urgent action.
- h) View audit logs of system activity across all users and modules (usage restricted)

**Please provide a description of your software’s capability to report on data collected and demonstrate how reports are built, stored and accessed in the system with consideration of the State’s vision listed above.**

#### **Section 4: User Accounts and Additional Functionality(s) for Member Entities**

The State envisions User Accounts and Additional Functionality(s) for Member Entities including, but not limited to the ability to:

- k) Establish a hierarchical permissions structure for full access and tiered limited access accounts, with sophisticated, assignable role design
- l) Identify user type based on a profile attribute (State or Member Entity categories)
- m) Allow a user to share legal cases for review between accounts without adjusting permissions on any account.
- n) Track history of casefile sharing, editing and viewing (audit logs/controls enterprise-wide)
- o) Provide a platform-based, secure messaging tool with customizable levels of privacy
- p) Provide a platform-based contact management database
- q) Search with a robust engine
- r) (Under consideration) Allow 3rd parties access to the LCMS to collaborate on specific cases, or provide a digital receptacle for documentation submission

**Please describe your software's capability to create/manage accounts, additional requested functionality and/or tie-ins for Member Entities consideration of the State's vision above.**

#### **Section 5: Implementation**

The State envisions the Implementation to include (but not be limited to):

- a) Project Plan:
  - i. A Phased approach project plan to notionally consist of an assessment phase, proposed Case Management Software Solution based on assessment results, Technical Integration Services, Data Migration, Implementation/Training Services and ongoing support and maintenance for a defined period.
  - ii. Roles and Responsibilities defined between the State and Vendor by mutual agreement.
  - iii. Vendor and State shall each provide a project management team consisting of a Project Manager that will lead the efforts between the two teams and related subject matter experts on both teams to support the various phases of the project with the goal of a successful and timely implementation.
  - iv. A robust training plan that would consist of a train-the-trainer model covering the various facets of users; Legal team, Agencies, Member Entities, Information technology team and administrative users. The plan would leverage in person trainings, webinars, recorded videos, help page/menus in the system.
  - v. A reasonable, notional timeline. The State is notionally envisioning 4-6 months for the project however the State is looking to the Vendor to clarify time required to successfully implement the project.
- b) System Specifications:
  - i. A cloud based software solution to include document storage.

- ii. A 'Sandbox' test software site in addition to a 'Live' site. Procedures to test functionality in the Sandbox site before implementation into the Live site will be established between the Vendor and the State.
  - iii. Document files sizes would be unlimited so Vendors can upload timely and successfully during the solicitation posting period.
  - iv. Ability for the Vendor to make reasonable customizations the State requests. Any implemented customizations will be transitioned with any system upgrades at no additional charge to the State.
  - v. Ability for the State to add functionality in the future.
- c) Testing of Initial Implementation and Future Upgrades/Patches:
- i. Vendor to provide a testing plan for initial implementation facets and a plan for each future upgrade/patch issued.
  - ii. The test plan is to specify exactly the areas of the Case Management Software Solution and State systems (if applicable) affected, so the designated State project team can coordinate effectively and efficiently vs. reviewing a full system document for the changes.
  - iii. Each plan is also to identify the potential risk impacts to the Case Management Software Solution and State systems.
  - iv. Streamlined communications from the Vendor to ensure changes are clearly identified to the designated State project team with the intent to focus testing efforts.
- d) Security and Technical Assistance:
- i. Availability of a Help Desk option for users in need of assistance utilizing phone and email contact options with delineation of Vendor and State roles in the process.
  - ii. A process for technical assistance for emergency and non-emergency situations, e.g., technical difficulties, data breach, an API lost connection, system down.
  - iii. Reasonable security measures in place to protect documents and data stored on the related cloud platform. Reasonable security measures for interfacing or linked connections between the Case Management Software Solution and State systems and websites.
  - iv. A process for routine maintenance and upgrades
  - v. A data breach process and policy.

**Please provide a description of your company's capability to implement with the State on this project in consideration of the State's vision listed above.**



### **Section 6: General Platform Capabilities and Attributes and Project Management Background**

Please describe the following:

- a) Platform's ability to provide remote access and compatibility with web-enabled devices
- b) Whether the platform includes a Collections Module with the ability to allow 3rd parties to remit payment via credit card or direct debit for fines levied or amounts owed to the state (integration with banking institution)
- c) Platform system architecture, login security (secure-token or other methods of identity verification), technical hosting standards, and maintenance approach.

### **Section 7: General Platform Capabilities and Attributes**

Please describe the following:

- a) Migration approach to converting data from a variety of legacy systems to maintain historical case information
- b) An overview of experiences with similar institutions, projects, and integrations, including a list of other state agencies where platform is in use
- c) Proposed timeline and staffing needs from the State in order to maintain proposed timeline
- d) Firm's approach to toughest challenge
- e) Customer service and support philosophy/practices
- f) Any other critical factors that will help you make your "first cut"

### **Section 8: Other Information**

Please share any other information you feel the State should take into consideration as it pertains to:

- a) Any of the items above.
- b) Any additional or modified system capabilities the State should consider.
- c) Any risks/benefits the State should be aware of.
- d) Any other area you deem as relevant under this RFI.

### **Section 9: Attachments**

Please include any screen capture videos (to demonstrate navigability and flow of your system in real time), screen shots of your website, catalogs, etc. to assist in visualization of your system. The attachments will not count towards the page limit of your response however the State requests that any attachment provided be concise to supporting your response and not to inundate the review team with too many attachments.

### **Section 10: Interview and Demonstration (TBD)**

Depending on the responses received to this RFI and how they align to the State's vision, the State may call upon a Vendor to come in for a live interview and demonstration to further understand the proposed software capabilities. If a Vendor is selected for a live interview and demonstration, the State will contact the vendor and schedule accordingly. Any expenses incurred for a live interview and demonstration with the State, will be at the Vendor's sole expense.

## **SECTION 3. QUESTIONS**

Questions concerning this solicitation must be e-mailed to the Division of Purchases at [gail.walsh@purchasing.ri.gov](mailto:gail.walsh@purchasing.ri.gov) no later than the date and time indicated on page one of this solicitation. No other contact with State parties is permitted. Please reference **RFI# 7597671** on all correspondence. Questions should be submitted in writing in a Microsoft Word attachment in a narrative format with no tables. Answers to questions received, if any, shall be posted on the Division of Purchases' website as an addendum to this solicitation. It is the responsibility of all interested parties to monitor the Division of Purchases website for any procurement related postings such as addenda. If technical assistance is required, call the Help Desk at (401) 574-8100.

## **SECTION 4. RESPONSE CONTENTS**

A. Responses shall include the following:

1. One completed and signed RIVIP Bidder Certification Cover Form (included in the original copy only) downloaded from the Division of Purchases website at [www.purchasing.ri.gov](http://www.purchasing.ri.gov). *Do not include any copies in the response.*
2. Response - describing the requirements and concept for this potential project, and all information described earlier in this solicitation. The response is limited to six (6) pages.
  - a. One (1) Electronic copy on a CD-R, marked "Response - Original".
  - b. One (1) printed paper copy, marked "Response -Original" and signed.
  - c. Four (4) printed paper copies

B. Formatting of proposal response contents shall be as follows:

1. Formatting of CD-Rs – Separate CD-Rs are required for the technical proposal and cost proposal. All CD-Rs submitted must be labeled with:
  - a. Vendor's name
  - b. RFI #
  - c. RFI Title
  - d. If file sizes require more than one CD-R, multiple CD-Rs are acceptable. Each

CD-R must include the above labeling and additional labeling of how many CD-Rs should be accounted for (e.g., 3 CD-Rs are submitted for a technical proposal and each CD-R should have additional label of ‘1 of 3’ on first CD-R, ‘2 of 3’ on second CD-R, ‘3 of 3’ on third CD-R).

Vendors are responsible for testing their CD-Rs before submission as the Division of Purchase’s inability to open or read a CD-R may be grounds for rejection of a Vendor’s proposal. All files must be readable and readily accessible on the CD-Rs submitted with no instructions to download files from any external resource(s). If a file is partial, corrupt or unreadable, the Division of Purchases may consider it “non-responsive”. USB drives or other forms of electronic media shall not be accepted. Please note that vendor CD-Rs shall not be returned.

2. Formatting of written documents and printed copies:
  - a. For clarity, the response shall be typed. These documents shall be single-spaced with 1” margins on white 8.5”x 11” paper using a font of 12 point Calibri or 12 point Times New Roman.
  - b. All pages on the response are to be sequentially numbered in the footer, starting with number 1 on the first page of the narrative (this does not include the cover page or table of contents) through to the end, including all forms and attachments. The Vendor’s name should appear on every page, including attachments. Each attachment should be referenced appropriately within the response section and the attachment title should reference the response section it is applicable to.
  - c. Printed copies are to be only bound with removable binder clips.

## **SECTION 5. RESPONSE SUBMISSION**

Interested vendors must submit responses to provide information covered by this RFI on or before the date and time listed on the cover page of this solicitation. Responses received after this date and time, as registered by the official time clock in the reception area of the Division of Purchases, shall not be accepted.

Responses should be mailed or hand-delivered in a sealed envelope marked “**RFI# 7597671 Automated Legal Case Management Software System**” to:

RI Dept. of Administration  
Division of Purchases, 2nd floor  
One Capitol Hill  
Providence, RI 02908-5855

## **SECTION 6. DISCLAIMER**

This Request for Information is solely for information and planning purposes and does not constitute a request for proposal or an invitation to bid. All information received in response to the RFI and marked as “Proprietary” shall be deemed to be confidential but may still be subject to

disclosure pursuant to the Rhode Island “Access to Public Records Act, R. I. Gen. Laws § 38-2-1, *et seq.* . Responses to the RFI will not be returned.

**END**