

**REQUEST FOR PROPOSALS
NATIONAL REVIEW OF CASE MANAGEMENT SOFTWARE
Technology Initiative Grant # 02546**

Legal Aid of East Tennessee (LAET) has a grant, funded by the Legal Services Corporation (LSC), to analyze case management software and systems used by legal services programs in Tennessee and across the United States. LAET is issuing this Request for Proposal (RFP) to secure a firm or consultant to gather data and present a comprehensive report comparing and contrasting the various case management systems that are on the market.

A steering committee comprised of intake, program directors, and attorneys in the legal aid field have prepared a list of key criteria by which case management systems should be evaluated. The consultant will be expected to provide details on the software type, technology required, training required and ease of use, document assembly capabilities, intake procedures, personnel needed to maintain, enterprise capability, and ability to customize.

The anticipated outcomes of this report are that LSC and its funded organizations across the country will have an up-to-date and comprehensive evaluation tool that will establish a base line for legal services managers to choose the case management technology that maximizes their resources. The project's long-range impact will be to stimulate competition and innovation and enhance quality among vendors of case management systems. Please see the attached Statement of Work for more details.

Proposals should be submitted to the address below no later than April 30, 2003:

**TIG Grant #02546
c/o Legal Aid of East Tennessee
ATTN: Ray Bollinger
502 S. Gay St. Suite 404
Knoxville, TN 37902**

By responding to this Request for Proposals, the proposer accepts all terms and conditions of the RFP. No proposal may be withdrawn after the due date and all stated terms and conditions stated in the proposals are in effect for 90 days.

The Steering Committee managing this grant will select the firm or consultant that demonstrates the greatest potential for achieving the objectives described in the statement of work. The Steering Committee reserves the right to waive any informalities or irregularities or to reject any and all proposals.

Attachments: #1–Statement of Work
#2–Case Management System Criteria
#3–List of Minimum Case Management System software to be reviewed
#4–Sample Case Management Intake Scenario

Attachment 1
STATEMENT OF WORK
NATIONAL REVIEW OF CASE MANAGEMENT SOFTWARE
Technology Initiative Grant # 02546

BACKGROUND

The Legal Services Corporation (LSC) is a private, non-profit corporation established by Congress to seek to ensure equal access to justice under the law for all Americans by providing civil legal assistance to those who otherwise would be unable to afford it. Legal Aid of East Tennessee (LAET) is the LSC funded service provider in East Tennessee and one of four LSC funded programs in Tennessee.

With many software decisions being made at the state and local level, there is an expressed need from the field to continue developing a better capacity for data collection, analysis, reporting and training. Therefore, LSC has awarded LAET a National Technology Initiative Grant (TIG) to provide program support for the tasks listed under the "Scope of Work."

PURPOSE OF THE ACQUISITION

LAET has a requirement for the development of a new publication that will be geared to the needs of agencies that are responsible for providing civil legal services for low-income individuals. The purpose of the publication is to provide information that will help these agencies evaluate the extent to which the case management systems they use or plan to use will meet their internal needs as well as the reporting and tracking requirements of LSC.

SCOPE OF WORK

The Contractor shall be responsible for carrying out all phases of work associated with the development of the publication. This includes planning, conducting, and reporting the results of an analysis of the content and data on effectiveness of widely-used programs for legal case management. The Contractor shall develop a publication that can be used to inform decision making about the identification and implementation of case management programs at the state and local level. The guide will provide information on the extent to which a program includes the essential criteria as defined in Attachment 2, but will not rate programs or provide a recommendation of specific programs. The publication must include information that will help agencies distinguish between different types of case management programs, but will provide detailed analyses of only those programs that are identified in Attachment 3.

DESCRIPTIONS OF TASKS

The Contractor shall perform the following tasks:

Task 1: The Contractor shall establish a process for conducting the review of Case Management programs.

The Contractor shall develop a comprehensive written plan that describes how the review of case management programs will be structured and conducted, including a timeline showing when key tasks will be completed, within the performance period parameters. The plan must address the following: (1) How review criteria for assessing whether programs contain all of the essential elements identified in Attachment 2 will be developed or selected, and (2) How review criteria for assessing the quality of the evidence supporting the case management programs will be developed or selected. The

Contractor shall submit an implementation plan to the Project Officer and will receive feedback on his/her plan. He/she will then integrate this feedback and resubmit the plan to the Project Officer for approval.

Task 2: The Contractor shall provide monthly written reports to the Project Officer on the progress of the project.

The contractor shall submit monthly brief technical progress reports. The progress reports must indicate the contract tasks that were to be performed in the prior month, a description of the progress made in completing these tasks, problems encountered or remaining from the previous months, expected approaches to resolving problems from the previous month(s), tasks for the current month, and any budgeting implications or significant concerns to be addressed by the Project Officer. These reports are due within the first week of the following month.

Task 3: The Contractor shall conduct the review.

The Contractor shall sufficiently document their work so that the process is replicable and the conclusions drawn are apparent to persons seeking to replicate a similar review. The results of this review shall be included in the publication resulting from this contract.

Task 4: The Contractor shall draft a preliminary report that describes the results of the review.

The Contractor shall write a preliminary draft of the results of the review of each program. The draft shall include a factual description of the program's components, the types of evidence used to assess the program, and a description of the assessment of each program on each criterion. The draft must be submitted to the Project Officer for review. The Contractor shall also provide a copy of the preliminary report on each program to the program's developer and provide a comment period during which the developer may submit additional evidence to counter findings of deficiency that failed to consider all relevant evidence or errors in fact.

Task 5: The Contractor shall review additional evidence and revise the description of findings in accordance with new findings and comments from the Project Officer.

The Contractor shall review the additional evidence submitted for each program and make the necessary revisions to the program descriptions and assessments. The contractor shall obtain Project Officer approval on all revisions.

Task 6: The Contractor shall provide a mock-up of the bound and completely formatted and finished product to the Project Officer for review and approval.

The Contractor shall design the final [hardcopy] publication and prepare electronic copies for distribution over the Internet. The final document should be in the following formats: 1) Hardcopy, single sided, bound copy—ten (10) copies with a single master copy; 2) PDF version of hardcopy; and 3) HTML version appropriate for posting to the web.

PERFORMANCE PERIOD

The performance period will begin upon issuance of the contract award. All work shall be completed within 6 months of the beginning of the performance period.

CONTRACT DELIVERABLES

One copy of each monthly report and the final report shall be sent to the project officer. Specific Deliverables: The Contractor will provide a narrative including a description of

each case management system (see the first section of Attachment 2) and an overview of its general operations. In addition, the Contractor will produce, as a result of the industry research and analysis, a report best described as a *Consumer Reports* matrix. This matrix evaluates the criteria set forth in Attachment 2. The matrix should consist of a vertical axis of case management systems and a horizontal axis of system features. At the intersection of the vertical and horizontal axis should be an indication of whether the system includes the feature or not. An example follows below.

	Custom Reporting?	CSR?	Timekeeping
Caseworks 2000	Yes	Yes	Yes
Time	Yes *	Yes	No
Pica	Yes	Yes	No*
Cass	No	Yes	Yes
Legal Files	Yes	Yes	No

* means additional explanation provided.

CMS task force will provide consultant a list of systems to be reviewed. Consultant can add systems he/she determines should not be overlooked, however consultant may not independently determine to drop a system from review.

The feature matrix should not limit the consultant to yes or no answers. It is possible that some responses will require additional information.

Attachment 2

CASE MANAGEMENT SYSTEM KEY CRITERIA

The Case Management System is expected to be able to perform all the generally accepted case management system functions as well as meet the following criteria specific to the legal aid community:

General Operations

Does the CMS have:

- The ability to do multiple modules (i.e. intake, time accounting) simultaneously
- An automatic conflict check–warning that there’s a conflict
- A user limitation or a license limitation
- The capacity to integrate with any document assembly packages
- The capacity to integrate with any office tools
- Ease of matter information entry (record keeping of community education time spent, etc.)
- Is there a minimum purchase necessary?
- What are the total licensing and deployment costs (included recommended hardware & LAN/WAN bandwidth requirements, etc.)
- Cost of data migration
- Cost of outside support/average amount required and availability and accessibility of that support
- Internal staff time and training required for ongoing deployment (Is documentation online help, or live technical support available, and at what cost?)

Eligibility

Does CMS determine client eligibility? Related to that:

- Need drop-down lists that will enable user to click on weekly or monthly income
- Does the CMS calculate the annual income and determine eligibility
- Ability to grant exceptions that fall over 150% of guidelines pursuant to Regulations 1611.4a.
- Facility for considering all the 1611.5 factors.
- Ability to grant waivers and record those.
- Ability to show how far over eligibility guidelines, as a result of calculations (e.g. %>poverty + \$>poverty)

Intake/Case Management

Does the CMS have

- Ability to input time for closed cases as well as open cases
- Well-integrated calendar/remembering (“tickle”) system
- Access to multiple records at one time
- Drop down list for alien status
- Use of pick lists/drag downs instead of open-entry fields; need ability to choose an option
- Way to quickly note the referrals made by the receptionist and report them
- Automatic indication of who makes an entry into case notes and when
- Prominent recording of 1636 and 1644 information

- Ability to indicate a) why we did not accept a case and b) what we did (through drop down lists)
- Ability to segregate case information by office but yet makes it accessible to all in the organization
- Ability to search in different ways: by advocate, by type of case, etc. (need different query tools)

Record Keeping/Accounting

Does the CMS have

- A time keeping category
- The ability to maintain full text of pleadings and letters in database
- The ability to assign general ledger account numbers to certain cases (e.g. integrate accounting information)
- Ability to designate fund rules
- The ability to assign a case to fund rules that include a variety of funding sources (e.g., 40% LSC, 20% State, 10% County X United Way, 10% IOLTA, 20% fundraising campaign)

Reports

Does the CMS have the:

- Ability to print reports remotely as well as from screen
- Ability to customize the CSR
- Ability to generate CSR reports by office, advocate, time period
- Ability to generate call-back lists by section/office
- Ability to interact with other custom report writers
- Ability to do customized reports without needing programming language
- Ability to generate form letters easily from database
- Ability to create a report on applicants whose case we did not accept
- Ability to create a record of contacts—who called the client back and when
- Ability to do matter reporting (per information from LSC)
- Ability to do custom reports on current calendaring (“tickles”) and status

Attachment 3
LIST OF MINIMUM CASE MANAGEMENT SYSTEM SOFTWARE
TO BE REVIEWED

Following is a list of case management system software currently being utilized by legal services organizations around the country. The Contractor must include these systems in the Review:

- APLICA
- Case in Point
- Case Tracking 1.34
- CASS
- Client Information Systems
- Client Track System
- Custom Access
- Filemaker Pro v 5.5
- ITS
- Kemps
- Kemps/Oracle
- KLS Legal Trek
- Legal Aid Case/Time Management
- LSCRS
- LSCRS-WIN
- Management Assistant
- Paradox 7
- PICK
- Practice Manager & Practice Manager 8
- SC Caseman 1.30
- Telelawyer
- TIME
- Wamsutta

Attachment 4

CASE MANAGEMENT INTAKE SCENERIO

Client calls Legal Aid office seeking assistance. The front office worker is a pre-screener. He/she must first determine whether the client is in the program's service area (county). Next the pre-screener determines if the caller is a current or former client. The caller may know the full name of the adverse party or only a last name. The caller may or may not know whether the adverse party is a former client of the program and the legal matter on which the program previously assisted. The front office worker must quickly determine whether there is any conflict before the program can speak further with the caller.

It is then necessary to determine whether the client is income eligible. This involves determining not only income of the individual but also that of other family members. There may be multiple sources of income in the household. The caller may only know an hourly rate, possibly a weekly take home or a yearly gross income. Another component of eligibility is resources. The caller may have personal property, real property, and intangible property such as investments and/or bank accounts. There may be several sources of property that must be considered in determining eligibility. The program income and asset guidelines must be built into the software program and do the calculation. The local software manager (organizational IT person) must be able to change them each time the legal organization changes its guidelines.

Once it is determined that the caller is income and asset eligible and there is no potential conflict of interest, the caller is transferred to an intake worker. This worker must now complete a full intake on the client including information about citizenship, social security number, employment status, marital status, non-adverse parties, address, county, telephone number, other possible contact numbers, number in household, and type of legal problem. The program has many grants and some have additional and complicated tracking requirements. The intake worker must be able to tack a number of variables on any given client without leaving the intake screen of the computer program. The worker must then determine what the type of legal problem the caller has. The problem must fit within a defined set of possible problems. The worker must then make extensive notes in the computer system about the facts of the situation.

Once the phone intake is complete the worker must determine what to do with the case. There are many possibilities, such as giving immediate advice and closing the case, giving the case to a case handler for further work, placing the case on hold pending a case acceptance conference, placing the case on a waiting list pending a slot in the program, placing the case with the pro bono project, or possibly rejecting the case for any number of reasons. It can be assumed if the case is not immediately closed that another staff member of the program will need to pull up the case and make additional case notes and possibly make other changes, such as a legal problem code, change a phone number or add an adverse party. It is also possible that during the course of the case that the client's income or assets may change and the advocate assigned the case will need to re-determine eligibility.

Some program cases will be disposed of in short order, often the same day as the initial call. Others will require extended service and may remain open for many years. The case management system must be capable of ongoing case tracking and modification. In addition, all staff are required to keep contemporaneous time. Many times a time

entry will reflect work completed on a case and must appear in the case notes section of the client intake sheet. There must be a chronological order to not only individually entered case notes but also time entries for any given case. Any case that is filed in court must have additional information entered concerning the litigation. The case handler may need to be prompted from time to time to enter this information.

Tickle systems are a required aspect for all legal aid offices. The system must be tied to the case management system to be of use to advocates. All cases must have a current tickle setting forth work to be completed in the future as well as filing deadlines and court dates. Staff need to be prompted of current tickles when they enter the database. Advocates need to be able to check tickles, either on an individual case or all of their cases, for a given day or for days in advance, with ease. In addition, any tickle not completed on a given day must carry over so it is not forgotten.

When work is completed on a case a closing memo must be entered into the case management system. In addition, various form closing letters must be generated. The reason the case is closed and the date closed must be tracked. The main benefit achieved for the client must also be recorded. In addition, various grant sources have other, often complicated, reporting requirements at the time a case is closed. This information must be gathered in a format that can be used with ease by managers and advocates alike, many with little technological savvy.