CITY OF EAST PROVIDENCE
PROBATE COURT CASE MANAGEMENT SYSTEM SOLUTION
SPECIFICATIONS
RFP NO. EP21/22-07R
REQUEST FOR PROPOSALS
BID OPENING FRIDAY JANUARY 20, 2023 AT 11:00AM

SCOPE OF WORK

The City of East Providence (City) seeks to replace their court processing, documentation, organization and communication procedures. The City currently runs an on premise solution comprised of local servers, copiers/scanners and Microsoft Access Databases.

The City will require a secure, cloud-native solution that includes, but not limited to the following:

- Case management
- State forms
- Overdue filings
- Court scheduling
- Report Management
- Secure web access
- API integration process
- Backup and site recover
- End-user training
- Data Integration

SYSTEM REQUIREMENTS

- We require case-docketing, reporting and secure document management
- Unlimited storage CJIS, HIPPA and FERPA certified.
- Encryption in transit and at rest
- Windows 10 compatible
- Mobile App preferred
- Schedule case events, set email alerts and triggers for cases
- Workflow assignment
- Customizable Notices and Court Calendars
- Email and Text Notifications for case related information

- Integrated Financial Accounting
- API with Invoice Cloud
- Customizable Public Search features
- Electronic Filings
- Role-based security
- Detailed Audit Trail
- Paperless, e-signature and encrypted technology workspace and process

QUALIFICATIONS

The proposal shall include, at a minimum, the following information with regards to qualifications and references:

- A list of at least three (3) client references including two (2) government clients where you have provided similar goods and services. The reference information shall include the name, address, contact name, email address, phone number, number of cameras in use, number of years each has been using your system and corresponding interfacing systems.
- Identification of any and all parent or subsidiary relationships.

GENERAL CONDITIONS

- The City reserves the right to reject any/or all companies, to waive any informality in the proposal statement and to accept the proposal of any company based on what the City deems to be in its best interest.

- The City reserves the right to accept all or part of any proposal and to negotiate a contract for services and cost with the selected Contractor.

- The Vendor shall provide all necessary personnel, sub-contractors, materials and equipment to perform and complete all work under this proposal.

- All original documents and drawings shall become the property of the City after completion of the consultant's work.

- The Vendor shall be prepared to commence work immediately upon execution of a contract with the City.

- The Vendor will be required to provide the minimum categories and amounts of insurance required for this project including: Commercial General Liability, Products/Completed Operations, Bodily Injury & Property Damage Liability including explosion, collapse and underground coverage, and personal & advertising injury - $1,000,000 General Aggregate. Auto Liability -$1,000,000 Bodily Injury & Property Damage and Workers Compensation – Statutory amounts. The City of East Providence shall be named as an additional insured.

- The Vendor shall forward any questions regarding this request for bids in a formal request for information (RFI) addressed to:

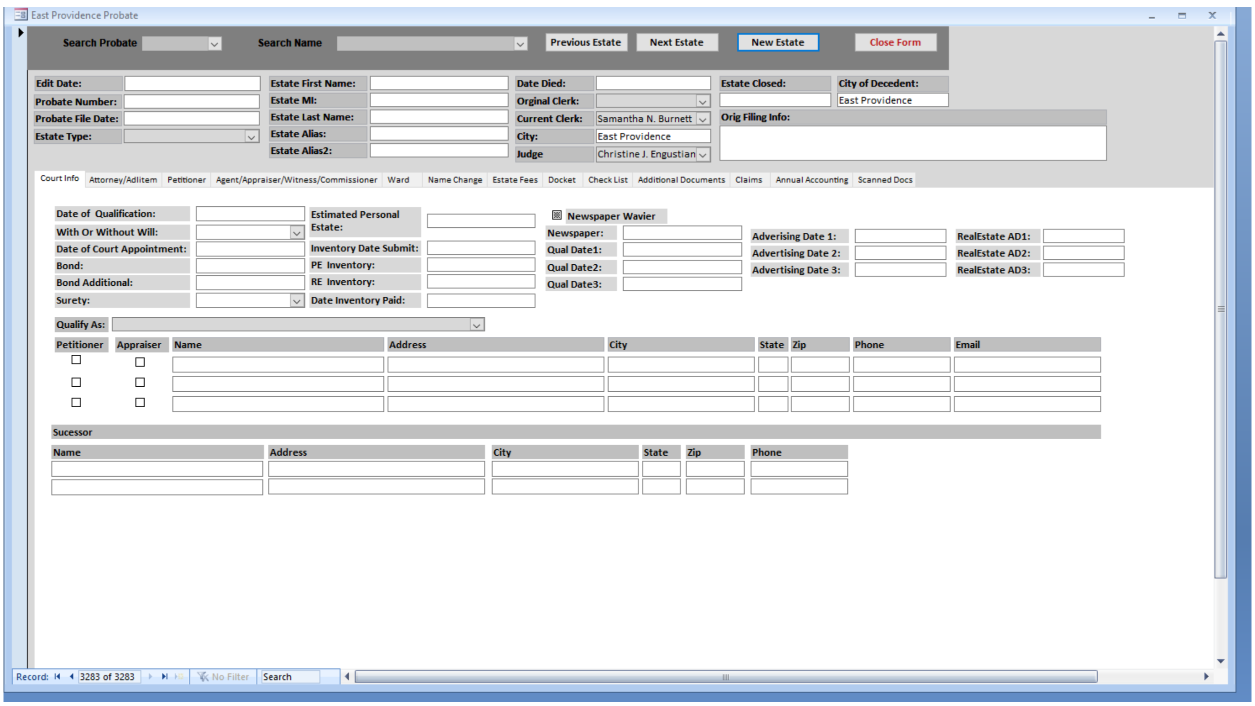
  Kelly Ahrens, Chief Information Officer
  145 Taunton Avenue, East Providence, RI 02914
  kahrens@eastprovidenceri.gov
  No later than **FRIDAY JANUARY 13, 2023 11:00AM.**

ADDITIONAL INFORMATION:

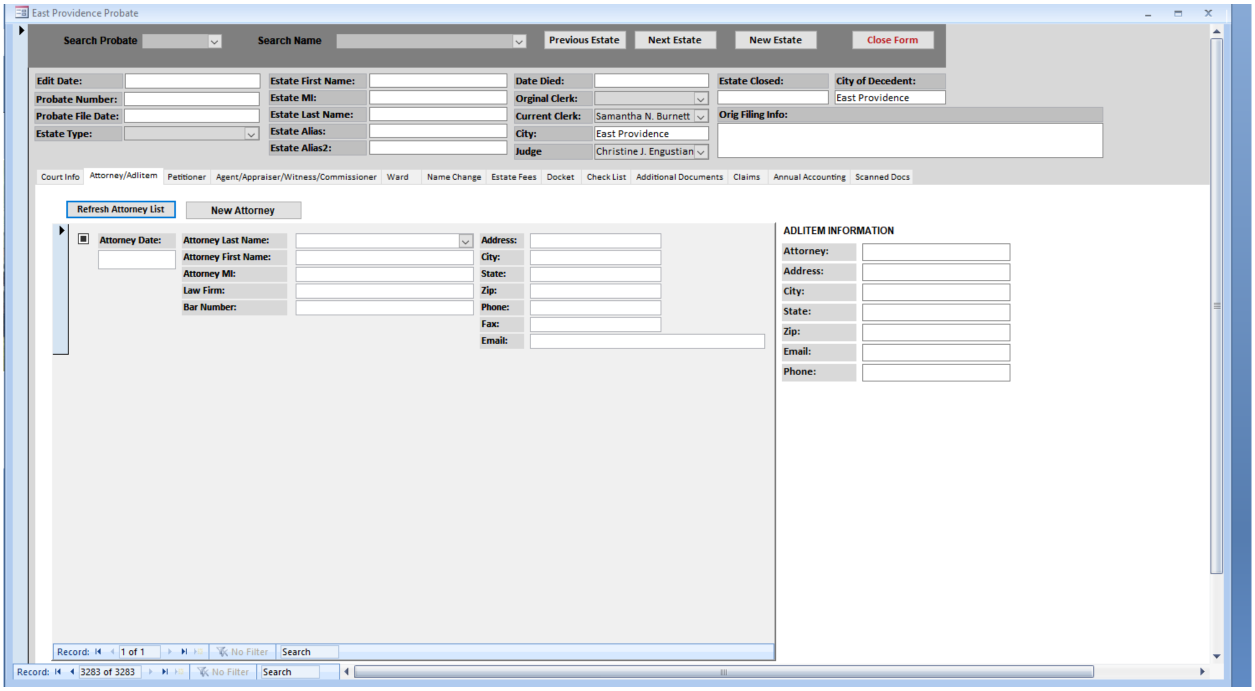
- State Forms
  - Which state forms are required to be populated?
    - All state forms are available through the RI Secretary of State's office website. However, an added feature allowing information entered into the database to be automatically pulled in from the case file eliminating the need to find documents online and type in or handwrite information before submitting to the court would be beneficial
- Overdue filings
  - What specifically is the functionality the court is requiring?
    - The ability to run reports for overdue inventories, accountings, annual reports, creditor claim periods
  - Will a report or a list of the overdue filings in the application be sufficient?
    - The report should include the file number, file name, due date(s)
- Report Management
  - What specifically is the functionality the court is requiring?
    - The ability to run reports for open estates, closed estates, guardianships, conservatorships, custodianships
  - Is the court looking for Ad Hoc reporting capabilities?
    - Yes.
- API Integration process
  - What specifically is the functionality the court is requiring?
    - See IT – Kelly Ahrens
  - Does the court require a set of API's for probate they can integrate with other applications?
    - See IT – Kelly Ahrens
- Data Integration
  - What specifically is the functionality the court is requiring?
    - See IT – Kelly Ahrens
  - Does the court require the current court data be converted to the new system?
    - Yes.
- Electronic Filings
  - What is the scope of this feature?
    - As of this date electronic filings are not accepted.

- Are the State forms that are populated to be electronically filed with the State of Rhode Island?
  - No.
- How many databases need to be migrated to the new system?
  - Two.
- How many tables make up each database?
  - See IT – Kelly Aherns
- How many gigabytes of data is expected to reside in the system after data migrations and are any data growth trends available for storage increases?
  - See IT – Kelly Aherns
- How many users need access to the system?
  - Seven. All department employees need access to the system, however, only three need permissions to enter data on a daily basis – the municipal services clerk for probate the Deputy City Clerk and the City Clerk. Anyone making entries to the probate system should be tagged as a user and tracked as to who is responsible for making each entry.

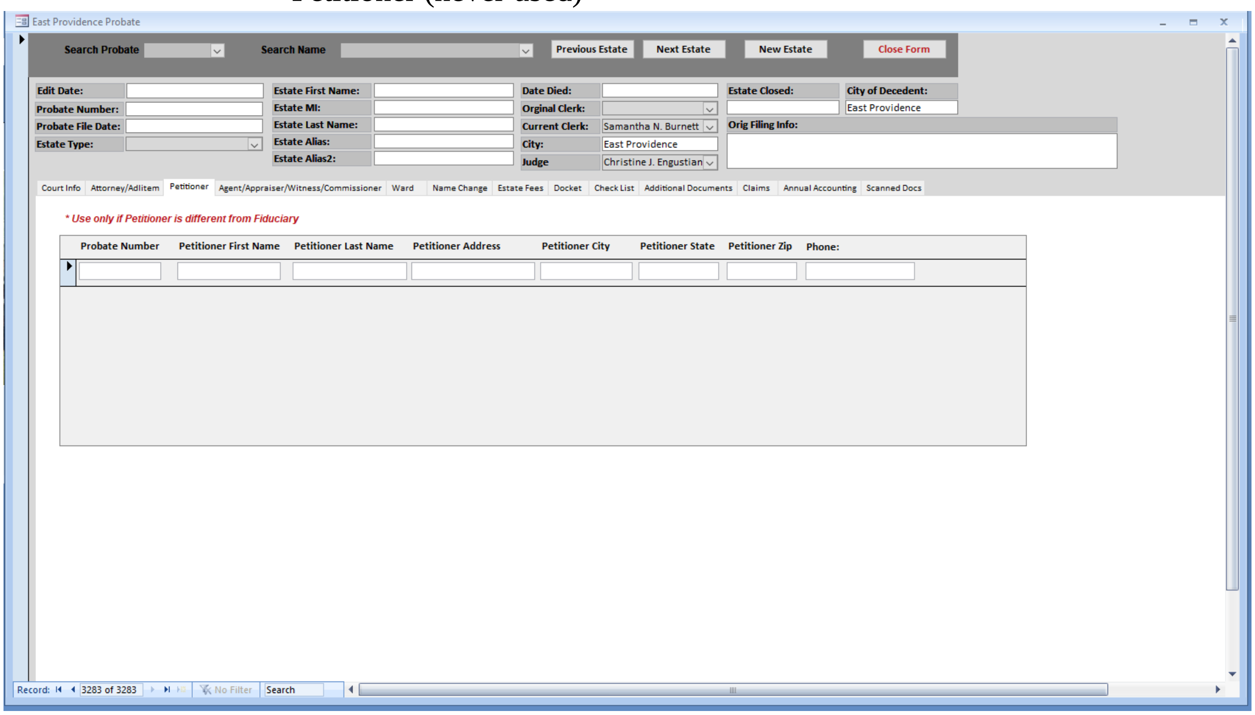
- How many document templates need to be created in the proposed system?
  - Currently we have 13 tabs that we work off of under the Open Input Probate Form. The tabs consist of the following (please see images below for additional references):
    - Court Info



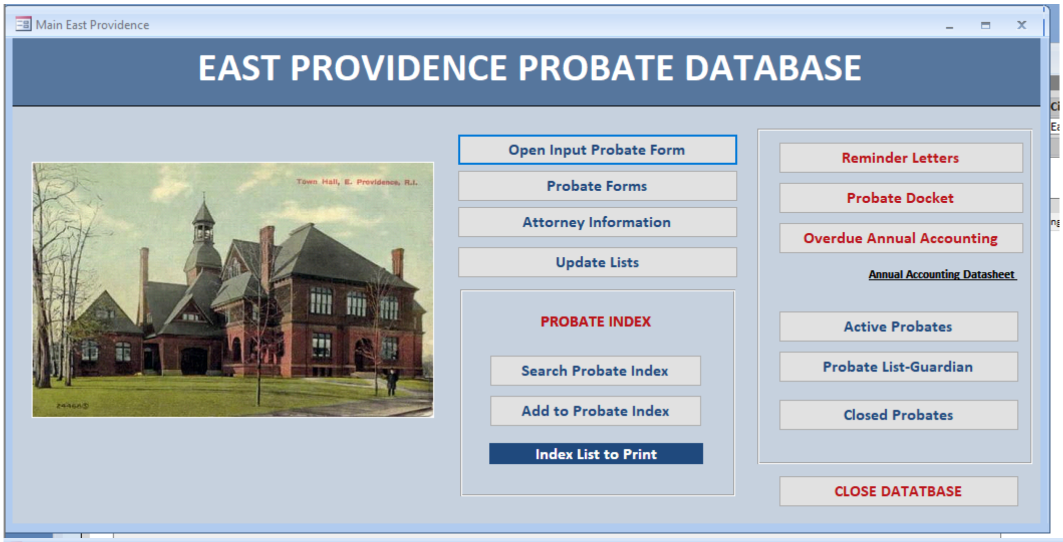
    - Attorney/Ad Litem

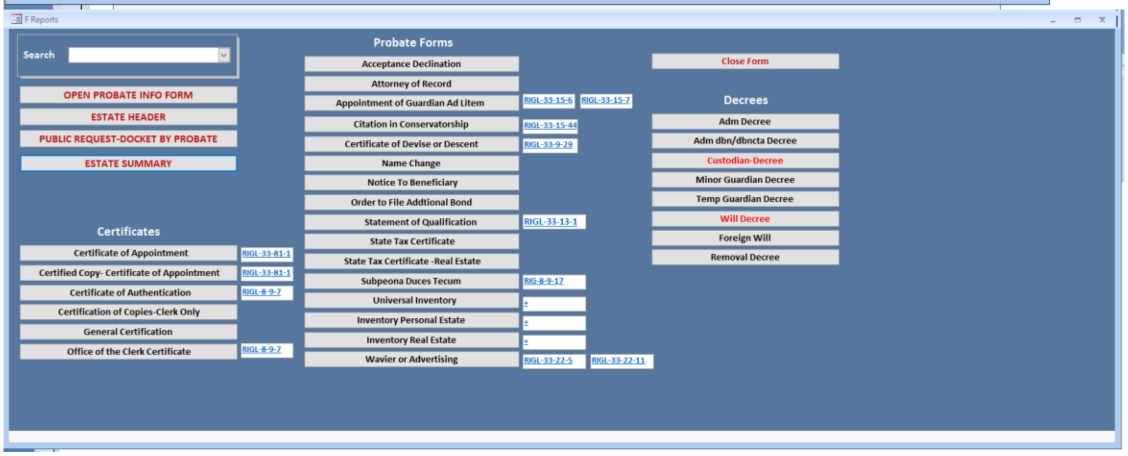


- Petitioner (never used)

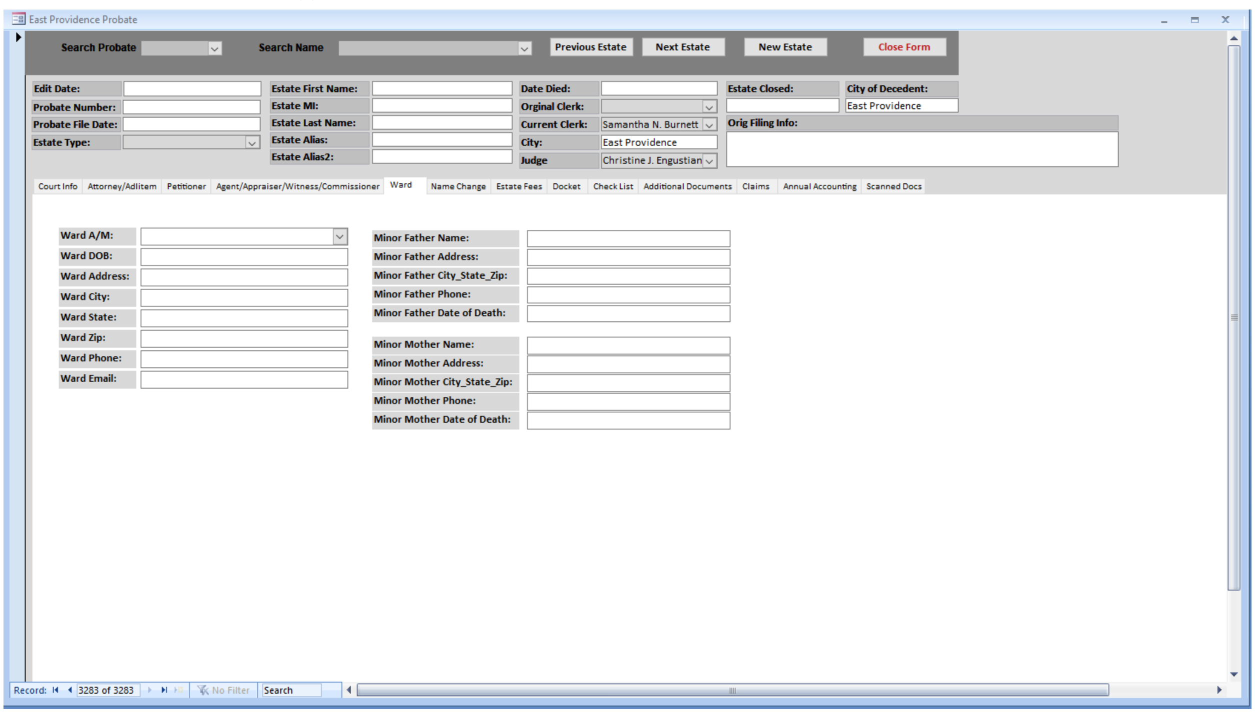


- Agent/Appraiser/Witness/Commissioner

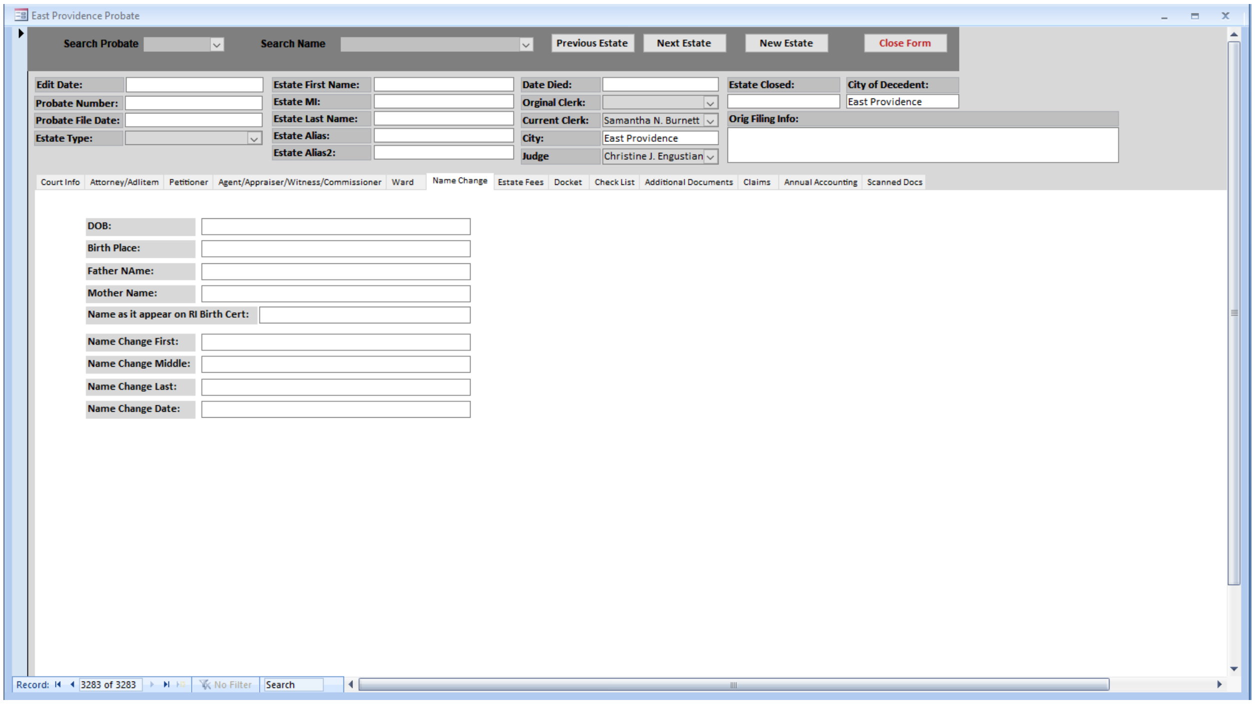




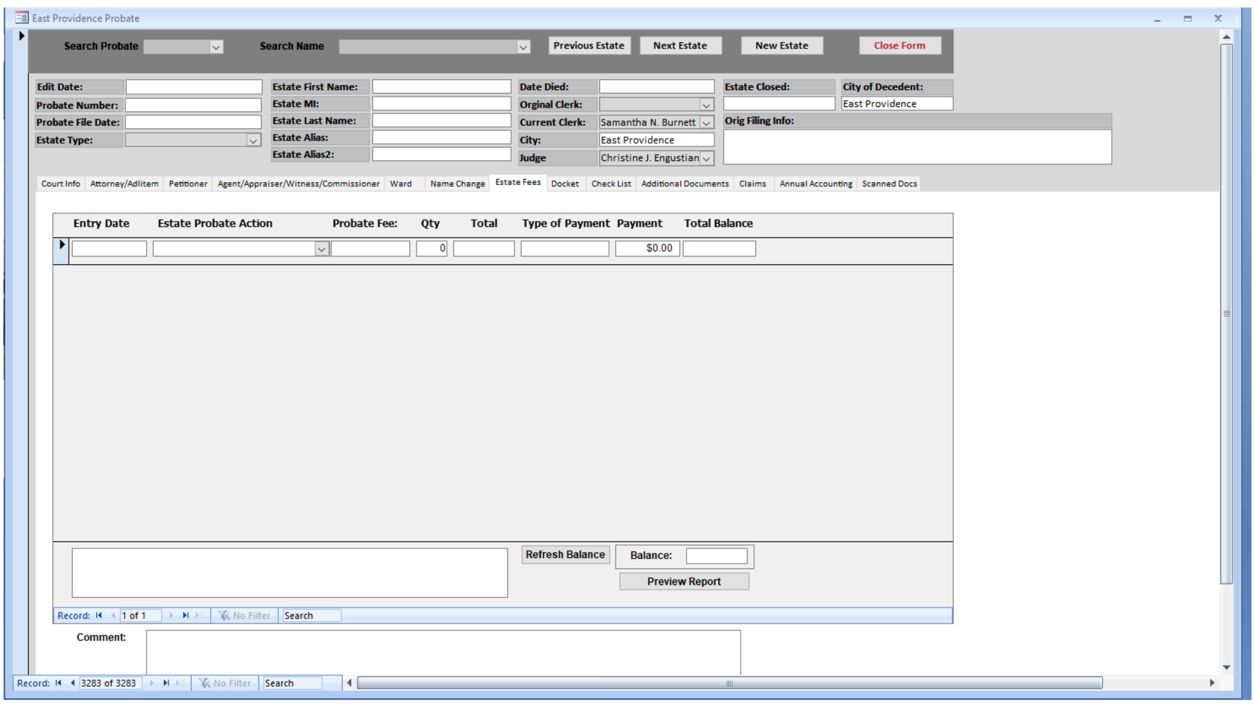
- Ward



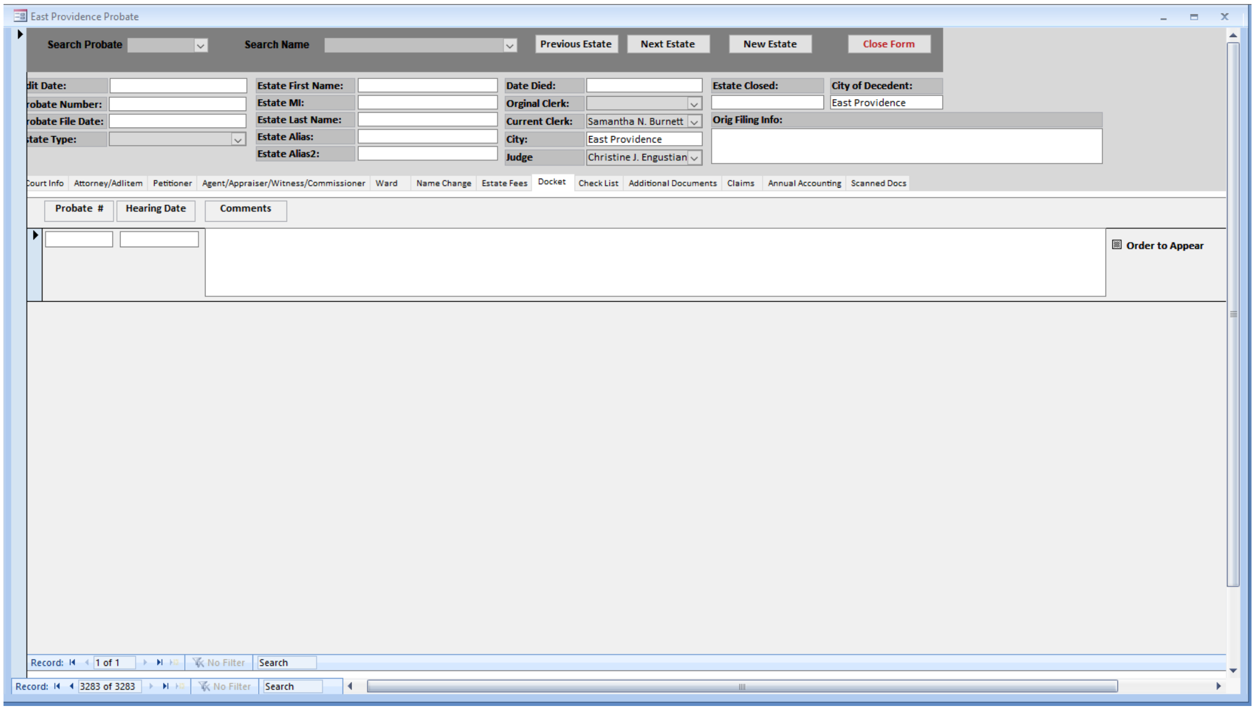
- Name Change



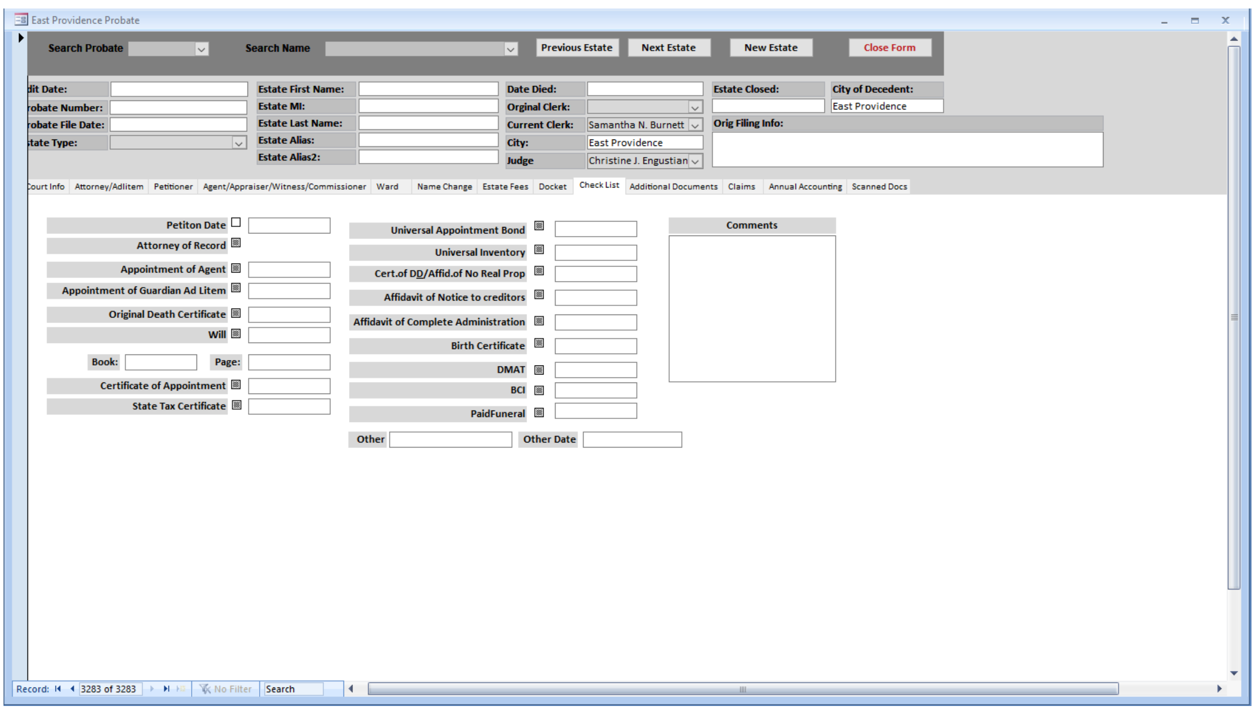
- Estate Fees



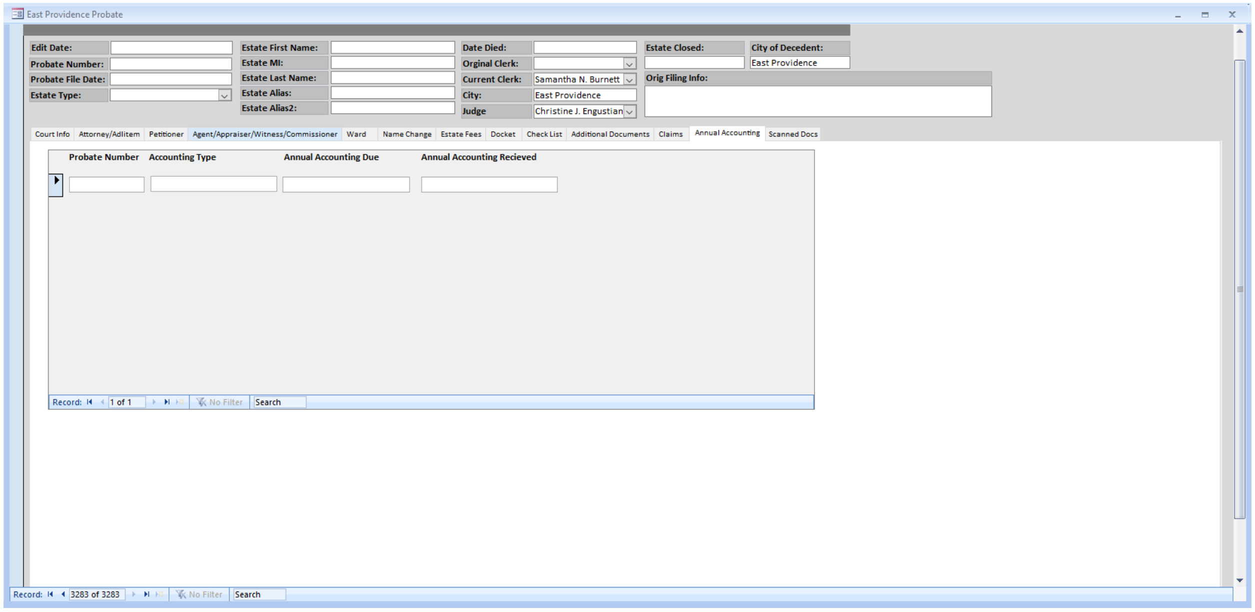
- Docket



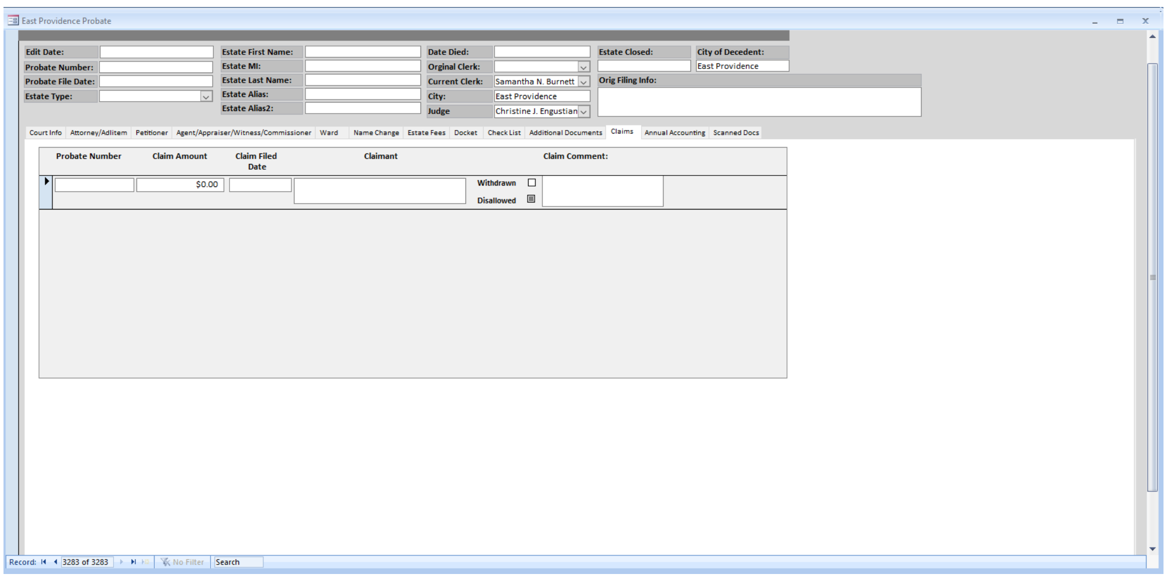
- Check List



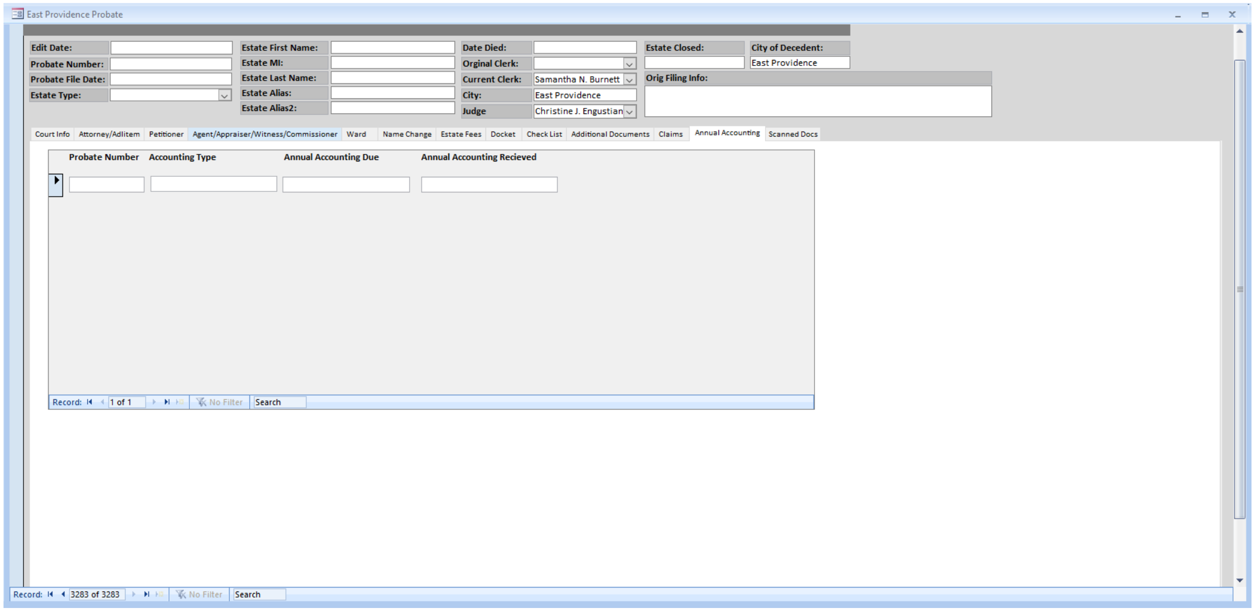
- Additional Documents



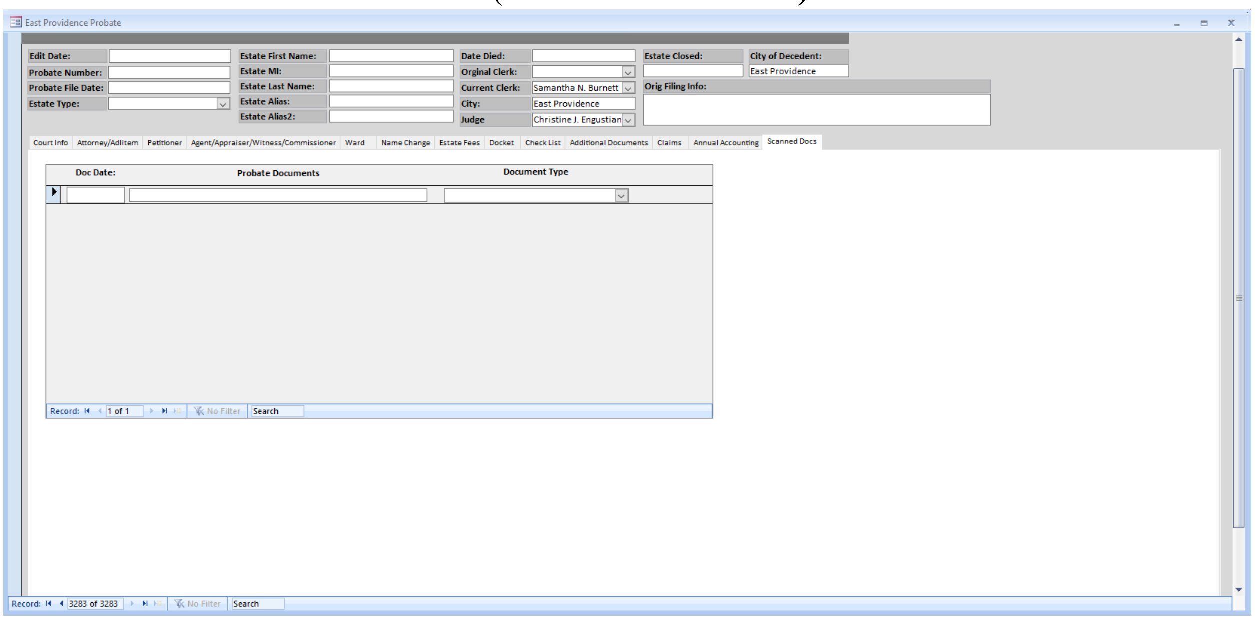
- Claims



- Annual Accounting



- Scanned Doc's (never used – not active)



Each of these tabs stores information pertinent to each file and is used daily. There are also tabs that are used to produce the following documents:

- Certificate of Appointment (original)
- Certified Copy – Certificate of Appointment
- Certificate of Authentication
- Certification of Copies – Clerk Only
- General Certification
- Office of the Clerk Certification

These documents pull information from the Open Input Probate Form portion of the database auto-filling each form.

- Another section of the database houses Probate Forms – also auto-filled from the Open Input Probate Form portion of the database. Those forms are as follows and are not provided on the Secretary of State website but are necessary for certain types of probate court filings. They are:

    - Appointment of Guardian Ad Litem
    - Citation in Conservatorship
    - Name Change
    - Universal Inventory
    - Inventory Personal Estate
    - Inventory Real Estate
- A third section of the database houses Attorney Information. Attorney name, name of firm, address, phone number, fax number, email address, bar number. All necessary fields that are integrated within the attorney tab of the Open Input Probate Form section.
- A fourth section allows for updates – something I never knew existed as of the date of this report. This section allows the user to add fields/categories that do not already exist regarding updates to the following lists:
    - Clerks
    - Estate Type
    - Document Type
    - Probate Fees
    - Qualification
- A fifth section allows for the printing of an index list. This list incorporates all filings within a specified date range.
- Sixth section allows for printing of the probate docket for court sessions. In order to print the docket, a hearing date must be entered. The current database will pull the file number, file name, attorney of record, and type of filing. It would be helpful if the docket pulled the information to be heard during that session and if the filing was advertised or on waiver as well. i.e. Miscellaneous Petition, Petition for Sale or Mortgage of Real Estate, etc.
- A seventh section allows for printing of overdue accountings.
- An eighth section prints active probate estates.
- A ninth allows for printing of open guardianship files only. This includes both adult and minor guardianships.
- A tenth allows for printing of closed probate files.
- How many custom reports need to be created in the proposed system?
    - Undetermined
- What is the current case management system in use?
    - LL Data is the current case management company that is utilized to date.
- How many court team users will utilize the new system?
    - All team members will need access to the system, however, the City Clerk, Deputy City Clerk and Municipal Services Clerk for Probate will be the key team members with special permissions to enter and/or modify information. A total of 7 team members is required.
- How many cases are processed annually on average?
    - Between 250-500 (estimated)
- How many cases are currently being e-filed annually on average?
    - None

- How many databases (examples: Case Management, Financials, Document Management) would need to be converted?
    - See IT - Kelly Aherns
- What size?
    - See IT – Kelly Aherns
- Can the Probate Court provide a list of integrations that would need to be included for the go live of the new Case Management System?
    - See attached Probate Software Suggestions
- Can vendors provide a detailed pricing grid in addition to the bid form provided by the City?
    - See Procurement Specialist – Controllers Office – Ralph Mitchell
- What is the estimated go-live for the system?
    - As soon as possible.
- Does the Court prefer the vendors to supply on-site implementation costs or remote implementation costs?
    - Both would be appreciated, however, this should be addressed to the Procurement Specialist – Controllers Office – Ralph Mitchell
- Does the Court prefer vendors to include travel costs in their total base price or list it as a separate line total?
    - See Procurement Specialist – Controllers Office – Ralph Mitchell
- Would the Court like vendors to include/show the total cost of ownership for the system for the next 5-10 years?
    - See Procurement Specialist – Controllers Office – Ralph Mitchell
- What types of payments does the court currently accept?
    - Cash, personal check, or money order only. NO credit, debit or ACH payments are accepted to date, however, the equipment to do so is installed but not active.
- What is the average transaction volume for each payment type currently processed?
    - Most transactions are check transactions (business and personal). Cash would be second and money orders would be third (very few money orders are processed).
- Would the court like the option to allow for online payments?
    - See Deputy City Clerk – Leah Stoddard and/or Controllers Office – Kim Brown
- Would the court like the option to allow for at-the-counter payments?
    - Yes.
- Would the court like the option to allow for over the pone payments through a vendor call center?
    - See Deputy City Clerk – Leah Stoddard and/or Controllers Office – Kim Brown
- How does the Court currently manage delinquent accounts and collections?
    - Invoices for accounts are sent as filings are submitted. Estates are not closed out until all fees are paid in full. There currently is not a program used to pull that information.

Probate Software RFP Suggestions

- Probate Case File Storage
    - Ability to upload and store information in a cloud based system.

    - Drag and drop feature to organize probate documents and forms with user friendly tagging options
    - Ability to have name lists for common names, attorneys for easy lookup
    - Numerous search criteria available to access a case
    - Search by case name, case number, filed dates, attorney, personal representatives, etc.
    - Public search available and set-up to meet county needs
    - Security requirements with various levels of access permissions

- Calendaring
    - Allowable feature to schedule and set reminders for upcoming deadlines and probate court dates
    - Once an event is created in the calendar, the ability to see the specific matter to which it relates and access the entire client file with one click would be useful. Events created or invitations accepted in Microsoft Outlook would be seamlessly added to and tracked by the software.
- Billing and Expense Tracking
    - Ability to manage fees and payments of probate cases
    - Software should allow and probate fee structure for each case, the ability to print out a record for clients to view charges and track payments made within the case file
    - Generate an email from the toolbar and have the software fill out the addresses and subject lines automatically based on the users preference
- Track Legal Tasks
    - Checklists to assist the clerk and clients manage each and every legal task required including reminders and documents directly from the file and then transfer the document or email to others on the task
    - Set the next task as Next Step to know where every matter stands
    - Task and document checklists allow the clerk to track progress on probate cases and when each task is completed
- Management of Client Information
    - Client intake and onboarding process should be streamlined
    - All information about a probate client and the applicable case should be made available from anywhere within the software
    - Linked to email software, every email sent and received should be saved into one place, tagged to the related matter and accessible in the database. Seamless integration with Microsoft Outlook allows the user to type in the name of the file and the email should appear automatically. Responses on the email chain would automatically filter into the same file. The user would have the choice as to whether which email attachments follow the email into the database. This avoids dragging and dropping and saving the email(s) in multiple places. With a digital file, the clerk has the ability to collaborate with other clerks in the office,

additionally giving access to every file and allowing anyone in the office to pick up where the probate clerk left off. Also, emails would not be mistakenly sent to a person not associated with the matter.
  - Emails saved to the database should be searchable and stay in the database as long as necessary, easily searchable and accessible.
  - Word Add-In can also show all database matter info side by side with a documents so you don't have to switch programs to get important information from the file while drafting.
- InfoTrack and DocuSign
  - The software could provide the user with DocuSign
  - Ability to create a document from an extensive legal form library, insert DocuSign signature clauses, and email to recipients with a few clicks. Optional buttons could also be added – radio buttons, check boxes, text boxes and or supplemental documents that the clerk wants the client to read and accept.
  - The software should store a record of all documents out for signature and which documents have come back signed.
  - An email alert would be received by the clerk when the recipient has reviewed and signed the document and a copy of that signed document would be automatically saved in the software
- Mobile App for iPhone and Android devices
  - Allows the clerk to access probate information anywhere
  - Allows access to calendars and file management, emails, documents, tasks, memos, and contacts with unlimited cloud backup storage
- Automated Forms
  - Information entered into the database should be automatically pulled in from the case file eliminating the need to find documents online and type in or handwrite information before submitting to the court

- Zoom
  - Zoom integration provides a seamless way to continue day to day work
  - The integration allows users to add meetings to their Events, start meetings directly from the software and accurately track time spent in Zoom meetings and save video meetings where applicable
- Law Tool Box
  - Rule-based deadline calculation saves the clerk from manually calculating deadlines. The user would enter matter information into the database into the database once and the software would use that data to determine all necessary deadlines for a given case.
  - Software would constantly be updated and in alignment with rule changing and would notify users when a rule change will affect their case, minimizing the risk of deadline-related issues
  - One step process for receipting/docketing of a case
  - Automatic generation upon new docket filing
  - Ability to copy and paste information within a case across fields

- Ease of navigation through case file and ability to capture pertinent information (e.g., guardians)
- Full case history is easily viewed with valuable details
- Ease of scanning and enhancing images directly in the system
- Ability to generate reports directly from the case
- Triggers available to auto-populate case fields and generate reminders and delinquency reports.
- Online submission of petitions for probate and marriage licenses
- Ability to electronically transmit files to other governmental office

- Wills for Safekeeping
  - Our solution includes the ability to securely store and process will transactions. Automate and streamline the workflow for government offices, easing the process for filing, storing, and providing permission-based access to documents. Features include:
    - Secure access to private information
    - Electronic certification
    - Reporting and tracking of filed and recorded wills
    - Provide a flexible capture and repository to support different types of wills
- Security
  - Disaster recovery and security are major components of the system. All electronic data, records, and images are secured, backed-up, and can be stored at an off-site location.
  - Redundant servers assure that there will not be any downtimes. Data is protected through firewalls and secure passwords. Archiving from image to film can also be provided, if desired.
  - Highlights include:
  - High availability through redundant servers, multiple retention formats, and geographic replication of information
  - Advanced security protection that continually monitors for threats and the application of threat mitigations
  - Secure transfer of data for on location retention of client information
  - The retention capabilities are advanced and leverage the latest state-of-the-art practices and capabilities in secure document retention.
  - Ability to secure adoption and any other secure/sealed files
  - Ability to secure and seal cases or information within cases or case types
  - Tasks available to allow county to add/revise historical cases / docket
  - Audits are available for all actions done in system
  - Various levels of security and permissions are available
  - Robust reporting available to meet all reporting requirements