**STATE OF MAINE**

**Maine Commission on Indigent Legal Services**



**RFP# 202307163**

**Case Management and Billing Application**

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| **RFP Coordinator** | *All communication regarding the RFP must be made through the RFP Coordinator identified below*.  **Name:** James Billings, Esq. **Title:** Executive Director  **Contact Information:** [jim.billings@maine.gov](mailto:jim.billings@maine.gov) |
| **Submitted Questions Due** | *All questions must be received by the RFP Coordinator identified above by:*  **Date:** August 25, 2023, no later than 11:59 p.m., local time |
| **Proposal Submission** | *Proposals must be received by the Division of Procurement Services by:*  **Submission Deadline:** September 14, 2023, no later than 11:59 p.m., local time.  *Proposals must be submitted electronically to the following address:*  **Electronic (e-mail) Submission Address:** [Proposals@maine.gov](mailto:Proposals@maine.gov) |

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PUBLIC NOTICE

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**State of Maine**

**Maine Commission on Indigent Legal Services**

**RFP# 202307163**

**Case Management and Billing Application**

The State of Maine is seeking proposals for a case management and billing application to permit the Maine Commission on Indigent Legal Services to provide oversight of its attorneys, and for those attorneys to bill the Commission for the legal services they provide.

A copy of the RFP, as well as the Question & Answer Summary and all amendments related to the RFP, can be obtained at: <https://www.maine.gov/dafs/bbm/procurementservices/vendors/rfps>

Proposals must be submitted to the State of Maine Division of Procurement Services, via e-mail, at: [proposals@maine.gov](mailto:proposals@maine.gov). Proposal submissions must be received no later than 11:59 p.m., local time, on September 14, 2023. Proposals will be opened the following business day. Proposals not submitted to the Division of Procurement Services’ e-mail address by the deadline will not be considered for contract award.

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**RFP TERMS/ACRONYMS with DEFINITIONS**

The following terms and acronyms, as referenced in the RFP, shall have the meanings indicated below:

|  |  |
| --- | --- |
| **Term/Acronym** | **Definition** |
| **Department** | Maine Commission on Indigent Legal Services |
| **RFP** | Request for Proposal |
| **State** | State of Maine |
| **MCILS** | Maine Commission on Indigent Legal Services |
| **CGI** | Common Global Implementation |
| **LEDES** | Legal Electronic Data Exchange Standard |
| **UTBMS** | Uniform Task-Based Management System |
| **UI** | User Interface |
| **GUI** | Graphical User Interface |
| **UX** | User Experience |
| **ASP** | Application Service Provider |
| **XML** | Extensible Markup Language |
| **SFTP** | Secure File Transfer Protocol |
| **POC** | Point of contact information |
| **CLE** | Continuing legal education |
| **YTD** | Year-To-Date |
| **SQL** | Structured Query Language |
| **PDF** | Portable Document Format |
| **CSV** | Comma-separated values |
| **BAFO** | Best and Final Offer |
| **RBCA** | Role Based Access Control |
| **SaaS** | Software As a Service |
| **RTO** | Recovery Time Objective |
| **RPO** | Recovery Point Objective |
| **Tier 1** | MCILS Admin Users |
| **Tier 2** | MCILS Staff Users |
| **Tier 3** | Financial Screeners |
| **Tier 4 (a)** | Public Defender |
| **Tier 4 (b)** | Contract Counsel |
| **Tier 5** | Vendors |
| **SLA** | Service Level Agreement |
| **MR** | Miniumim Requirements |

**State of Maine – Commission on Indigent Legal Services**

**RFP# 202307163**

**Case Management and Billing Application**

# **PART I INTRODUCTION**

## Purpose and Background

The Maine Commission on Indigent Legal Services (Department/Commission/MCILS) is seeking a case management and billing application as defined in this Request for Proposal (RFP) document. This document provides instructions for submitting proposals, the procedure, and criteria by which the awarded Bidder will be selected and the contractual terms which will govern the relationship between the State of Maine (State) and the awarded Bidder.

The Commission is responsible for identifying, qualifying, and overseeing appointed counsel for consumers of indigent legal services in Maine. The Commission deploys both employee attorneys and contracted attorneys to serve consumers. The Commission needs a case management and billing application that will allow it to perform appropriate oversight of attorney eligibility, work, and performance, and that will allow contract attorneys to bill the Commission for the legal services each provides.

At the time of this document, MCILS maintains a roster of 214 private attorneys, and employs five defenders. MCILS was recently authorized by its legislative committee of jurisdiction to pursue hiring 23 additional employed defenders and support staff. Budget authorization is pending. Any application or product designed or acquired through this project must scale to accommodate up to 600 assigned counsel and up to 250 employed positions. With increasing caseloads and the imminent advent of employed defenders for whom there is no current case management solution of any kind, MCILS is requesting a two-step software implementation strategy to help provide public defender representation consistent with the Constitutionally mandated standard.

MCILS will use the application for three primary areas:

1. Administer the eligibility of counsel to participate in our program overall, and to participate in specific subject matter lists, and to communicate that eligibility to the Court for their purpose of assigning counsel. The application is used to manage attorney information, vendor code for payments, communications function to counsel.
2. The application must be used for attorney tracking and case management. The application then compares the nature of the offense, the defendant, and compares to the attorneys on file. They match for geography (by county) and MCILS’s approval of attorneys for certain practice areas.
3. The attorneys must record their time for the representation. They submit their voucher, and they are paid through the process discussed above. The application needs to include the suite of case management functions.

## General Provisions

* 1. From the time the RFP is issued until award notification is made, all contact with the State regarding the RFP must be made through the RFP Coordinator. No other person/ State employee is empowered to make binding statements regarding the RFP. Violation of this provision may lead to disqualification from the bidding process, at the State’s discretion.
  2. Issuance of the RFP does not commit the Department to issue an award or to pay expenses incurred by a Bidder in the preparation of a response to the RFP. This includes attendance at personal interviews or other meetings and software or application demonstrations, where applicable.
  3. All proposals must adhere to the instructions and format requirements outlined in the RFP and all written supplements and amendments (such as the Summary of Questions and Answers), issued by the Department. Proposals are to follow the format and respond to all questions and instructions specified below in the “Proposal Submission Requirements” section of the RFP.
  4. Bidders will take careful note that in evaluating a proposal submitted in response to the RFP, the Department will consider materials provided in the proposal, information obtained through interviews/presentations (if any), and internal Departmental information of previous contract history with the Bidder (if any). The Department also reserves the right to consider other reliable references and publicly available information in evaluating a Bidder’s experience and capabilities.
  5. The proposal must be signed by a person authorized to legally bind the Bidder and must contain a statement that the proposal and the pricing contained therein will remain valid and binding for a period of 180 days from the date and time of the bid opening.
  6. The RFP and the awarded Bidder’s proposal, including all appendices or attachments, will be the basis for the final contract, as determined by the Department.
  7. Following announcement of an award decision, all submissions in response to this RFP will be public records, available for public inspection pursuant to the State of Maine Freedom of Access Act (FOAA) ([1 M.R.S. § 401](http://www.mainelegislature.org/legis/statutes/1/title1sec401.html) et seq.).
  8. The Department, at its sole discretion, reserves the right to recognize and waive minor informalities and irregularities found in proposals received in response to the RFP.
  9. All applicable laws, whether herein contained, are included by this reference. It is the Bidder’s responsibility to determine the applicability and requirements of any such laws and to abide by them.

## Eligibility to Submit Bids

Bidders who meet the requirements below are invited to submit proposals in response to this RFP:

* 1. Must have successfully implemented within the last five (5) years a Legal Case Management Solution (similar to the system described in Part II) for at least one (1) U.S. based Public Sector (e.g., for Federal, state, or local government) governments.
  2. Be able to have all offsite work delivered by the assigned Project team within the continental United States (U.S.).

## Contract Term

The Department is seeking a cost-efficient proposal to provide services, as defined in the RFP, for the anticipated contract period defined in the table below. Please note, the dates below are estimated and may be adjusted, as necessary, to comply with all procedural requirements associated with the RFP and the contracting process. The actual contract start date will be established by a completed and approved contract.

Contract Renewal: Following the initial term of the contract, the Department may opt to renew the contract for two renewal periods, as shown in the table below, and subject to continued availability of funding and satisfactory performance.

The term of the anticipated contract, resulting from the RFP, is defined as follows:

|  |  |  |
| --- | --- | --- |
| **Period** | **Start Date** | **End Date** |
| Initial Period of Performance | December 1, 2023 | November 30, 2026 |
| Renewal Period #1 | December 1, 2026 | November 30, 2028 |
| Renewal Period #2 | December 1, 2028 | November 30, 2030 |

## Number of Awards

The Department anticipates making one (1) award as a result of the RFP process.

# **PART II SCOPE OF SERVICES TO BE PROVIDED**

**Overview**

1. The Maine Commission on Indigent Legal Services (MCILS) seeks a COTS-SaaS application that will permit MCILS to enroll and qualify assigned counsel; to determine whether assignments made to assigned counsel are consistent with counsel eligibility; to track and review time assigned counsel expend on cases; to receive invoices from assigned counsel; and to direct payment to assigned counsel through the Controller’s Office. The application must further provide legal case management capabilities to internally employed staff and defenders.
2. MCILS prefers an application that permits assigned counsel to use the application as their own case, document, and time management system.
3. Similarly, MCILS prefers an application that permits assigned counsel to use the application from mobile devices, either through a browser or an application.
4. The awarded Bidder will utilize best practice application design.
5. The proposed application must comply with the entire suite of I.T. policies ([https://www.maine.gov/oit/policies-standards](https://www.maine.gov/oit/policies-standards.)). Special attention must be paid to the following policies/procedures:
6. [General Architecture Principles](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.maine.gov%2Foit%2Fsites%2Fmaine.gov.oit%2Ffiles%2Finline-files%2Fgeneral-architecture-principles_1.pdf&data=04%7C01%7CPatrick.J.Williams%40maine.gov%7Ce1dfbce4c21a4865da7e08d9fbaa1d6c%7C413fa8ab207d4b629bcdea1a8f2f864e%7C0%7C0%7C637817530325341336%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=ApKImh1cve9O2tVG2cG2BBBP2jMIyxhEiAdllY19CzU%3D&reserved=0)
7. [System and Services Acquisition Policy and Procedures (SA-1)](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.maine.gov%2Foit%2Fsites%2Fmaine.gov.oit%2Ffiles%2Finline-files%2Fsystem-services-acquisition-policy.pdf&data=04%7C01%7CPatrick.J.Williams%40maine.gov%7Ce1dfbce4c21a4865da7e08d9fbaa1d6c%7C413fa8ab207d4b629bcdea1a8f2f864e%7C0%7C0%7C637817530325341336%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=0kcdNH%2FOaytbcH8FJBMr5WiZ5fPM%2BpYFKB1H0YhHoT4%3D&reserved=0)
8. [Application Deployment Certification Policy](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.maine.gov%2Foit%2Fsites%2Fmaine.gov.oit%2Ffiles%2Finline-files%2Fapplication-deployment-certification_0.pdf&data=04%7C01%7CPatrick.J.Williams%40maine.gov%7Ce1dfbce4c21a4865da7e08d9fbaa1d6c%7C413fa8ab207d4b629bcdea1a8f2f864e%7C0%7C0%7C637817530325341336%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=ImIR9z4lZMAZd3Js5vEgoK3i0Zh63ceVevXV9n0wW3U%3D&reserved=0)
9. [Digital Accessibility and Usability Policy](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.maine.gov%2Foit%2Fsites%2Fmaine.gov.oit%2Ffiles%2Finline-files%2Fdigital-accessibility-policy.pdf&data=04%7C01%7CPatrick.J.Williams%40maine.gov%7Ce1dfbce4c21a4865da7e08d9fbaa1d6c%7C413fa8ab207d4b629bcdea1a8f2f864e%7C0%7C0%7C637817530325341336%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=G%2Bg%2FvjB8j0OSSoJTUEB8LvjpKnDixi4oYXUvVm20O3k%3D&reserved=0)
10. [Remote Hosting Policy](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.maine.gov%2Foit%2Fsites%2Fmaine.gov.oit%2Ffiles%2Finline-files%2Fremote-hosting-policy.pdf&data=04%7C01%7CPatrick.J.Williams%40maine.gov%7Ce1dfbce4c21a4865da7e08d9fbaa1d6c%7C413fa8ab207d4b629bcdea1a8f2f864e%7C0%7C0%7C637817530325341336%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=s%2Fh4MCdpiCVnh72Pzc%2FRA5U6BK4K%2FUfgucvU6lg%2BQpE%3D&reserved=0)
11. [Data Exchange policy](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.maine.gov%2Foit%2Fsites%2Fmaine.gov.oit%2Ffiles%2Finline-files%2Fdata-exchange-policy.pdf&data=04%7C01%7CPatrick.J.Williams%40maine.gov%7Ce1dfbce4c21a4865da7e08d9fbaa1d6c%7C413fa8ab207d4b629bcdea1a8f2f864e%7C0%7C0%7C637817530325341336%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=5Q0VRIRCQTj2k9uwNWawLZMm%2BMqa6D739HyIjr24N%2BI%3D&reserved=0)
12. [Information Security Policy](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.maine.gov%2Foit%2Fsites%2Fmaine.gov.oit%2Ffiles%2Finline-files%2Finformation-security-policy.pdf&data=04%7C01%7CPatrick.J.Williams%40maine.gov%7Ce1dfbce4c21a4865da7e08d9fbaa1d6c%7C413fa8ab207d4b629bcdea1a8f2f864e%7C0%7C0%7C637817530325341336%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=Epiij3IPqcHR9cybX6eX7E%2Fq%2B53im5v1OHS1%2BzV4tsU%3D&reserved=0)
13. [Access Control Policy](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.maine.gov%2Foit%2Fsites%2Fmaine.gov.oit%2Ffiles%2Finline-files%2Faccess-control-policy.pdf&data=04%7C01%7CPatrick.J.Williams%40maine.gov%7Ce1dfbce4c21a4865da7e08d9fbaa1d6c%7C413fa8ab207d4b629bcdea1a8f2f864e%7C0%7C0%7C637817530325341336%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=%2BI3wYM%2Fli1%2BYv48gnxz%2FVx017RzOPprNi6awoOF4flk%3D&reserved=0)
14. [Access Control Procedures for Users](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.maine.gov%2Foit%2Fsites%2Fmaine.gov.oit%2Ffiles%2Finline-files%2Faccess-control-procedures-for-users.pdf&data=04%7C01%7CPatrick.J.Williams%40maine.gov%7Ce1dfbce4c21a4865da7e08d9fbaa1d6c%7C413fa8ab207d4b629bcdea1a8f2f864e%7C0%7C0%7C637817530325341336%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=FaMuZx%2BS5VWC9yRcful5z3JU0M5LRR65nRnU4bPQdu0%3D&reserved=0)
15. [Risk Assessment policy](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.maine.gov%2Foit%2Fsites%2Fmaine.gov.oit%2Ffiles%2Finline-files%2Frisk-assessment-policy-procedure.pdf&data=04%7C01%7CPatrick.J.Williams%40maine.gov%7Ce1dfbce4c21a4865da7e08d9fbaa1d6c%7C413fa8ab207d4b629bcdea1a8f2f864e%7C0%7C0%7C637817530325341336%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=mDLvFOmO1nGEzX1uWsFKFiOjLs%2FeeqdEShMAbjCQpQM%3D&reserved=0)
16. [Vulnerability Scanning Procedure](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.maine.gov%2Foit%2Fsites%2Fmaine.gov.oit%2Ffiles%2Finline-files%2Fvulnerablity-scanning-procedure.pdf&data=04%7C01%7CPatrick.J.Williams%40maine.gov%7Ce1dfbce4c21a4865da7e08d9fbaa1d6c%7C413fa8ab207d4b629bcdea1a8f2f864e%7C0%7C0%7C637817530325341336%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=fbqQeerpb%2Fwrufu82AXRFrT8oTu1cli1Ym%2BoDRFIL6k%3D&reserved=0)
17. [Security Assessment and Authorization Policy](https://www.maine.gov/oit/sites/maine.gov.oit/files/inline-files/SecurityAssessmentAuthorizationPolicy.pdf)
18. [System and Information Integrity Policy](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.maine.gov%2Foit%2Fsites%2Fmaine.gov.oit%2Ffiles%2Finline-files%2Fsystem-information-integrity-policy.pdf&data=04%7C01%7CPatrick.J.Williams%40maine.gov%7Ce1dfbce4c21a4865da7e08d9fbaa1d6c%7C413fa8ab207d4b629bcdea1a8f2f864e%7C0%7C0%7C637817530325341336%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=RW15TlAUtBCYsgXU8gMjfpVLCgpSXjwaRN0HPPDRvXU%3D&reserved=0)
19. [Configuration Management Policy](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.maine.gov%2Foit%2Fsites%2Fmaine.gov.oit%2Ffiles%2Finline-files%2Fconfiguration-management-policy.pdf&data=04%7C01%7CPatrick.J.Williams%40maine.gov%7Ce1dfbce4c21a4865da7e08d9fbaa1d6c%7C413fa8ab207d4b629bcdea1a8f2f864e%7C0%7C0%7C637817530325341336%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=qoVe5EtUDrz4eyoSwJKDxs5K0Jwi5TC9ablTwXM85kI%3D&reserved=0)
20. [Business Continuity and Disaster Recovery Policy](https://www.maine.gov/oit/sites/maine.gov.oit/files/inline-files/BusinessContinuityDisasterRecoveryPolicy.pdf)

In addition to the documents listed above, the solution must achieve the NIST 800-53 Rev 5 for the remaining security and privacy control families, to a security baseline appropriate to the impact level of the data as determined by the agency.

1. Physical and Environmental Protection;
2. Awareness and Training;
3. Planning;
4. Audit and Accountability;
5. Assessment, Authorization, and Monitoring;
6. Personnel Security;
7. PII Processing and Transparency;
8. Contingency Planning;
9. Identification and Authentication;
10. Incident Response;
11. System and Communications Protection;
12. Maintenance;
13. Media Protection; and
14. Supply Chain Risk Management to a security baseline appropriate to the impact level of the data as determined by the agency.
15. The awarded Bidder must provide adequate staffing to successfully implement the solution with minimum dependence on State personnel. The awarded Bidder has primary responsibility to staff product installation, package validation/due diligence, training, and statewide installation as well as on-going software support.

## Requirements

The following is a list of general requirements for the case management application that is the subject of this RFP. More specific technical requirements begin at Section 4 below.

1. **General Requirements**

The proposed case management application must do the following**:**

* 1. Exchange information with the State of Maine Judicial Branch case management application and the State financial application to permit the exchange of appropriate data to support the business process.
  2. The application must prepare, transmit, and receive formatted data to and from the Maine Judicial Branch applications.
  3. The application must be able to do field-mapping.
  4. Tracking and Case Progress
     1. Assign unique identifiers upon opening a case report and provide a complete record of information gathered. Allow segregation of cases by court, charge, lawyer, and client.
        1. Provide for the on-line ability to track case progress from the time a case is generated through the time that it is closed.
        2. Provide the ability to reopen cases later.
  5. Organization of Information
     1. Provide a logical structure to record information collected during different phases of the case. Information entry should proceed logically with association of different screens as necessary for each type of case.
  6. Administrative Review
     1. Provide the ability for administrative case and lawyer review and oversight, from within the application, for each case.
        1. This feedback mechanism must produce an audit trail to show when and if a report has been updated by a user.
        2. Requires ability to log any outside reports or testing requested and the date they are received.
  7. Time and Billing Entry
     1. Allow assigned counsel to enter their time into an MCILS controlled billing application and must allow the MCILS to generate a payment order within billing application to the State of Maine Revenue Service for payment to assigned counsel. The State of Maine currently uses the CGI AdvantageME accounting application to administer those payments.
  8. Ownership of Information
     1. Recognize and maintain the MCILS’s control and ownership of the information on the application.
  9. Provide sufficient storage capacity to indefinitely store all Application data either manually entered or automatically generated by the application either in response to user inputs or as a function of the application’s logging rules.
  10. Reporting
      1. The application must have a comprehensive reporting capability to allow for the easy creation of reports of data existing within the computer application. All information must be available in real time.
      2. The application must provide the capability to produce reports through their proposed Case Management application.  All reports must have sort capability at multiple levels on any data element on the report.  Reports must include, but are not limited to:
         1. Standard Reports – Provide the ability to produce final reports that integrate preestablished information.
         2. Ad Hoc Reports – Provide the capability to support ad hoc queries to be performed on any specific field or combination of fields.  See additional reporting requirements below in Section 28.
  11. The application must provide MCILS with:
      1. a method for accurately tracking and monitoring caseloads of assigned, contract, and employee counsel;
      2. an assigned counsel voucher review and payment authorization application; and
      3. the ability to accurately collect, record and report detailed expenditure and case load data.
  12. Support/be supported by commonly used Internet browsers without requiring browser upgrades or plug-ins. Those browsers should minimally include: Google Chrome, Mozilla Firefox, Safari, and Microsoft Edge.
  13. Be user-friendly and must accommodate a wide variety of users with varying technical competence in computer software and case management applications. To that end, the application should have an intuitive UX, UI, GUI such that users of with varying sophistication for the end users.
  14. Allow for Role Based Access Control.
  15. Possess application administration functions that allow management to grant permissions for capabilities such as:
      1. Security administration
      2. Reference table maintenance.
  16. Convert, support, or otherwise incorporate all existing historical data such that that data is accessible in the proposed case management application.
  17. Import time entry and case information through LEDES and/or UTBMS standards.
  18. Easily retrieve data archived from previous years, with no limit on the number of years of data that can be archived.
  19. Provide auto fill and edit check when possible.

1. **Documentation and User Help**
   1. The provider of the application must develop and produce to MCILS documentation sufficient to allow all new users to effectively use all application functionality available to them.
   2. The documentation should be divided by User category and should be sufficiently compartmentalized.
   3. User help must be provided in various forms so that users may easily engage with that help or documentation including as:
      1. Online documentation as outlined above;
      2. Context sensitive tool-tips or links;
      3. Current field prompts;
      4. Training facility for core capabilities.
2. **Hosting of the application** is expected to be via Software As a Service (SaaS), which must provide for appropriate security and backup capabilities:

**Security**

1. The software must provide standard security including, but not limited to, the following features:
   * 1. Unique user ID for each user.
     2. Two factor authentication and passwords that expire on an application administrator-defined schedule and that can be changed at any time by an authorized individual.
     3. Restrict access to the application and/or function within the tool by user ID.
     4. Role Based Access Control (RBAC) to all data and to the applications software.
     5. It should also require passwords be changed on a regular schedule set by the application administrator.
     6. The application must implement logging for all activities that occur in-platform in a way that maintains evidence of all edits of existing data made by any User.
     7. Where Users are required to enter information into web forms, the application should sanitize the data submitted to the web form such that the User cannot inject malicious code
     8. To guard against additional malicious activity, the application should implement a monitoring process that identifies abnormal application behavior indicative of unauthorized application access.
     9. Users should be prevented from using reusing previously used passwords to protect against targeted attacks using data breach data
     10. The application must implement a secure passwords scheme which requires sufficiently complex passwords to prevent brute force attacks on the application.
     11. Protect from unauthorized access to both the database(s) and application modules.
     12. Security must be defined as RBAC basis, consistent with their organization’s operational authority or their specific job responsibilities, such as:
         1. Read only, printing of selected reports
         2. Read only of all agency designee’s data and printing of all reports for any agency designee
         3. Managing application administration, all inputs, all printing
     13. Have ability to override user-defined security levels to permit global access of specific information as determined by a central administrator and include safeguarding from unauthorized modifications to the software tools.
     14. Transmit data via a secured method to ensure all data remains confidential.  (The bidder must specify in the proposal the encryption method used).

**Disaster Recovery and Back Up**

* 1. The application must include procedures to ensure that, in the event of data loss, at any scale, for any reason, that the lost data is recoverable.
  2. Data recovery must be robust, professionally managed, and available 24/7, 365 days a year.
  3. Application must have 99.9% Uptime, RTO of 4 hours and RPO of 2 hours. However, it is desired that the RTO would be 2 hours and the RPO would be 1 hour, and the scoring will weight scores for submittals that achieve these higher benchmarks.

The awarded Bidder must provide a reasonable SLA, containing disaster recovery information similar to the example shown directly below.

|  |  |  |  |
| --- | --- | --- | --- |
| **Severity Level** | **Example** | **Acknowledgment of Error Notice** | **Response Goal** |
| **High/Site Down** | - Complete shutdown or partial shutdown of one or more Software functions  - Access to one or more Software functions not available  - Major subset of Software application impacted that is necessary for usage of the software | Within one (1) hour of initial notification during business hours or via support.imagetrend.com | Six (6) hours |
| **Medium** | - Minor sub application failure  -Data entry or access impaired on a limited basis. | Within four (4) hours of initial notification | 24 Business hours |
| **Low** | - User error (i.e. training) or forgotten passwords  - Issue can or must be delegated to local Client contact as a first level of response for resolution | Same day or next business day of initial notification | As appropriate depending on nature of issue and party responsible for resolution |

1. **Specific Technical Requirements**

The following is a list of specific technical requirements consistent with the general technical requirements above.

* 1. Different User Categories
     1. The application must permit and accommodate different user categories with differing permissions levels.
     2. Additionally, the application should be able to accommodate the creation of new user categories with differing permissions as may be later required or defined and should have the ability to define unique user permissions within each User category.
     3. The application should also ship with pre-defined “test users” such that MCILS leadership can test all functionality available to all users. The relevant default user categories are as follows:
  2. Tier 1 MCILS Admin Users
     1. Tier 1 users are responsible for overseeing the attorneys appointed to represent clients. As a result, they must have access to all information contained on the application.
     2. Tier 1 users should have permissions to edit all data entries on the application in a manner that retains evidence of the change, and users should also be provided read access to the underlying database.
  3. Tier 2 MCILS Staff Users should have permissions to edit only the information which is required to use the functions and features available to them or as otherwise described in this document.
  4. Tier 3 Financial Screeners
     1. Tier 3 Users must have access to attorney voucher reports for specific clients.
     2. They must also have the permissions to both access and edit client eligibility data.
     3. They must not have access to other data on the application and must not have the ability to modify any data on the application.
  5. Tier 4(a) Public Defender and Tier 4(b) Contract Counsel
     1. All Tier 4 users are responsible for recording client, case, and billing information on the application. Therefore, they must have the permissions necessary to use the functions and features available to them or as otherwise described in this document. Tier 4 users should also generate reports and view data related to only that Tier 4 User’s caseload and performance.
     2. However, where individual Tier 4 users share an office or firm, they will have access to other Tier 4 users’ vouchers and reports where such firm permissions are granted.
  6. Tier 5 Vendors
     1. Tier 5 Users should have the ability to enter and update vendor demographic and financial information.
     2. They should also have the ability to review the status of requests for payment, submit invoices, and should be able to submit information to MCILS in response to requests for information.
     3. Tier 5 Users must not have any ability to edit other information on the application except as otherwise described in this document.

1. **Attorney Information Management**
   1. To effectively administer billing management and performance oversight, it is necessary for MCILS to capture and analyze attorney information.
      1. The application must provide mechanisms for collecting, organizing, and analyzing information within “attorney profiles” which are unique to each eligible Attorney User.
      2. Each attorney’s profile should house all information relevant to that attorney including case data.
   2. To facilitate the tracking of individual attorney caseload data, the application should incorporate a weighted-score case load standard to be defined by MCILS.
      1. The application should either import a properly formatted document incorporating the case load standard or provide an in-platform mechanism for setting and editing the case load standard.
      2. The application must enforce baseline case load limits based on the pre-defined criteria provided by MCILS and should also allow MCILS Internal Users to set case load limits by attorney.
      3. The application should further allow Attorneys to set their own case load limits in total and by case type and court.
   3. Attorney Users will need access to their own metrics and information in a way that is useful and actionable.
      1. The application should therefore push quarterly reports to Attorney Users or display such metrics on the Attorney User’s dashboard or home screen.
      2. The report or dashboard should minimally contain the attorney’s current case load including the weighted case load number and raw number of clients and cases, along with the total hours worked that quarter.
      3. The application should provide Attorney Users the ability to add data elements to these reports but should not allow them to reduce them beyond the minimal amount stated above.
      4. Moreover, attorneys should have access to their own metrics so that they may check their numbers at any time and should not have access to any other attorney’s data.
2. **Attorney Eligibility** 
   1. MCILS is responsible for designating which attorneys are eligible to receive assignments to represent indigent clients.
   2. Attorneys may be eligible both generally and specifically about some categories of complicated cases as well as with respect to which counties they accept cases in.
      1. As a result, the application must provide the ability to track and update attorney eligibility with sufficient granularity to determine an attorney’s eligibility to accept certain case assignments across subject matter and geographical space.
   3. To account for changes in attorney eligibility over time, the application must provide both MCILS Internal Users and Attorney Users with the ability to edit eligibility designations, subject to the following requirements.
      1. Specifically, the application must permit only MCILS Internal Users to set an attorney’s baseline eligibility to receive cases generally, by specific case type, and by county.
      2. Further, the application should permit MCILS Internal Users to make batched updates to attorney eligibility.
   4. The application must provide Attorney Users with the ability to opt in and out of case types by county for only those case types or counties that MCILS has made a positive baseline eligibility determination. The application must also provide the mechanisms necessary to enable the reporting function described in this document.
3. **Attorney Appointments**
   1. Manual Appointment

In practice, the Judicial Branch is primarily responsible for appointing attorneys to cases and has its own established procedures.

* + 1. When an attorney is appointed to a case, the application should minimally require the User creating the case to enter the following information:
       1. client name;
       2. client’s date of birth;
       3. docket number;
       4. charges, including sequence number and any enhancements; and
       5. attorney name.
    2. MCILS Internal Users should also have the ability to provide more information than these five data points when appointing counsel, although additional information should not be required.
    3. MCILS Internal Users should also have the ability to override the docket number and date of birth requirements as those data points are generally not known to MCILS until provided by the attorney. Further, the application should have the ability to import and enter case and client information via XML over SFTP or similar protocol.
    4. Attorney Users should also be provided the ability to manually open cases to which they have been assigned. When an Attorney User opens a case after being appointed by a Judge that User should be required to enter all case and client information. Case and client information is described in Sections E-G below.
  1. Automation

When MCILS Internal Users appoint an attorney, the application should automatically verify that the attorney eligibility designation and case type match.

* + 1. If they match, then the application should automatically approve the appointment.
    2. If they do not match, then the appointment should automatically be rejected.
    3. When an appointment will exceed the attorney’s caseload limit, the application should neither approve nor reject the appointment, but should flag it for review by MCILS Internal Users.
       1. The application should therefore also provide a mechanism for MCILS Internal Users to approve and reject appointments manually. Likewise, the application must permit MCILS Internal Users to override the caseload limits.
  1. Once an attorney has been appointed to a case, the case should automatically be created in the client profile if it does not exist.
     1. Similarly, if the client profile does not yet exist, then the application should automatically create one and prompt the User creating or assigning the case to enter the necessary information.
     2. A notification should then be sent to the attorney appointed to the case notifying them of the appointment.
     3. The application should distribute this notification both in platform and through email.
     4. After appointment, the attorney will be responsible for providing the remaining required case data, and client data if there is no existing client profile.
     5. The application is expected to be responsive to user expectations. At a minimum, under Ethernet-connectivity of the client device, a lookup (without any data modification) must return results within five (5) seconds, and a data modification transaction must return results within eight (8) seconds.
        1. At a minimum, the application should update changes to individual attorney caseloads and eligibility designations but should update all metrics in real time.
  2. Special Case Types and Rules

MCILS often institutes new programs for providing and improving the legal services provided to Maine’s indigent population which do not fit neatly into the traditional model of appointing counsel.

* + 1. As a result, the application should provide a mechanism for Attorney Users to generate cases not under any particular client for time and expense reporting relevant to a particular program.
    2. These programs should belong to their own case type such that they application can filter them pursuant to the reporting function described in Section 28 below.
    3. Time and expense reporting in these types of programs should be identical to the traditional model, except that when an attorney submits time in the Attorney Mentor program, the event category drop down should be replaced with a text box for the mentee’s name and the docket number field should be replaced with a text box for the purpose of designating the type of specialty case.
  1. Client Information Management

Over the course of a case, MCILS and appointed counsel collect various amounts and types of data relevant to the client. The application should accept user inputs to build “client profiles” which will be the structure for capturing and storing all information relevant to that client including their respective cases.

* + 1. The application should allow for the importation of data as described in this document to automatically generate client information.
       1. Additionally, the application should provide Attorney Users a mechanism for entering and editing client information including demographic, contact, and case information.
    2. As a result, the application should require the Attorney User to verify or enter the following client information directly into the application when assigned a case:
       1. last name;
       2. first name;
       3. date of birth;
       4. address (last known physical or mailing);
       5. phone number;
       6. immigration status; and
       7. client custody status (i.e., whether the client is currently incarcerated).
    3. Often one or more data points are missing due to the client’s socioeconomic position.
       1. Therefore, the application should allow an Attorney User to continue without providing an address or phone number by designating the client as not having one or either.
       2. The application should track how many days since the attorney last contacted the client and how many days since the client has been incarcerated.
       3. Finally, the application should provide a mechanism for Attorney Users to add general notes, independent of billing data, to a client’s profile to specify details relevant to the client that may not be readily apparent by reviewing individual case data.

1. **Client Eligibility**

MCILS provides appointed counsel to indigent people who are made eligible by statute or rule.

* 1. Consequently, the application must identify and track base line client eligibility as well as changes to that eligibility over time.
     1. As a result, the application must provide a mechanism for indicating whether a person has been deemed eligible for appointed counsel or not.
     2. The application must also provide a mechanism for MCILS Internal Users to indicate client eligibility determinations.
     3. The application should assume that a person for whom a case entry is made, either by an Attorney User or through automatic importation of case information, has been designated eligible to receive appointed counsel.

1. **Case Information Management**

The application must allow Attorney Users and MCILS Users to enter case information into the application. MCILS Internal Users may enter case information into the application when appointing counsel in a case, but ultimately the appointed attorney will be responsible for providing the remaining information.

* 1. As a result, attorneys should be required to enter certain case information every time they are appointed to a case. Likewise, attorneys should be required to provide certain information every time a case is closed.
  2. Once case information has been entered, the case and all its information should be housed under the appropriate “client profile.”
  3. As a design principle, the case application should provide a summary view of a case so that MCILS Internal Users and the appointed attorney may quickly determine where the case is in the process, what has been done, and what is next.

1. **Case Opening**

The application should provide the mechanisms necessary for Attorney Users to enter or edit the following required information for each case:

* 1. docket number;
  2. procedural posture relevant to the docket number;
  3. point of contact information (POC) for relevant people;
  4. appointment date;
  5. upcoming hearing date(s);
  6. case status (open/closed);
  7. case type;
  8. charge(s) in criminal cases;
  9. sequence number; and
  10. class of crime charged in criminal cases.

1. **The application must have the ability to automatically correlate charge** sequence numbers to case types.
2. **Editing Case Information**
   1. Although this information should be provided upon opening a case, the attorney appointed to the matter should have the ability to edit the information provided such as POC information and procedural posture.
   2. Additionally, the application should prevent an Attorney User from submitting a bill or voucher in any case where any of the case information described above is missing.
   3. Attorney Users should also have the ability to upload documents to the particular case such as motions and court notices.
3. **Case Closing**
   1. Every time a case is closed the appointed attorney should be required to enter the following case specific information:
      1. charge-specific sentence or stage disposition;
      2. charge-specific sentence or stage disposition notes;
      3. final case disposition;
      4. final case disposition notes; and
      5. disposition date.
   2. Different case types will have different dispositions.
      1. Often cases are resolved by plea deal resulting in changes to the original charges. The new charges typically better suit the defendant’s personal situation than the original crime charged.
         1. The application should provide a mechanism to track this sort of charge bargaining across the application.
         2. Similarly, the application should track disposition data, including sentencing data, with sufficient granularity that it may be aggregated and tracked by case type, charge or stage, and geographical region.
         3. These metrics should be collected and stored so that they may be integrated into the reporting function described in this document.
         4. Additionally, the attorney should be required to complete a checklist upon closing a case. That checklist should reflect items defined by MCILS. Consequently, MCILS Internal Users should have the ability to edit the items on the checklist so that the list will reflect practice standard requirements.
4. **Notifications**
   1. The application should provide Users with an in-platform notifications center which houses all appropriate notifications regarding actions taken and triggers or alerts generated on the application.
   2. The notifications feature should handle the trigger alerts and automated reports and should indefinitely retain them in the application even if removed from the appropriate Users view.
   3. Users should have the ability to edit their own notification settings to reduce or improve the notifications received.
      1. However, Attorney Users should always receive a notification when they receive a new case appointment, new alert, and when any request is approved, denied, or otherwise processed.
   4. When clearing notifications from the center, Users should have the option to remove individual notifications or batch remove notifications.
      1. However, Attorney Users should not be able to remove alert notifications until they are resolved.
   5. Evidence of all notifications should be retained by the application either through logging or by some other means.
5. **Billing Management**
   1. All billing functions described below should be linked to a case or cases such that when a bill/voucher or a funds request is submitted in the case.
   2. The appropriate case and client information should automatically be provided with the bill/voucher or request.
6. **Time and Expense Reporting**
   1. The application should provide sufficient mechanisms for appointed counsel to record the time spent on a case in the relevant case file for billing purposes.
   2. The mechanism permitting the entry of time should consist of several input fields outlined below.
   3. Additionally, the time and expense reporting mechanism should be LEDES compliant, thereby enabling importation of billing events from other LEDES complaint case management software.
7. **Time Recording**

The application should minimally require attorneys to enter the following information for each time entry:

* 1. date;
  2. event category;
  3. time billed (in 10th hour increments rounded to the nearest 10th);
  4. entry note/comment;
  5. provider name;
  6. binary or Boolean indicator showing whether the work was done by a paralegal (default is false); and
  7. a binary or Boolean indicator showing whether contact was made with the client (default is false).

1. **Billing Rules**
   1. An Attorney User should not be permitted to designate time as paralegal time without first obtaining prior approval from MCILS Internal Users.
      1. If paralegal time is entered, that time should be recorded separately from the attorney’s personal performance metrics.
      2. Also, the application should accommodate changes to the event category list which are provided pre and post-deployment.
   2. MCILS intends to implement a requirement that billing entries be made contemporaneously with the work done.
      1. As a result, the application should provide a mechanism for MCILS Internal Users to set a numerical value representing the maximum length of time between the actual time event and the point when the time was recorded.
      2. Time entries which are submitted outside this permissible bound should be accepted by the application but should not be added to the bill total.
         1. The application should also automatically notify the Attorney User of the discrepancy and should require the Attorney User to submit an explanation for the late entry subject to approval by MCILS Internal Users.
         2. If the late submission is approved by MCILS Internal Users it should be added to the bill total; otherwise, the entry should remain on the bill but not be included in the bill total.
   3. It is common for an attorney to be appointed to represent a single client in several different cases. Some cases may be related, and others may be unrelated.
      1. The application should provide attorneys with the ability to link cases which belong to a single client so that time may be entered in all cases at once from one single location.
      2. When an Attorney User links cases together in this way, only one bill/voucher for the group of cases should be submitted for payment.
2. **Time Sheet Recording**
   1. The application should provide a mechanism or a collection of mechanisms that will allow Attorney Users to record all time entry billing data in multiple cases across their entire client base in one central location.
   2. This feature should be designed in such a way that the information entered by the Attorney User will not be lost when their session times out.
   3. Attorney Users should only be allowed to enter time in cases for which they are assigned.
3. **Travel Expense Recording**
   1. The application should also allow Attorney Users to submit travel time and expense claims.
   2. These entries should be maintained separate from the regular time entries described above.
      1. However, when the Attorney User submits a bill in the case, these entries should be included in the bill.
   3. When recording travel time and mileage the Attorney User should be required to submit the following minimum information:
      1. starting location;
      2. destination location;
      3. time billed (in 10th hour increments rounded to the nearest 10th); and
      4. miles traveled.
4. **Other Expenses**
   1. When making a claim for expense reimbursement, the attorney should minimally be required to describe the type of expense and the reimbursement amount.
   2. The attorney should also have the ability to upload a receipt or other document as proof of the expense.
   3. Documents uploaded as proof of expense should be submitted with the voucher or bill when it is submitted.
5. **Vendor Expense Management**
   1. It is often necessary or desirable for appointed counsel to hire investigators, experts, and other professionals to provide competent and quality representation. This document refers to these types of professionals as vendors.
   2. Additionally, the application should generally provide the same time reporting and funds requests mechanisms for paralegals.
   3. The application should provide appointed counsel with a mechanism to request funds to pay vendors as necessary in each case.
   4. To enable MCILS to process requests for funds, the application should minimally collect the following information from the attorney requesting the funds:
      1. reason for the request;
      2. type of vendor;
      3. anticipated vendor (if applicable);
      4. anticipated hourly rate;
      5. anticipated total cost; and
      6. description of the anticipated work.
   5. The application should automatically check the anticipated hourly rate and total cost against pre-defined limits for that type of vendor and should flag the request to the MCILS Internal User who reviews the request.
   6. Additionally, the application should provide a mechanism for MCILS Internal Users to authorize requests for vendor funds with certain requirements or specifications.
      1. For example, the application should allow a request to be approved with a cost cap. Once approval is made, the Vendor User should have the ability to record work done by that vendor.
      2. The vendor time records should be maintained separately from the attorney’s own time records but should correspond to the appropriate case.
      3. Moreover, vendor time should be recorded in the same manner as attorney time except that each time entry should require the name of the person who did the work, a detailed description of the work that was done, and the vendor’s hourly rate thereby allowing for the possibility that different vendors will have different rates.
      4. A Vendor User or Attorney User should be prevented from submitting a time entry which reflects a rate greater than the established rate limits unless a prior exception has been made by an MCILS Internal User.
   7. Next, the application should provide a mechanism for Vendor Users and Attorney Users to submit bills/vouchers for payment of vendor funds once the vendor’s services have been completed.
      1. These invoices or vouchers should be submitted in the same manner as attorney vouchers.
         1. However, where the Vendor User is the one submitting the bill/voucher, it should first be submitted for approval by the appointed Attorney User and then submitted for review by that Attorney User.
         2. As a security measure, Vendor Users should only be able to enter and submit invoices or vouchers for cases and amounts for which they have been approved.
         3. Finally, the application should provide MCILS Internal Users with a mechanism for reviewing and approving submitted vendor invoices or vouchers.
6. **Billing and Payment Management**
   1. The application must provide a method for appointed counsel to not only enter the time spent working on appointed matter, but also must provide a mechanism for appointed counsel to submit for payment in any case in which they are appointed.
   2. Likewise, the application should provide for MCILS Internal Users to administer requests for payment made by appointed counsel.
      1. Where more than one attorney is appointed to represent a client in a case, the submission for payment by one attorney should not submit payment for any other appointed attorney.
      2. As bills/vouchers are submitted in the application, that information should be recorded and stored indefinitely or according to a retention schedule defined by MCILS.
      3. Similarly, the vendor should expect to migrate data from the current application “DefenderData” to the new application.
   3. Most attorneys review their bills/vouchers before submitting for payment. Occasionally an attorney will discover an error and will correct that error.
      1. As a result, the application should allow Attorney Users to edit time entries after they were entered but before the bill/voucher is submitted for payment. MCILS Internal Users should have the ability to edit any information in a bill/voucher after it is submitted for payment.
      2. MCILS Internal Users should also have the ability to return the bill/voucher to the Attorney User to make edits.
      3. All edits made to a bill/voucher by either Attorney or MCILS Internal Users should be logged and retained by the application. MCILS Internal Users should have the ability to view these logs but should not have the ability to write to them.
   4. The application should not allow an Attorney or Vendor User to submit a bill/voucher for payment if that bill/voucher has an associated outstanding trigger alert, as described in Section 30 below.
      1. Moreover, the application should require the trigger alert be resolved before submission of a bill/voucher is permitted.
   5. Additionally, MCILS requires bills/vouchers be submitted within a pre-defined period (currently 90 days) from some triggering date.
   6. The application should determine whether the bill/voucher is submitted more than that window.
      1. It should also automatically reject the bills/vouchers submitted outside that window and allow Users to request an exception to the rule by providing a reason or explanation for the late submission.
   7. Finally, the application must provide mechanisms allowing MCILS Internal Users to approve, deny, or inquire about submitted bills/vouchers so that they may be processed.
7. **MCILS Application Calendar**
   1. Among other things, the MCILS application calendar will be a central repository for statewide court dates and MCILS sponsored CLEs.
      1. The application calendar should have the ability to import data via (SaaS) or some other means to automatically populate calendar entries such as court dates.
      2. The application should track court date conflicts across time and regions.
      3. As part of the reporting function described later in this document, this information should be reportable in a reasonably printable and exportable format.
   2. The application should also allow Tiers I through IV(a) and (b) manually input calendar entries within the platform and import calendar entries from their local Outlook Calendar.
      1. These users should have the ability to prevent importation from Outlook Calendar to prevent accidentally oversharing their personal appointments.
      2. The application should track court date conflicts across time and regions
8. **Attorney User Personal Calendar**
   1. The application should provide Attorney Users with their own individual calendars.
   2. This calendar will provide attorneys with the ability to set in-platform reminders, alerts, appointments, and due dates.
   3. Attorneys should be able to accomplish this both manually in-platform and through the importation of data from their own local calendars.
   4. Attorney Users should have the ability to prevent importation of local calendar entries through user settings to prevent accidental overshare of personal appointments.
   5. However, the application should capture time conflicts to the extent possible and track the frequency of time conflicts so that it is reasonably reportable as part of the reporting function described later in this document.
9. **Report Generation and Application Metrics**
   1. The application should provide a mechanism for generating comprehensive and dynamic reports using any data point or other application metric captured by the application.
   2. When generating reports, users should have the ability to specify the filters for obtaining the relevant information and articulate the types of data to be included in the report.
   3. All reports should be generated in a reasonably exportable and distributable format such that people of varying technical sophistication can easily access and use them.
   4. The reporting features and mechanisms provided by the application should be comprehensive and should minimally provide the following filters:
      1. date or date range;
      2. attorney;
      3. event entry;
      4. case type;
      5. case status (open/closed);
      6. client;
      7. hours worked on a given date;
      8. voucher / bill amount;
      9. total hours billed;
      10. trigger alert;
      11. case identifier or docket number;
      12. sentence or disposition;
      13. vendor;
      14. vendor type;
      15. bill/voucher number; and
      16. time spent by event entry.
   5. The application should also be capable of tracking the following information, and similar information, so that it can be included within a report:
      1. number of cases by case type;
      2. total number of cases;
      3. number of eligible attorneys;
      4. number of attorneys by eligibility;
      5. number of clients;
      6. year-to-date (YTD) expenditures by case time;
      7. YTD total expenditures;
      8. YTD expenditures on non-counsel fees by vendor type;
      9. YTD expenditures on paralegal support;
      10. YTD hours worked;
      11. open, closed, and lifetime cases by attorney;
      12. number of hours spent on a case-by-case type;
      13. number of cases going to trial;
      14. number of vendor funds requests;
      15. number of active attorneys by eligibility type and geographical area
      16. case dispositions across case types and courts (to track attorney activity);
      17. number of contested hearings;
      18. number of cases settling without trial;
      19. travel time and expenses by attorney; and
      20. case type frequency by attorney and firm (e.g., how many burglaries were handled within a specified time frame).
   6. These lists, (1)-(16) and (17)-(36), are not exhaustive and should be considered the minimum.
      1. MCILS Internal Users should have the ability to combine and filter all information retained by the application including attorney information, case information, and client information.
      2. In short, the application should allow MCILS Internal Users to build SQL queries or the functional equivalent to design the desired reports from any data within the application using the application GUI.
      3. Where the filter or data point is a number, MCILS Internal users should be able to define a range.
      4. The application should provide similar functionality for filtering bill/vouchers by attorney and across the application.
      5. This feature should be able to generate reports in several different file formats such as PDF, CSV, Excel, and HTML.
      6. Further, the application should provide tools to MCILS Internal Users so that they may conduct statistical analysis on specified application data using, among other methods, clustering, regression, and cross-sectional analysis. Users should be able to aggregate data across the application to identify outliers based on pre-defined filters.
   7. MCILS Internal Users should have the ability to set and edit pre-defined criteria to implement automated report generation on a scale and frequency determined by MCILS Internal Users.
      1. The underlying functionality should be identical to the reporting application described above.
      2. The application should also have the ability to import statistical data and metrics from another source in a usable format so that MCILS Internal Users will be able to use the reporting function described above to generate reports and conduct statistical analysis on it.
      3. MCILS is specifically interested in tracking information regarding case volumes, case types, court region, and attorney appointments by court.
10. **Attorney Eligibility Reporting**
    1. The application must provide a mechanism to report to MCILS Internal Users whether an attorney has been designated eligible and available to receive a case of any identified type(s) in any identified geographical location(s).
    2. The application must permit reporting of attorney eligibility elections to MCILS Internal Users and the public.
    3. The application must provide a public facing mechanism to report attorney eligibility information. Attorney eligibility reporting may be implemented using the reporting function described above or by some other means.
11. **Triggers and Alerts on Application Usage** 
    1. To better monitor the application MCILS intends to implement various automated functions to efficiently focus efforts where they are needed.
    2. As part of that goal, the application should provide a mechanism for MCILS to set pre-defined criteria to create custom triggers for both automated report generation and alert generation post-deployment.
       1. Similarly, the application should provide MCILS the ability to define which users receive which alerts and automated reports when and if they are generated and specify whether a response is required by a user receiving the alert.
    3. If a response is required, the MCILS Internal User creating or editing the trigger criteria should have the ability to set a deadline for that response in terms of time elapsed since the alert went out.
    4. The alerts and reports generated should be based on the information provided to the application through user input and should not be dependent on appointed counsel’s submitting bills for payment.
    5. The alert triggering feature should have the same basic capabilities as the report generation feature described above, in terms of data granularity.
    6. MCILS Internal Users should be able to set trigger criteria according to similar parameters. The application should ship with the following default alert triggers:
       1. No time billed in a case (MCILS and Attorney)
       2. No time billed for a jail visit and the client is in custody (MCILS and Attorney).
       3. Appointment exceeds caseload limitation (MCILS and Attorney).
       4. Attorney User or Vendor User bill more than presumptive review (MCILS and Other User).
       5. Case hours in each case are below a pre-defined minimum (MCILS and Attorney).
       6. Case hours in each case exceed a pre-defined maximum (MCILS and Attorney)
       7. Duplicate time entries (alert to Attorney first for confirmation, alert to MCILS upon confirmation).
       8. Attorney caseload exceeds annual case cap defined by MCILS (MCILS); and
       9. Attorney when a time value exceeds a numerical value set for the relevant event entry category, the application should allow the attorney to submit the value despite the trigger, should alert MCILS, and should concatenate the Attorney User’s response to the comment corresponding to the relevant time entry.
12. **Mentorship Program**
    1. The application should include a platform for matching mentor attorneys with mentee attorneys.
       1. The platform should suggest new mentor-mentee matches subject to MCILS review and should provide for blind matching.
       2. MCILS Internal Users should have the ability to link mentorship cases to individual cases or client profiles such that when the bill/voucher is submitted the case and client information will be included.
       3. The application should also track metrics related to the mentorship program and should make those metrics reportable using the reporting function described in this document.
       4. The application should minimally track the number of mentees, number of mentors, and the number of mentees assigned to each mentor.
13. **General Applications UI Requirements**
    1. Overall application Design The application should implement a user interface that is simple, modern, and reasonably intuitive to users. The UI should allow each User to access and use each of the tools available to them.
    2. For Attorney Users, the application should provide a home page or dashboard minimally containing the following elements:
       1. Notifications;
       2. Client list;
       3. Calendar
       4. Voucher review and submission tools;
       5. Attorney User metrics;
       6. Outstanding/unanswered alerts list with a hyperlink to the mechanism for responding to that alert;
       7. Messages/message center;
       8. Time sheet tool described in the Time and Expense Reporting section above; and
       9. Outstanding requests submitted to MCILS.
    3. For MCILS Internal Users the application should implement a home page or dashboard that is largely customizable and incorporates at least the following elements:
       1. application Metrics;
       2. Notifications;
       3. Messages/Message center;
       4. Alerts list with a hyperlink to the mechanism for observing the relevant data and responding to the alert;
       5. Automated reports list with a hyperlink to the relevant generated report; and
       6. Voucher review tools

# **PART III KEY RFP EVENTS**

## Questions

* 1. **General Instructions:** It is the responsibility of all Bidders and other interested parties to examine the entire RFP and to seek clarification, in writing, if they do not understand any information or instructions.
     1. Bidders and other interested parties should use **Appendix F** – Submitted Questions Form – for submission of questions. The form is to be submitted as a WORD document.
     2. The Submitted Questions Form must be submitted, by e-mail, and received by the RFP Coordinator, identified on the cover page of the RFP, as soon as possible but no later than the date and time specified on the RFP cover page.
     3. Submitted Questions must include the RFP Number and Title in the subject line of the e-mail. The Department assumes no liability for assuring accurate/complete/on time e-mail transmission and receipt.
  2. **Question & Answer Summary:** Responses to all questions will be compiled in writing and posted on the following website no later than seven (7) calendar days prior to the proposal due date: [Division of Procurement Services RFP Page](https://www.maine.gov/dafs/bbm/procurementservices/vendors/rfps). It is the responsibility of all interested parties to go to this website to obtain a copy of the Question & Answer Summary. Only those answers issued in writing on this website will be considered binding.

## Amendments

All amendments released in regard to the RFP will also be posted on the following website: [Division of Procurement Services RFP Page](https://www.maine.gov/dafs/bbm/procurementservices/vendors/rfps). It is the responsibility of all interested parties to go to this website to obtain amendments. Only those amendments posted on this website are considered binding.

## Submitting the Proposal

* 1. **Proposals Due:** Proposals must be received no later than 11:59 p.m. local time, on the date listed on the cover page of the RFP. E-mails containing original proposal submissions, or any additional or revised proposal files, received after the 11:59 p.m. deadline will be rejected without exception.
  2. **Delivery Instructions:** E-mail proposal submissions are to be submitted to the State of Maine Division of Procurement Services at [Proposals@maine.gov](mailto:Proposals@maine.gov).
     1. Only proposal submissions received by e-mail will be considered. The Department assumes no liability for assuring accurate/complete e-mail transmission and receipt.
     2. E-mails containing links to file sharing sites or online file repositories will not be accepted as submissions. Only e-mail proposal submissions that have the actual requested files attached will be accepted.
     3. Encrypted e-mails received which require opening attachments and logging into a proprietary application will not be accepted as submissions. Please check with your organization’s Information Technology team to ensure that your security settings will not encrypt your proposal submission.
     4. File size limits are 25MB per e-mail. Bidders may submit files separately across multiple e-mails, as necessary, due to file size concerns. All e-mails and files must be received by the due date and time listed above.
     5. Bidders are to insert the following into the subject line of their e-mail proposal submission: **“RFP# 202307163 Proposal Submission – [Bidder’s Name]”**
     6. Bidder’s proposal submissions are to be broken down into multiple files, with each file named as it is titled in bold below, and include:
* **File 1 [Bidder’s Name] – Preliminary Information:**

*PDF format preferred*

**Appendix A** (Proposal Cover Page)

**Appendix B** (Debarment, Performance and Non-Collusion Certification)

**Appendix C** (Eligibility Form)

* **File 2 [Bidder’s Name] – Organization Qualifications and Experience:**

*PDF format preferred*

**Appendix D** (Organization Qualifications and Experience Form) and all required information and attachments stated in PART IV, Section II.

* **File 3 [Bidder’s Name] – Proposed Services:**

*PDF format preferred*

**Appendix G** (Proposed Services Response Form) and all required information and attachments stated in PART IV, Section III.

* **File 4 [Bidder’s Name] – Cost Proposal:**

*Excel format preferred*

**Appendix E** (Cost Proposal Form) and all required information and attachments stated in PART IV, Section IV.

# **PART IV PROPOSAL SUBMISSION REQUIREMENTS**

This section contains instructions for Bidders to use in preparing their proposals. The Department seeks detailed yet succinct responses that demonstrate the Bidder’s qualifications, experience, and ability to perform the requirements specified throughout the RFP.

The Bidder’s proposal must follow the outline used below, including the numbering, section, and sub-section headings. Failure to use the outline specified in PART IV, or failure to respond to all questions and instructions throughout the RFP, may result in the proposal being disqualified as non-responsive or receiving a reduced score. The Department, and its evaluation team, has sole discretion to determine whether a variance from the RFP specifications will result either in disqualification or reduction in scoring of a proposal. Rephrasing of the content provided in the RFP will, at best, be considered minimally responsive.

Bidders are not to provide additional attachments beyond those specified in the RFP for the purpose of extending their response. Additional materials not requested will not be considered part of the proposal and will not be evaluated. Include any forms provided in the submission package or reproduce those forms as closely as possible. All information must be presented in the same order and format as described in the RFP.

## Proposal Format and Contents

### Section I Preliminary Information (File #1)

* 1. **Proposal Cover Page**

Bidders must complete **Appendix A** (Proposal Cover Page). It is critical that the cover page show the specific information requested, including Bidder address(es) and other details listed. The Proposal Cover Page must be dated and signed by a person authorized to enter into contracts on behalf of the Bidder.

* 1. **Debarment, Performance and Non-Collusion Certification**

Bidders must complete **Appendix B** (Debarment, Performance and Non-Collusion Certification Form). The Debarment, Performance and Non-Collusion Certification Form must be dated and signed by a person authorized to enter into contracts on behalf of the Bidder.

* 1. **Eligibility Requirements**

Bidders must complete **Appendix C** (Eligibility Form) to demonstrate meeting eligibility requirements stated in PART I, C. of the RFP.

### Section II Organization Qualifications and Experience (File #2)

* 1. **Overview of the Organization**

Bidders must complete **Appendix D** (Qualifications and Experience Form) describing their qualifications and skills to provide the requested services in the RFP. Bidders must include three examples of projects which demonstrate their experience and expertise in performing these services as well as highlighting the Bidder’s stated qualifications and skills.

* 1. **Subcontractors**

If subcontractors are to be used, Bidders must provide a list that specifies the name, address, phone number, contact person, and a brief description of the subcontractors’ organizational capacity and qualifications.

* 1. **Organizational Chart**

Bidders must provide an organizational chart.  The organizational chart must include the project being proposed.  Each position must be identified by position title and corresponding to the personnel job descriptions.

* 1. **Litigation**

Bidders must attach a list of all current litigation in which the Bidder is named and a list of all closed cases that have closed within the past five (5) years in which the Bidder paid the claimant either as part of a settlement or by decree.  For each, list the entity bringing suit, the complaint, the accusation, amount, and outcome.

* 1. **Financial Viability**

Bidders must provide the following information for each of the past three tax years:

* + 1. Balance Sheets
    2. Income (Profit/Loss) Statements
  1. **Certificate of Insurance**

Bidders must provide a certificate of insurance on a standard ACORD form (or the equivalent) evidencing the Bidder’s general liability, professional liability and any other relevant liability insurance policies that might be associated with the proposed services.

### Section III Proposed Services (File #3)

* 1. **Services to be Provided**

Discuss the Scope of Services referenced above in Part II of the RFP and what the Bidder will offer by completing **Appendix G** (Proposed Services Response Form). Give particular attention to describing the methods and resources you will use and how you will accomplish the tasks involved. Also, describe how you will ensure expectations and/or desired outcomes as a result of these services will be achieved. If subcontractors are involved, clearly identify the work each will perform.

* + 1. Bidders must describe the Information Technology architecture so that the Department will understand such characteristics as the database, data model, location of data storage, data security, and location of application hosting. Such descriptions must show how the proposed solution conforms to State standards as found on the Office of Information Technology web site at: <http://www.maine.gov/oit/policies/index.shtml>
    2. Any additional files related to the answers given in **Appendix G** must be appropriately labeled and reference the specific requirement.
    3. Bidders must provide a copy of a reasonable SLA, as referred to in Part II and containing disaster recovery information.
  1. **Implementation - Work Plan**

Provide a realistic work plan for the implementation of the program through the first contract period. Display the work plan in a timeline chart. Concisely describe each program development and implementation task, the month it will be carried out and the person or position responsible for each task. If applicable, make note of all tasks to be delegated to subcontractors.

Specific requirements of the Work Plan are located in **Appendix G** (Proposed Services Response Form). Use the Work Plan tab to ensure that all Work Plan requirements are included in the proposed Work Plan (not in place of the Work Plan itself).

Upon execution of the contract, the contractor must prepare and submit for approval an updated Work Plan that details the contract deliverables to the Project Manager within twenty (20) business days of contract signing.

The Updated Work Plan must reflect the contractor’s understanding of the Department’s requirements as derived from the contractor’s work during the first twenty (20) days of the project. The Work Plan must be submitted for Department approval. The Updated Work Plan will be incorporated into the contract between the State and contractor and will be made a part thereof. All deliverables approved by the MCILS will be considered part of the contract. In the event any disagreement arises as to any term or provision to be included in the Updated Work Plan, the State will determine such term or provision.

### Section IV Cost Proposal (File #4)

* 1. **General Instructions**
     1. Bidders must submit a cost proposal that covers the period starting December 1, 2023 and ending on November 30, 2026.
     2. The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.
     3. No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.
  2. **Cost Proposal Form Instructions**

Bidders must fill out **Appendix E** (Cost Proposal Form), following the instructions detailed here and in the form. Failure to provide the requested information, and to follow the required cost proposal format provided, may result in the exclusion of the proposal from consideration, at the discretion of the Department.

# **PART V PROPOSAL EVALUATION AND SELECTION**

Evaluation of the submitted proposals will be accomplished as follows:

## Evaluation Process - General Information

* 1. An evaluation team, composed of qualified reviewers, will judge the merits of the proposals received in accordance with the criteria defined in the RFP.
  2. Officials responsible for making decisions on the award selection will ensure that the selection process accords equal opportunity and appropriate consideration to all who are capable of meeting the specifications. The goals of the evaluation process are to ensure fairness and objectivity in review of the proposals and to ensure that the contract is awarded to the Bidder whose proposal provides the best value to the State of Maine.
  3. The Department reserves the right to communicate and/or schedule interviews/presentations with Bidders, if needed, to obtain clarification of information contained in the proposals received. The Department may revise the scores assigned in the initial evaluation to reflect those communications and/or interviews/presentations. Changes to proposals, including updating or adding information, will not be permitted during any interview/presentation process and, therefore, Bidders must submit proposals that present their rates and other requested information as clearly and completely as possible.

## Scoring Weights and Process

* 1. **Scoring Weights:** The score will be based on a 100-point scale and will measure the degree to which each proposal meets the following criteria.

**Section I.**  **Preliminary Information (No Points – Eligibility Requirements)**

Includes all elements addressed above in Part IV, Section I.

**Section II. Organization Qualifications and Experience (25 points)**

Includes all elements addressed above in Part IV, Section II.

**Section III.**   **Proposed Services (50 points)**

Includes all elements addressed above in Part IV, Section III.

**Section IV.**   **Cost Proposal (25 points)**

Includes all elements addressed above in Part IV, Section IV.

* 1. **Scoring Process:** For proposals that demonstrate meeting the eligibility requirements in Section I, the evaluation team will use a consensus approach to evaluate and score Sections II & III above. Members of the evaluation team will not score those sections individually but, instead, will arrive at a consensus as to assignment of points for each of those sections. Sections IV, the Cost Proposal, will be scored as described below.
  2. **Scoring the Cost Proposal:** The total cost proposed for conducting all the functions specified in the RFP will be assigned a score according to a mathematical formula. The lowest bid will be awarded 25 points. Proposals with higher bids values will be awarded proportionately fewer points calculated in comparison with the lowest bid.

The scoring formula is:

(Lowest submitted Total Proposed Cost for Initial Period / Total Proposed Cost for Initial Period being scored) x (25) = pro-rated score

No Best and Final Offers: The State of Maine will not seek or accept a best and final offer (BAFO) from any Bidder in this procurement process.  All Bidders are expected to provide their best value pricing with the submission of their proposal.

* 1. **Negotiations:** The Department reserves the right to negotiate with the awarded Bidder to finalize a contract. Such negotiations may not significantly vary the content, nature or requirements of the proposal or the Department’s Request for Proposal to an extent that may affect the price of goods or services requested. The Department reserves the right to terminate contract negotiations with an awarded Bidder who submits a proposed contract significantly different from the proposal they submitted in response to the advertised RFP. In the event that an acceptable contract cannot be negotiated with the highest ranked Bidder, the Department may withdraw its award and negotiate with the next-highest ranked Bidder, and so on, until an acceptable contract has been finalized. Alternatively, the Department may cancel the RFP, at its sole discretion.

## Selection and Award

* 1. The final decision regarding the award of the contract will be made by representatives of the Department subject to approval by the State Procurement Review Committee.
  2. Notification of conditional award selection or non-selection will be made in writing by the Department.
  3. Issuance of the RFP in no way constitutes a commitment by the State of Maine to award a contract, to pay costs incurred in the preparation of a response to the RFP, or to pay costs incurred in procuring or contracting for services, supplies, physical space, personnel or any other costs incurred by the Bidder.
  4. The Department reserves the right to reject any and all proposals or to make multiple awards.

## Appeal of Contract Awards

Any person aggrieved by the award decision that results from the RFP may appeal the decision to the Director of the Bureau of General Services in the manner prescribed in [5 M.R.S.A. § 1825-E](http://www.mainelegislature.org/legis/statutes/5/title5sec1825-E.html) and [18-554 Code of Maine Rules Chapter 120](https://www.maine.gov/dafs/bbm/procurementservices/policies-procedures/chapter-120).  The appeal must be in writing and filed with the Director of the Bureau of General Services, 9 State House Station, Augusta, Maine, 04333-0009 within 15 calendar days of receipt of notification of conditional contract award.

# **PART VI CONTRACT ADMINISTRATION AND CONDITIONS**

## Contract Document

* 1. The awarded Bidder will be required to execute a State of Maine BP54-IT with appropriate riders as determined by the issuing department.

The complete set of standard State of Maine Service Contract documents, along with other forms and contract documents commonly used by the State, may be found on the Division of Procurement Services’ website at the following link: [Division of Procurement Services Forms Page](https://www.maine.gov/dafs/bbm/procurementservices/forms)

* 1. Allocation of funds is final upon successful negotiation and execution of the contract, subject to the review and approval of the State Procurement Review Committee. Contracts are not considered fully executed and valid until approved by the State Procurement Review Committee and funds are encumbered. No contract will be approved based on an RFP which has an effective date less than fourteen (14) calendar days after award notification to Bidders. (Referenced in the regulations of the Department of Administrative and Financial Services, [Chapter 110, § 3(B)(i)](https://www.maine.gov/dafs/bbm/procurementservices/policies-procedures/chapter-110).)

This provision means that a contract cannot be effective until at least 14 calendar days after award notification.

* 1. The State recognizes that the actual contract effective date depends upon completion of the RFP process, date of formal award notification, length of contract negotiation, and preparation and approval by the State Procurement Review Committee. Any appeals to the Department’s award decision(s) may further postpone the actual contract effective date, depending upon the outcome. The contract effective date listed in the RFP may need to be adjusted, if necessary, to comply with mandated requirements.
  2. In providing services and performing under the contract, the awarded Bidder must act as an independent contractor and not as an agent of the State of Maine.

## Standard State Contract Provisions

* 1. Contract Administration

Following the award, a Contract Administrator from the Department will be appointed to assist with the development and administration of the contract and to act as administrator during the entire contract period. Department staff will be available after the award to consult with the awarded Bidder in the finalization of the contract.

* 1. Payments and Other Provisions

The State anticipates paying the Contractor on the basis of net 30 payment terms, upon the receipt of an accurate and acceptable invoice. An invoice will be considered accurate and acceptable if it contains a reference to the State of Maine contract number, contains correct pricing information relative to the contract, and provides any required supporting documents, as applicable, and any other specific and agreed-upon requirements listed within the contract that results from the RFP.

# **PART VII LIST OF RFP APPENDICES AND RELATED DOCUMENTS**

**APPENDIX A** – Proposal Cover Page

**APPENDIX B** – Debarment, Performance, and Non-Collusion Certification

**APPENDIX C** – Eligibility Form

**APPENDIX D** – Qualifications and Experience Form

**APPENDIX E** – Cost Proposal Form

**APPENDIX F** – Submitted Question Form

**APPENDIX G** – Proposed Services Response Form

## APPENDIX A

**State of Maine**

**Maine Commission on Indigent Legal Services**

**PROPOSAL COVER PAGE**

**RFP# 202307163**

**Case Management and Billing Application**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Bidder’s Organization Name:** | |  | | | |
| **Chief Executive - Name/Title:** | |  | | | |
| **Tel:** |  | | | **E-mail:** |  |
| **Headquarters Street Address:** | |  | | | |
| **Headquarters City/State/Zip:** | |  | | | |
| ***(Provide information requested below if different from above)*** | | | | | |
| **Lead Point of Contact for Proposal - Name/Title:** | | |  | | |
| **Tel:** |  | | | **E-mail:** |  |
| **Headquarters Street Address:** | |  | | | |
| **Headquarters City/State/Zip:** | |  | | | |

* This proposal and the pricing structure contained herein will remain firm for a period of 180 days from the date and time of the bid opening.
* No personnel currently employed by the Department or any other State agency participated, either directly or indirectly, in any activities relating to the preparation of the Bidder’s proposal.
* No attempt has been made, or will be made, by the Bidder to induce any other person or firm to submit or not to submit a proposal.
* The above-named organization is the legal entity entering into the resulting contract with the Department if they are awarded the contract.
* The undersigned is authorized to enter contractual obligations on behalf of the above-named organization.

*To the best of my knowledge, all information provided in the enclosed proposal, both programmatic and financial, is complete and accurate at the time of submission.*

|  |  |
| --- | --- |
| **Name (Print):** | **Title:** |
| **Authorized Signature:** | **Date:** |

## APPENDIX B

**State of Maine**

**Maine Commission on Indigent Legal Services**

**DEBARMENT, PERFORMANCE, and NON-COLLUSION CERTIFICATION**

**RFP# 202307163**

**Case Management and Billing Application**

|  |  |
| --- | --- |
| **Bidder’s Organization Name:** |  |

*By signing this document, I certify to the best of my knowledge and belief that the aforementioned organization, its principals and any subcontractors named in this proposal:*

1. *Are not presently debarred, suspended, proposed for debarment, and declared ineligible or voluntarily excluded from bidding or working on contracts issued by any governmental agency.*
2. *Have not within three years of submitting the proposal for this contract been convicted of or had a civil judgment rendered against them for:*
   1. *Fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a federal, state, or local government transaction or contract.*
   2. *Violating Federal or State antitrust statutes or committing embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.*
3. *Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or Local) with commission of any of the offenses enumerated in paragraph (b) of this certification.*
4. *Have not within a three (3) year period preceding this proposal had one or more federal, state, or local government transactions terminated for cause or default*.
5. *Have not entered into a prior understanding, agreement, or connection with any corporation, firm, or person submitting a response for the same materials, supplies, equipment, or services and this proposal is in all respects fair and without collusion or fraud. The above-mentioned entities understand and agree that collusive bidding is a violation of state and federal law and can result in fines, prison sentences, and civil damage awards.*

|  |  |
| --- | --- |
| **Name (Print):** | **Title:** |
| **Authorized Signature:** | **Date:** |

## APPENDIX C

**State of Maine**

**Maine Commission on Indigent Legal Services**

**ELIGIBILITY FORM**

**RFP# 202307163**

**Case Management and Billing Application**

|  |  |
| --- | --- |
| **Bidder’s Organization Name:** |  |

Bidders must complete the form below to demonstrate meeting the eligibility requirements as defined in Part I, C of the RFP.

|  |  |
| --- | --- |
| **ELIGIBILITY** | |
| Bidder must have successfully implemented within the last five (5) years a Legal Case Management Solution (similar to the system described in Part II) for at least one (1) U.S. based Public Sector (e.g., for Federal, state, or local government) governments. | Yes or  No |
| *In order for the Department to determine eligibility, the Bidder must provide a minimum of one (1) project description demonstrating the above requirement is met. This project must be provided as part of* ***Appendix D****.*  Which project(s), as described in the Bidder’s response to **Appendix D,** demonstrate that the Bidder meets the eligibility requirements under Part I.C. of the RFP? | Project One  Project Two  Project Three |
| Be able to have all offsite work delivered by the assigned Project team within the continental United States (U.S.). | Yes or  No |

## APPENDIX D

**State of Maine**

**Maine Commission on Indigent Legal Services**

**QUALIFICATIONS and EXPERIENCE FORM**

**RFP# 202307163**

**Case Management and Billing Application**

|  |  |
| --- | --- |
| **Bidder’s Organization Name:** |  |

|  |
| --- |
| **Present a brief statement of qualifications. Describe the history of the Bidder’s organization, especially regarding skills pertinent to the specific work required by the RFP and any special or unique characteristics of the organization which would make it especially qualified to perform the required work activities. You may expand this form and use additional pages to provide this information.** |
|  |

**APPENDIX D (continued)**

|  |
| --- |
| **Provide a description of projects that occurred within the past five years which reflect experience and expertise needed in performing the functions described in the “Scope of Services” portion of the RFP. For each of the project examples provided, a contact person from the client organization involved should be listed, along with that person’s telephone number and e-mail address. Please note that contract history with the State of Maine, whether positive or negative, may be considered in rating proposals even if not provided by the Bidder.**  *If the Bidder has not provided similar services, note this, and describe experience with projects that highlight the Bidder’s general capabilities.* |

|  |  |
| --- | --- |
| **Project One** | |
| **Client Name:** |  |
| **Client Contact Person:** |  |
| **Telephone:** |  |
| **E-Mail:** |  |
| **Brief Description of Project** | |
|  | |

|  |  |
| --- | --- |
| **Project Two** | |
| **Client Name:** |  |
| **Client Contact Person:** |  |
| **Telephone:** |  |
| **E-Mail:** |  |
| **Brief Description of Project** | |
|  | |

**APPENDIX D (continued)**

|  |  |
| --- | --- |
| **Project Three** | |
| **Client Name:** |  |
| **Client Contact Person:** |  |
| **Telephone:** |  |
| **E-Mail:** |  |
| **Brief Description of Project** | |
|  | |

## APPENDIX E

**State of Maine**

**Maine Commission on Indigent Legal Services**

**COST PROPOSAL FORM**

**RFP# 202307163**

**Case Management and Billing Application**

|  |  |
| --- | --- |
| **Bidder’s Organization Name:** |  |
| **Total Proposed Cost for Initial Period** (highlighted figure below) | **$** |
| **Monthly cost per Terabyte storage and online access/retrieval** | **$** |

Bidders must complete the tables below to describe the proposed cost of the solution.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Worksheet for Subscription-based Solution** | **Annual Cases**  **or**  **License Qty** | **Year 1**  12/1/23 to 11/30/24 | **Year 2**  12/1/24 to 11/30/25 | **Year 3**  12/1/25 to 11/30/26 | **Total For Initial Period** |
| **Per case cost including hosting, support, and maintenance** | 30,000 |  |  |  |  |
| **OR** | | | | | |
| **License costs including hosting, support, and maintenance** (please complete Table 1 below) | See Tier Breakdown Below |  |  |  |  |
| **PLUS** | | | | | |
| Implementation Cost (includes analysis, configuration and training) | |  |  |  |  |
| Data Migration | |  |  |  |  |
| Any other costs needed to deliver this solution over 3 years (please describe, add rows as needed) | |  |  |  |  |
| **TOTAL PROPOSED COSTS** | |  |  |  |  |

**APPENDIX E (cont.)**

**Table 1** (only applicable if Bidder is proposing License costs including hosting, support, and maintenance)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Reference Costs for Subscription-based Solution** | **Annual Qty** | **Year 1**  12/1/23 to  11/30/24 | **Year 2**  12/1/24 to 11/30/25 | **Year 3**  12/1/25 to 11/30/26 |
| Annual license - Tier 1 resource | 10 |  |  |  |
| Annual license - Tier 2 resource | 5 |  |  |  |
| Annual license - Tier 3 resource | 9 |  |  |  |
| Annual license - Tier 4A resource | 15 |  |  |  |
| Annual license - Tier 4B resource | 300 |  |  |  |
| Annual license - Tier 5 resource | 150 |  |  |  |
|  |  |  |  |  |
| Average (Blended) Hourly Developer Rate for future enhancements |  |  |  |  |

## APPENDIX F

**State of Maine**

**Maine Commission on Indigent Legal Services**

**SUBMITTED QUESTIONS FORM**

**RFP# 202307163**

**Case Management and Billing Application**

|  |  |
| --- | --- |
| **Organization Name:** |  |

|  |  |
| --- | --- |
| **RFP Section & Page Number** | **Question** |
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*\* If a question is not related to any section of the RFP, state “N/A” under “RFP Section & Page Number”.*

*\*\* Add additional rows, if necessary.*

## APPENDIX G

**State of Maine**

**Maine Commission on Indigent Legal Services**

**PROPOSED SERVICES RESPONSE FORM**

**RFP# 202307163**

**Case Management and Billing Application**

The Proposed Services Response Form document can be obtained by double-clicking the Excel (.xlsx) icon below.

