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**Specification:**

**Legal Case Management Solution (SaaS)**

# **Who are we?**

The Liverpool City Region Combined Authority’s area is that covered by the local government areas of the principal councils of Halton, Knowsley, Liverpool, Sefton, St. Helens and Wirral.

The Liverpool City Region Combined Authority (LCRCA) is a local authority in its own right. It has eight members, being

* A directly elected Mayor;
* a councillor (elected member) appointed by each of the ‘Constituent Councils’, being the principal councils for Halton, Knowsley, Liverpool, Sefton, St. Helens and Wirral; and
* a member, who is non-voting, appointed by the Local Enterprise Partnership.

The LCRCA is subject to overview and scrutiny and also audit by statutory committees made up of councillors from the Constituent Councils and others.

The LCRCA will also appoint officers, some directly employed and some seconded from the Constituent Councils, to whom delegated authority is granted to help fulfil the LCRCA’s functions. A small number of the LCRCA’s officers are required to be appointed by law to fulfil certain governance or statutory functions in relation to the LCRCA.

Merseytravel, as the Passenger Transport Executive, is a body corporate that holds the status of an officer of the LCRCA when fulfilling its delegated functions.

# **Background**

We are seeking a solution that delivers flexible and integrated Legal case management with a simple user interface.

This new system should enable the organisation to improve case management. It should also provide management information and reporting capability. A series of requirements have been identified that will ensure the LCRCA/Merseytravel can deliver against its priorities and provide future benefit to the organisation.

The current legal case management system, Civica Legal, was first deployed in 2011.

Civica is used across the LCRCA/Merseytravel’s Legal team including the commercial team, litigation team and to manage data protection and Freedom of Information queries.

**Litigation Team**

The Litigation team use the current system to manage cases involving prosecutions, debt recovery and insurance claims. The cases are usually created on the system by support officers, but Litigation officers are also able to create cases and assign workflows to cases.

Litigation rely heavily on the ability to auto populate case templates and document templates that are sent out to clients or bundled. Workflows are used by officers in the current system and the team benefits from these workflows through clear next steps and activity targets.

**Commercial Team**

This team deals with commercial contracts, company secretarial work, grant funding agreements and ad-hoc legal advice. Cases/matters are currently set up on the existing system shortly after receiving instruction from the client and are used as a document filing system.

Very little time is spent using the system on a daily basis. Commercial don’t currently use the system workflows, templates, task list, search function or diary management as these are either lacking from the system or not configured to suit the current needs and the team but would like to make more use of the system going forward.

**Information Management Team**

The current system is used to manage requests made under the Freedom of Information (FOI) Act, the Environmental Information Regulations (EIR), the General Data Protection Regulation and the Data Protection Act 2018 (it will also be used to handle similar requests regarding personal data after Brexit).

**Procurement Team**

Currently, the LCRCA’s Procurement team do not use the legal case management system, but with the similarities between documentation, templates and workflows used across Legal it is possible that they would use the future solution.

# **System Requirements**

As mentioned above the case management system is used across the three teams that make up the LCRCA legal team and could possibly be used by the procurement team in the future. At present the current system fits each of the teams needs to a varying degree however the following requirements have been identified as necessary in order to ensure that the LCRCA can deliver against its priorities and provide future benefit to the organisation.

## **Interface**

The proposed case management system should be a visually dynamic tool with a simple user-friendly interface. It will be used by the entire legal team and should aid in the comprehensive support provided by them by having clear, intuitive, logical layouts, and navigation, containing all relevant information, which will support staff and ensure that all relevant information is recorded and captured with ease.

The essential requirements in relation to the interface are:

### a comprehensive and customisable dashboard per staff member showing, including, but not exclusive to, incidents, tasks/meetings for the day, alerts, checkpoint triggers, outstanding actions, current case load;

### a case overview page for each case (a case dashboard) showing important case information, associated case documents/correspondence etc. This should be able to be customised per team as different teams may want different information on the case home screen;

### A consolidated case view to see which files cases you are working on or associated with;

### Ability to have multiple officers associated with a case;

### A dynamic task list that shows all tasks across all cases that can be filtered by date, case type etc. Tasks will be created either automatically through workflows or through manual entry; and

### visual alerts in real time (for example banners or icons) whilst in the system to alert staff members as to when action is needed, as specified by our service;

The desirable requirements in relation to the interface are:

### smart phone capability as whilst most of the work by staff will be completed on a laptop, to make sure staff are able to make the most of their time, it would also be vital to have a system that translates in a similarly clear way to staff work phones (working on apple systems).

## **Reporting**

The proposed case management system should have comprehensive and customisable reporting functionality. We want a service that is underpinned and informed by quality data to enable performance management and success. This will be used in different ways across the teams but also across the roles for example lawyers may use it to report on the number of ongoing files they have whereas management may use it as a measure of productivity. The way in which the reports are run and displayed should be quick, simple, clear and intuitive.

The essential requirements in relation to reporting are:

### allow staff to report on a range of data from the system. This reporting function would provide:

* A range of pre-set Ad-hoc reports to start with that will help us develop our understanding of the reporting capability of the solution.
* Automated SSRS report capability.
* Scope for future report building by LCRCA legal colleagues or internal IT.
* No additional support cost for building reports.

### Reports should be exportable in a useable format such as Excel, CSV, or PDF.

### be capable of time recording against cases including:

* Automatic recording of time spent with case files open and being worked on.
* Prompted recording of time spent working on a case.
* Timer showing time spent working on a case against officer.

## **Data Management**

We need a case management system that allows us to store our data in a way that aids and assists all staff to carry out their roles efficiently and effectively. Staff should be able to quickly store, search and locate information within the system with ease.

The essential requirements in relation to reporting are:

### Ability to open different case types and for the user to create new case types if and when needed.

### A clear customisable filing structure for correspondence, entries, documents etc – (Incoming, outgoing, email, client correspondence, third party correspondence etc). This should also be coupled with the ability to filter by these titles.

### Document identification tags - by type, date and case to allow for a better search function.

###  Search functionality that allows for the following:

* Case search – using reference number, client name, third party details, subject matter, case type etc.
* Within case search – locate particular entries using a keyword search function within a case.

### A preview panel within a case that allows all types of documents word, excel, pdf, email to be viewed without having to open an item.

### An address book within the system that will allow the use of the same client details across cases and that will update all cases when the contact record is updated.

### Access restriction policies - Users must only be able to access the system if they have been provided with credentials. Access should ideally be via single sign-in using the users’ Active Directory credentials. Role based access permissions should be available for services and reports.

### Provide data retention through archive and deletion to allow for the adherence to the LCRCA Records Management Policy and Procedures.

### Has data retention processes automated where possible whilst still allowing for manual archiving or deletion, including the removal of individual records.

### Allows for the automatic archive/deletion timescales/retention period to be updated by administrators.

The desirable requirements in relation to reporting are:

### Built in bundling capability.

## **Workflows and Templates**

## Key to the success of the case management system procured is the ease of staff to use the system to its full potential. This will come from effective use of workflows and templates which will need to be customisable by users to ensure it meets our needs and continues to do so for the life of the product.

The essential requirements in relation to functionality are:

### A range of pre-set templates and workflows that will help us develop our understanding of templates and workflows.

### The ability for the user or super user to create and store:

### case templates, and

### workflows

### and make these templates and workflows available for other users for future use at no additional cost and without further input from the provider;

### ability to create many different types of template to meet the individual needs of each team such as template letters, contracts, emails etc.

### ability for user to select which case data fields are automatically pulled through into the templates as well as customise the standard text dependent on the type of template and action being taken.

### The workflow should make clear the next step on a particular file and actioning the workflow should bring up the relevant standard document, email, letter etc.

### automated tasks and reminders linked to templates and workflows – Example, when sending out a standard letter template a reminder is created to check for a response 2 weeks later, actioning this reminder will then bring up the standard chaser letter/email.

The desirable requirements in relation to the interface are:

### Compulsory tasks – Example, a contract file cannot be closed unless a signed version of the contract is signed to the file.

## **Integration**

The proposed case management system should be one whereby the user signs in at the start of their working day and is able to carry out all of their tasks from within the system. This ensures that users have up to date records on all files they are working on and reduces the risk of human error. The key to the system working in this way will be the integration.

The essential requirements in relation to integration are:

### All case related tasks should be able to be delivered from within the system without the need to come out and use alternative Microsoft tools (Word, Excel etc). It would be acceptable if on clicking a file on the system it opened the relevant Microsoft tool provided that on saving it saved directly to the file rather than locally.

### Integration with outlook:

### emails that can be drafted and sent directly from the system;

* when drafting emails there should be an option that automatically creates a task to chase on the date entered;
* when drafting emails or saving them to a file there should be an option to define who it has come from or been sent to help with the search functionality. For example, you can click main witness and then you can filter the file to all emails to main witness;
* an easy method of saving incoming emails to the system.

The desirable requirements in relation to integration are:

### Integration with Microsoft Teams for business activity management;

### Functionality to receive emails within the system. When actioning the email this would save it to a file either automatically if the subject contained the reference number or by manual insertion of reference number

### Integration capability for Case Lines – Used by CPS for evidence management

### integration with CJSM secure email (used for sending documents to Courts, CPS, Police, etc.)

### Integration with Adobe Sign for contracts.

## **Client Portal**

We are seeking a new case management system in order to modernise our processes and increase efficiency and productivity across the whole legal Team. With this in mind the proposed case management system should have a client portal that can be customised to allow it to serve the needs of our three teams and possibly the procurement team in the future. This should be a helpful user-friendly portal that can be used by all our clients and brings benefits not only to us but to our clients.

 The essential requirements in relation to the client portal are:

### access through a URL and managed by system administrators in legal

### Ability to create/raise a new case.

### Ability to see what stage their case is at without needing to contact the organisation via telephone or email.

### Provision of full or partial view of cases they are associated with.

### Ability to collaborate with officers on cases through data input.

### Ability to share data/bundles with us and receive data/bundles from us.

# **Technical Requirements**

The essential technical requirements are:

## A web-based cloud software service (SaaS);

## Compatible with current operating systems (currently Windows 10). Solution needs to be licenced and compatible for use on virtual machines as well as standard PCs/Laptops.

## Compatible with modern browsers including the current version of Microsoft Edge Chromium.

## Available 24/7, allowing for case management or review out of business operating hours.

## Is flexible with regards to adding or removing user licences as business requirements change, the current requirement being 18 licences.

## Has the ability for LCRCA administrators to continue customisation following the launch of the case management system.

## Has dual factor authentication.

The desirable technical requirements are:

## Single Data import capability from our current system (Civica), complying with GDPR. Data includes, but is not exclusive to, Word, Excel, .pdf and Outlook items. Data to be migrated to the new system during the build phase.

# **Hosting**

## **Facility**

## Physical servers hosting the solution must be in the UK, EU or be GDPR compliant if hosted elsewhere.

## Where applicable Data Centers hosting the solution should be ISO27001 compliant.

## **Load distribution management**

Where applicable the Supplier shall provide or shall procure that the third-party supplier provides load-balancing services to distribute load and redundancy across application servers.

## **Security services**

* + 1. facility access shall be limited to the authorised Supplier and contracted third-party personnel;
		2. the facility shall be monitored 24 hours a day, seven days a week through closed circuit video surveillance and shall require identification for access; and
		3. data access security shall be provided through managed firewall services with security on all web pages, a private network path for administration and SNMP monitoring, and fully hardened servers.

## **Monitoring services**

The Supplier will provide or shall ensure that the third-party supplier provides, 24/7 monitoring of service availability and capacity with alerts sent in the event of outages.

## **Back-up, archiving and recovery services**

The Supplier will develop or shall ensure that the third-party supplier develops the back-up Schedule, perform scheduled back-ups, provide routine and emergency data recovery, and manage the archiving process. The back-up Schedule will include at least weekly full back-ups and daily incremental back-ups. In the event of data loss, the Supplier will provide recovery services to try to restore the most recent back-up.

## **Release management and change control**

The Supplier will provide or shall ensure that the third party supplier provides release management and change control services to ensure that versions of servers, network devices, storage, operating system software and utility and application software are audited and logged, and that new releases, patch releases and other new versions are implemented as deemed necessary by the Supplier to maintain the Hosting Services. The Supplier will ensure that each new release Mitigates against any Known Vulnerabilities or Latent Vulnerabilities affecting the Software or Services since the last new release was implemented.

## **Administration services**

## Where applicable these services include the installation and administration of additional hardware, operating system and other software, and other resources as necessary to maintain the Services.

#  **Support Services**

## The Supplier shall provide UK based support including Root Cause Analysis (RCA) of issues after they have been investigated.

* 1. The Supplier shall provide the Customer with technical support services. The Customer’s IT team shall be authorised to contact the Supplier for technical support services. The Supplier shall handle support calls from the Customer's IT team and shall maintain continuity of knowledge of the Customer account history.
	2. Supplier technical support shall accept voicemail, email and web form-based incident submittal from the Customer IT team 24 hours a day, seven days a week. The Supplier technical support call centre shall accept calls for English language telephone support during Normal UK Business Hours. The Supplier should use ticket tracking numbers, determine the source of the problem and respond to the Customer. The Supplier technical support call centre shall respond to all support requests from the Customer within the time periods specified below, according to priority.
	3. The Customer IT team and Supplier technical support shall jointly determine the priority of any defect, using one of following priorities:

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| --- | --- | --- | --- |
| **Priority**  | **Description** | **Response time** | **Target resolution time** |
| **Priority 1**  | The entire Service is "down" and inaccessible. Priority 1 incidents shall be reported by telephone only. | Within half a Normal Business Hour. | Four Normal Business Hours. Continuous effort after initial response and with Customer co-operation. |
| **Priority 2** | Operation of the Services is severely degraded, or major components of the Service are not operational, and work cannot reasonably continue. Priority 2 incidents shall be reported by telephone only. | Within one Normal Business Hours. | Within eight Normal Business Hours after initial response. |
| **Priority 3**  | Individual user is impacted by severely degraded service, or multiple users are impacted by moderately degraded service. | Within 4 Normal Business Hours | Within 3 Business Days after initial response. |
| **Priority 4** | Certain non-essential features of the Service are impaired while most major components of the Service remain functional. | Within 12 Normal Business Hours. | Within seven Business Days after initial response. |
| **Priority 5** | Errors that are non-disabling or cosmetic and clearly have little or no impact on the normal operation of the Services. | Within 24 Normal Business Hours. | Next release of Software. |

* 1. If no progress has been made on a Priority 1 or Priority 2 incident within the relevant target resolution time specified in the table set out in paragraph 6.4.4, the incident shall be escalated to the Manager of Supplier Technical Services. If the incident is not resolved, then after each successive increment of the relevant target resolution time (for example, four Business Hours for a Priority 1 incident, eight Business Hours for a Priority 2 incident), the incident shall be escalated to the Director of Supplier Technical Services, followed by the CEO.
	2. The Supplier shall provide monitoring services as described in paragraph 5.4 above 24 hours a day seven days a week. The Supplier shall directly notify the Customer IT team of Maintenance Events that may affect the availability of the Hosting Services.
	3. The Customer shall provide front-line support to Authorised Users who are not the Customer IT team. However, the Customer's IT team may contact Supplier technical support in order to report problems from Authorised Users that the Customer’s cannot resolve themselves after they have performed a reasonable level of diagnosis.
	4. Before the Supplier makes changes to the Software, the Supplier shall provide notice to the other in order to ensure the continued operation of any integration interfaces affected by such changes and adherence to the Customer Change Management processes. The Supplier shall provide the Customer with at least 1 week’s advance notice of such changes. Such notice shall include at least the new interface specifications and a technical contact to answer questions on these changes. The Supplier shall also provide full integration testing prior to releasing to the Customer and will provide support services to ensure smooth transition from the previous interfaces to the new interfaces.

### **Training Services**

*We know the importance of training all our staff to be fully equipped to use the case management to its full functionality. We are committed to provide our staff with all the knowledge and expertise they need for this case management system to aid their work, rather than detract from the vital support they provide. We know that our staff will learn in different ways, and at different paces, and for us, and therefore we require:*

* 1. High quality systems training for all users should supplied by the Supplier with scope to revert to in-house training in the future. Training should be delivered in a timely manner in regard to the Go Live Date.
	2. Training should also be available for any significant customisation and upgrades to the system post launch.
	3. User guidance should also be available for the system for basic tasks such as case creation and deletion, ideally documented user guides should be available for these tasks, including any custom elements.

# **Service Level Arrangements**

## **Service availability**

The Supplier shall provide at least a 99.5% uptime service availability level (Uptime Service Level). Availability does not include Customer-caused outages or disruptions or outages or disruptions to *force majeure* events within the meaning of clause 16.

The Supplier shall provide proactive monitoring with alerts sent to users in the event of any outage or loss of performance.

## **Availability measurement**

All measurements are performed at one-minute intervals and measure the availability of an availability test page within the Software within ten seconds. Availability measurement begins on the 11th day after the Acceptance Tests have been successfully passed. Availability measurement shall be carried out by the Supplier and is based on the monthly average percentage availability, calculated at the end of each calendar month as the total actual uptime minutes divided by total possible uptime minutes in the month. The Supplier shall keep and shall send to the Customer, on request, full records of its availability measurement activities under this agreement where (i) "actual uptime minutes" is the number of minutes during which the Services complied with the Software Specification and (ii) any minute during which the Services did not so comply is not considered to be an actual uptime minute.

## **Service credits**

* + 1. If availability falls below 99.5% in a given calendar month (Service Delivery Failure), the Supplier shall credit the Customer's account by an amount calculated as the product of the total cumulative downtime (expressed as a percentage of the total possible uptime minutes in the month concerned) and the total Annual Subscription Fee pro-rated to one month (Service Credit).

Service Credit Calculation

*(Cumulative downtime / possible uptime) x (Annual Fee / 12) = Service Credit*

* + 1. The maximum Service Credit allowable in a given month is limited to an amount equal to the Subscription Fee.
		2. If the Services availability drops below 99.5% during three consecutive calendar months, Customer may terminate this agreement on notice in writing to the Supplier.
		3. Both parties acknowledge and agree that the terms of this Service Level Arrangement relating to Service Credits are not intended to operate as a penalty for the Supplier's non-performance or as the Customer's full and exclusive right and remedy, or the Supplier's only obligation and liability in respect of the performance or availability of the Services, or their non-performance or non-availability.

# **Supplier's network and information systems security**

## **Security of systems and facilities**

* + 1. The Supplier should have in place policies for managing information security, including risk analysis, human resources, security of operations, security architecture, secure data and system life cycle management and, where applicable, encryption and its management.
		2. It should have measures to protect the security of its network and information systems from damage using an all-hazards risk-based approach, addressing for instance system failure, human error, malicious action or natural phenomena.
		3. It should have measures to ensure the accessibility and traceability of critical supplies used in the provision of the Services.
		4. It should have measures to ensure that the physical and logical access to network and information systems, including administrative security of network and information systems, is authorised and restricted based on business and security requirements.

## **Incident handling**

* + 1. It should have detection processes and procedures for ensuring timely and adequate awareness of anomalous events and details of the ways in which it maintains and tests these processes and procedures.
		2. It should have processes and policies on reporting incidents and identifying weaknesses and vulnerabilities in its information systems.
		3. It should have procedures for assessing the severity of a security incident, documenting knowledge from incident analysis which may serve as evidence and support a continuous improvement process.

## **Business continuity management**

* + 1. It should have contingency procedures for ensuring business continuity for the websites its Suppliers and details of the ways in which it regularly assesses and tests these.
		2. It should have disaster recovery capabilities and details of the ways in which these are regularly assessed and tested.

## **Monitoring, auditing and testing**

It should have policies on:

* + 1. Conducting planned sequences of observations or measurements to assess whether network and information systems are operating as intended.
		2. Inspection and verification to check whether a standard or set of guidelines is being followed, records are accurate, and efficiency and effectiveness targets are being met.
		3. A process (including technical processes and personnel involved in the operation flow) intended to reveal flaws in the security mechanisms of a network and information system that protect data and maintain functionality as intended.
		4. International standards
		5. Any information or policies on compliance with international standards.

**The current contract with Civica Solutions runs until 30 April 2021. To allow for sufficient go-live support and the migration of data from the existing system, the case management system will need to be in place by mid-February 2021 the latest.**