Washington State Department of Licensing
Hearings and Interviews Unit

Feasibility Study

Deliverable 7: Feasibility Study Report

Date: ***September 11, 2023***

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Table of Contents

1 Introduction

The Department of Licensing is responsible for managing the licensing of drivers, vehicles, vessels, businesses and professionals in the State of Washington. As part of its reposibility in testing, issuing, and monitoring licenses, the agency must also respond to requests for reviews, appeals and hearings regarding actions it has taken regarding an individual’s license. The Hearings and Interviews Unit responds to over 20,000 such requests each year. The processes and systems that the Hearings and Interviews Unit uses to manage these requests are challenging and cumbersome. This exposes the agency to the risk of missing and lost evidence for legal hearings and public disclosure requests.

The Hearings and Interviews Unit has been operating with a variety of physical and electronic systems to support their mandate to provide drivers with prompt and accurate responses to their requests for hearings, appeals, and administrative reviews. The integrity and security of the Hearings and Interviews Unit’ documents and other legal items, such as digital or physical evidence, is compromised by the inefficiency of these systems. This makes accessibility difficult for all participants in the hearings process and creates a risk to the agency due to potential loss of confidential documents and information.

1.1. Purpose

The agency has undertaken this Feasiblity Study to investigate what options are available for the unit to consider to remedy these issues. Ultimately this study will provide the Hearings and Interviews Unit with sufficient information to support a request for funding to support the acquitision of a new system.

The purpose of this Feasibility Study Report is to investigate, research and evaluate options to develop a recommendation for the automation of the Hearings and Interviews Units business processes. This deliverable provides stakeholders with a comprehensive and objective understanding of the project's strengths, weaknesses, opportunities, and threats, enabling them to make well-informed decisions

1.2. High-Level Approach

Treinen has worked closely with the HIU team to accomplish the development of this report. The activities undertaken included:

- Workshops to document the current business processes and associated pain points, as well as the future processes that would address these issues.
- Analysis of the current and future business processes to identify the high-level business requirements necessary to accomplish the future vision.
- Market research to identify how other agencies are addressing these needs as well as overall internet research and conducting a Request for Information (RFI) and follow-up demonstrations.

- An analysis of options available to the agency to consider including identification of risks, issues, pros and cons.
- Conducting an informal Readiness Assessment to guage the preparedness of the unit to undertake the project.
- Identification and discussion of recommendation(s), including rationale, costs and benefits

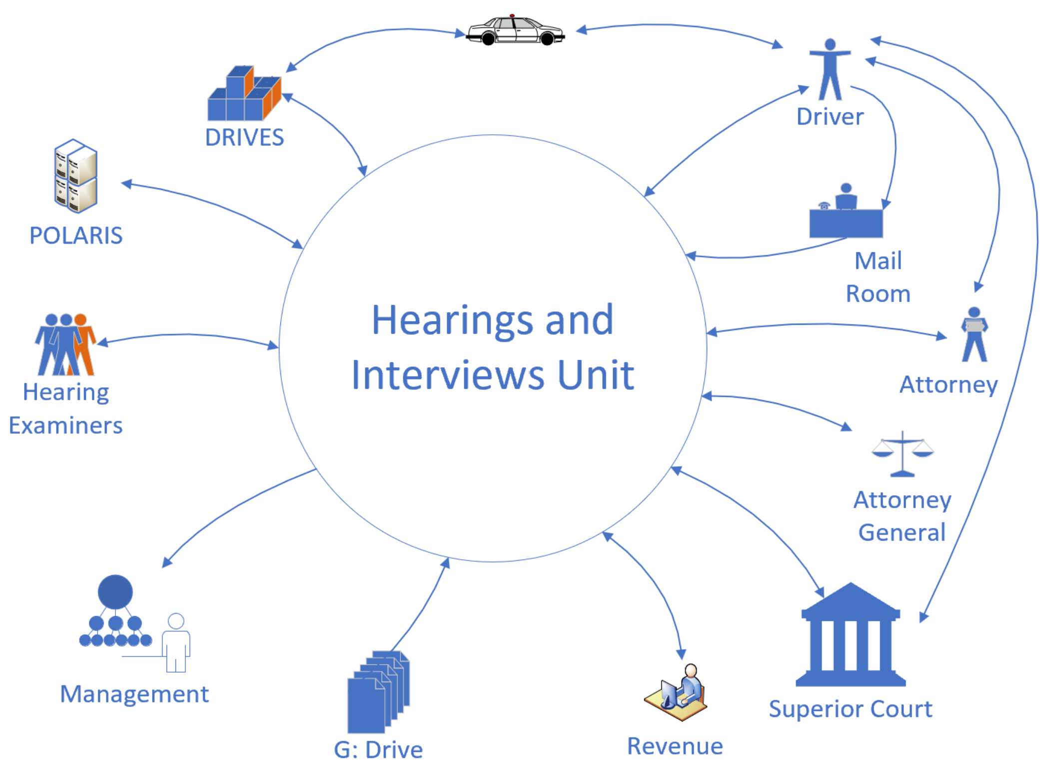
1.3. Expected Outcomes

This Feasibility Study is expect to support the agency in the preparation of legislative and/or financial requests to support the decision to undertake a project to automate the unit's business processes. The implementation of a new system is expected to have the following benefits.

- Significantly lowering risk to missing and lost evidence in legal hearings cases and public disclosure requests.
- Reduce the risk in appellate litigations by improving the ability to provide artifacts.
- Reduce touch-time and redundancies in staff and Hearings Examiners (HE) work processes.
- Reduce delays in providing the Attorney General with necessary documentation for appeals.
- Mitigates against the erosion of public confidence and the potential for negative publicity.
- Reduce the time required for gathering information for public disclosure requests.
- Provide greater communication (portal) between litigants, law enforcement, and staff.

1.4. Business Context

The Hearings and Interview Unit conducts its work within the context of a larger business environment. This business context diagram was developed to capture all possible touch points of the current processes. This diagram is used to illustrate all the interactions that provide or receive, information for the business process. In analyzing both the current, and future needs of the unit it is necessary to have visibility into these interactions as well as the interactions that occur within the unit.



1.5. Stakeholders

The following are the major stakeholders and participants in the hearings and interviews process.

- Driver – In the event of a suspension, the driver has the right to request a hearing.
- Attorney – Represents a driver in the process of the hearing request, hearing and follow-up processes
- Law Enforcement – Various law enforcement agencies within the state provide pertinent information in the cases that come before the unit. They may also be subpoenaed to appear in the hearing.
- Interpreter – The driver, or their attorney, may request an interpreter, for the hearing. The Hearing Examiner will handle reaching out to engage the interpreter.

- Hearing Examiners – The hearing is conducted and final orders (decisions) are rendered by the Hearing Examiner.
- Hearing and Interviews Technical Support – All of the work process to receive, schedule and prepare the discovery package is done by technical support staff. They also handle post hearing processes such as certification of the appellate record.
- Attorney General – Notification of an appeal and hearings documentation/recordings are sent to the AG's office as part of the appeals process.

2 Business Needs Assessment

The purpose of a business needs assessment is to understand and evaluate the specific requirements, objectives, and challenges of the business or organization. It involves gathering information about the current state of the business, its processes, systems, and technologies, and identifying areas where computer-based solutions can address existing problems or improve efficiency. This is accomplished by conducting a current state / as-is analysis, followed by a future state / to-be analysis. Then the identification of issues, challenges, pain points, etc. provides the foundation upon with high-level business requirements can be developed representing the business needs to be addressed.

1.6. Current State / As-Is Business Processes

The Hearings and Interviews Unit business can be summarized in the following high-level processes. It is possible that there are other processes, of lesser significance in the context of this study, that have been omitted. Each of these processes has been documented in greater detail in the swimlane diagrams section below. These are a summary description of each process.

- **Intake** – This is the process of receiving the hearing request, verifying the information is correct and setting up the case for processing.
- **Scheduling** – This process involves scheduling available time to hold a hearing or interview, in addition to creating notifications of the upcoming hearing or interview.
- **Discovery** – Technical staff create, gather and consolidate notifications, evidence, exhibits, and other types of documents into a single Discovery Packet. This information is sent to all participants in preparation for the hearing.
- **Hearing** – Hearings examiners prepare for each individual hearing by reviewing the discovery, reviewing and granting any subpoenas as requested, and by reading through the case and driver record. On the day of the hearing, they contact the parties, hold the hearing, recording the proceedings, and then draft their final orders, which is their ruling on the hearing.
- **Continuance** –There are circumstances where a driver or attorney may ask for a continuance. When a continuance is requested, a Hearing Examiner must grant the continuance after finding good cause and then a hearing is scheduled

- **Subpoena** – In some cases an attorney may need to subpoena law enforcement for a hearing. This process defines how the subpoena is submitted to the Hearings Examiner for review, signed and sent back to the attorney for them to serve on law enforcement.
- **DUI Final Order** – After the Hearings Examiner holds the hearing and issues the final order, staff will process the final order by taking the appropriate action on the record, updating and validating the record. The Hearings Examiner uploads the final order and staff sends the order and information to the appropriate parties.
- **Non-DUI Final Order** - After a non-DUI interview, hearing or administrative review, a final order is issued and staff process the final order by taking the appropriate action on the record, updating and validating the driver's record, and ensuring all documentation has been uploaded to the case. All documentation is uploaded to the case and sent to the appropriate parties.
- **Appeals** – In some cases the driver or attorney can appeal a decision that has been made by a hearings examiner or paralegal. The driver must appeal to appropriate the Superior Court. After the court considers the appeal they will render a decision and return it to DOL for action on the record.
- **Refunds** – A refund can be requested for multiple reasons. Staff process the refund request and send it to the supervisor for approval. Then the system sends the refund request to OFM to process the refund.
- **Brief Administrative Process** – A professional licensee through the Business and Professions Division(BPD) can request a hearing on a professional license suspension. Staff will schedule a hearing with a hearings examiner, who will act on behalf of BPD.
- **Reconsideration** – After a hearing and final order has been rendered, drivers have a period of time where they are able to submit a request to have the case reconsidered internally by the deciding Hearings Examiner.
- **Vacate** – In the event of a driver that fails to appear to their scheduled hearing, a default order will be rendered in their absence. There are circumstances where they may request that the decision be vacated and another hearing be held.

1.7. Pain Points:

Each of those business processes we reviewed and documented in the current state workshops. ***Deliverable #1 As Is Process Flows*** contains all of the process diagrams for those process. As a result of preparing those diagrams, the staff also identified the pain points of the current processes. Below is a summary of those pain points.

General:

- Letters generated in DRIVES typically cannot be used without modification. Staff are required to create the letter in DRIVES, save to a local drive, modify the letter, then save it back to the case.
- Staff also have to invalidate the auto-generated letter in DRIVES. There are a few letter types that work as designed and do not require manual intervention.

- There is no portal to maintain documents between the Hearings and Interviews Unit, Hearings Examiners, Attorneys and Law Enforcement agencies. Documents must be mailed or emailed.
- The subpoena process is manually requested and emailed. Continuances must be requested through email.

Intake:

- If a request has been submitted but the issue has been resolved already, staff cannot use a Case. The action to be taken may not be available or may be greyed out and unable to be selected. Staff are forced to use the CRM tab in the Driving Record.
- All Denial letters are manually created outside of DRIVES in Word and are altered in each case.
- When in Pending Decision Status staff are not notified when documents (i.e., supplemental Sworn Report pages) have been received or case has been expired (after 30 days). Currently DVR emails staff when report has been added.

Schedule:

- There is no automation in DRIVES for notifying participants that a meeting has been scheduled. For instance - it would be good if when scheduling a meeting, an invitation gets sent to all hearing participants.
- The hearings calendar in DRIVES is not integrated with Outlook. HE's and staff must manually manage their calendars in both places.
- The notice of hearing must be sent to a special email box to be printed and sent by postal mail.
- Attorney delivery preference is maintained within a separate spreadsheet.
- When in Pending Decision Status staff are not notified when documents have been received or case has been expired (after 30 days). Currently DVR emails staff when report has been added.

Discovery:

- Most letters created out of DRIVES require manual intervention. There are a few cases where documents do not need manual intervention prior to creating the Discovery Packet (e.g. ADR, Notice of Withdrawal (revocation letter)).
- The Pain Point is having to make sure all documents are correct prior to creating the Discovery Packet from the print folder. If you print the packet and discover something is missing or needs to be updated staff need to recreate the entire print folder.
- You can only discard the Discovery Packet and documents up to the point of printing. Once printed, extra steps are required to create a new Discovery Packet and mark the one that is not supposed to be used.
- Discovery Packet must be printed to PDF, saved locally then uploaded into DRIVES.
- Supplemental cover pages and documents must be manually created in Adobe to combine into the Discovery Packet.

Hearings:

- The DRIVES Calendar does not sync to Outlook calendar.
- There is no function in DRIVES to record a hearing.
- Recordings must be manually uploaded to the G:Drive, no automation for recording and backing up recordings within DRIVES. Recordings must be manually named in a specific format. This opens the prospect of error or inadvertent deletion when uploading the recordings.
- After final orders have been written and uploaded, the HE must consult a list of case specialists outside of DRIVES to ensure they are assigning it to the proper individual.
- DRIVES does not have the ability to drag and drop files to be uploaded.
- There is no Final Order Template available in DRIVES.
- There are multiple areas to research for common and important information in DRIVES. Multiple tabs must be consulted in order to find information for a single case.

Attorney:

- Currently the attorney will send a request for a Subpoena to DOL. However, if the Hearing Examiner is away i.e. on vacation, the attorney is not notified.
- Attorney's office currently burns the video onto a disc and sends it to DOL. Biggest pain point for attorneys.
- Requests for videos from law enforcement are not timely. And law enforcement agencies use different video formats.
- Sometimes assistant can't reach someone to reschedule.
- Different Hearing Examiners have different standards.

Law Enforcement:

- Need to contact the Hearing Examiner if the schedule changes and a new appointment is necessary. Email is the fastest way to communicate changes.
- There doesn't appear to be any notice of cancelations.
- Mail is inconsistent. Email is most convenient.
- Hearing Examiner sends email but officer may not see it in time; i.e. off for 7-8 days.

Subpoena:

- Subpoenas are a manual process requiring attorneys to submit a form to an email inbox for digital signature by a Hearings Examiner.
- The current process of digitally signing a Subpoena document requires them to copy and paste their signature into the subpoena document. This is done through Adobe.
- Signed Subpoenas must be uploaded back into DRIVES after signature.

Final Orders:

- Stay modifications in DRIVES are manually calculated through an external calculator. E.g. Against findings for DUI are calculated at 15+3 Days.

- There are some actions that cannot be selected or unavailable in DRIVES and Record Corrections must make the correction i.e., Non-DUI. These constraints are both based on permissions or by policy.

Detailed workflow diagrams that were produced are the results of the workshops and interviews with the participants involved. For more information refer to ***Deliverable #1 As-Is Process Flows.***

1.8. Future State / To-Be Business Processes

The to-be business processes document the vision for a future state workflow based on the current business processes in use today. This provides a sound basis upon which the high-level business requirements can be developed, which will be used to analyze potential solutions.

During the as-is and the to-be workshops, the main focus was on the identification of pain points as well as what functionality is needed in the new business processes. The following describes those areas of discussion.

Detailed workflow diagrams were produced documenting the results of the workshops and interviews with the participants involved. For more information refer to ***Deliverable #2 To-Be Process Flows.***

General:

- **Letters** – Letters generated in DRIVES typically cannot be used without modification. Staff are required to create the letter in DRIVES, save to a local drive, modify the letter, then save it back to the case. Staff must invalidate the auto-generated letter in DRIVES. There are a few letter types that work as designed and do not require manual intervention.
  - **Future**
    - Ability to create, modify and save documents within the case management system.
    - Ability to create templates with predetermined text and modify that text when the document has been generated.
- **Requests** - There is no portal to maintain documents between the Hearings and Interviews Unit, Hearings Examiners, Drivers, Attorneys and Law Enforcement agencies. Documents must be mailed or emailed. The subpoena process is manually requested and emailed. Continuances must be requested through email.
  - **Future**
    - Portal includes the ability to request a hearing, subpoena, or reschedule a hearing.
    - Ability to upload and view documents.

Intake:

- **Driving Record** – If a request has been submitted but the issue has been resolved already, staff cannot use a case. The action to be taken may not be available or may be greyed out and unable to be selected. Staff are forced to use the CRM tab in the Driving Record.
    - **Future**
        - Flexibility to capture the status of the request or case throughout its lifecycle and can move forward and backward in the process while keeping an audit trail of all activities.
        - Ability to update driver record information in DRIVES.
- **Denial Letters** – All Denial Letters are manually created outside of DRIVES in Microsoft Word and are altered in each case. DRIVES can generate Not Timely. Not eligible and Incomplete at the Intake stage.
    - **Future**
        - Ability to create, modify and save documents within the case management system.
        - Ability to create templates with predetermined text and modify that text when the document has been generated.
- **Pending Decision** – When in Pending Decision Status, staff are not notified when documents (i.e., supplemental Sworn Report pages) have been received or case has been expired (after 30 days). Currently the Driver and Vehicle Records staff emails staff when report has been added. Should additional documents be received during any stage in the hearing case, Hearings is not notified.
    - **Future**
        - Ability to automatically notify staff, Hearings Examiners, and external users of the status of actions and due dates in DRIVES at any stage.

Schedule:

- **Outlook Integration** – There is no automation in DRIVES for notifying participants that a meeting has been scheduled. For instance, it would be good if when scheduling a meeting, an invitation gets sent to all hearing participants.
    - **Future**
        - Integration with Microsoft Outlook and Office 365 allowing for meeting invites to be sent to designated interested parties.
- **Calendar Integration** – The hearings calendar in DRIVES is not integrated with Microsoft Outlook. Hearings Examiners and staff must manually manage their calendars in both places.
    - **Future**
        - Integration with Microsoft Outlook and Office 365 allowing for synchronization between the case management system and Outlook.

- **Mail Automation** – The Notice of Hearing must be sent to a special email box to be printed and sent by postal mail.
    - **Future**
        - Ability to facilitate mailings via email, portal as well as postal.
- **Participant Management** – Attorney delivery preference is maintained within a separate spreadsheet.
    - **Future**
        - Ability to manage and maintain Attorney, Public Defender, and Interpreter information in the system. Ability to manage and update spreadsheet internally.
- **Awaiting Evidence Status** – When in Pending Decision Status staff are not notified when documents have been received or case has expired (after 30 days). Currently Driver and Vehicle Records emails staff when report has been added.
    - **Future**
        - Ability to notify both staff and external users of the status of actions and due dates in DRIVES as well as updates when new documents are filed.

Discovery:

- **Packet Management** – Most letters created out of DRIVES require manual intervention. There are a few cases where documents do not need manual intervention prior to creating the Discovery Packet e.g., ADR, Notice of Withdrawal (revocation letter). The pain point is having to make sure all documents are correct prior to creating the Discovery Packet from the print folder. If you print the packet and discover something is missing or needs to be updated staff need to recreate the entire print folder. You can only discard the Discovery Packet and documents up to the point of printing. Once printed, extra steps are required to create a new Discovery Packet and mark the one that is not supposed to be used. Discovery Packet must be printed to PDF, saved locally then uploaded into DRIVES.
    - **Future**
        - Ability to create, modify and save documents within the case management system.
        - Ability to create templates with predetermined text and modify that text when the document has been generated.
        - Ability to add, remove, and reorder documents.
- **Supplemental Cover Pages** – Supplemental cover pages and documents must be manually created in Adobe to combine into the Discovery Packet.
    - **Future**
        - Ability to add supplemental documents, cover pages, redaction of documents and addition of stamps.

Hearing

- **Calendar Integration** – The DRIVES Calendar does not sync to Microsoft Outlook calendar.
    - **Future**:
        - Integration with Microsoft Outlook and Office 365 allowing for synchronization between the case management system and Outlook.
- **Recordings** – There is no function in DRIVES to record a hearing.
    - **Future:**
        - Ability to record and save recordings within the case management system without the need to use separate recording equipment or software.
- **Recording Uploading** – Recordings must be manually uploaded to the G: Drive, no automation for recording and backing up recordings within DRIVES. Recordings must be manually named in a specific format. This opens the prospect of error or inadvertent deletion when uploading the recordings.
    - **Future**
        - Ability to save a recording with a predefined filename within the case management system.
- **Recording Retention** – There is no ability to set retention parameters for the recordings in the G:Drive so someone has to manually listen to each recording to determine if the retention period had been met.
    - **Future:**
        - Ability to set retention timelines for all recordings so that when the retention period has lapsed, each recording is disposed of according to the agency's retention schedule.
- **Case Assignment** – After final orders have been written and uploaded, the Hearings Examiner must consult a list of Case Specialists outside of DRIVES to ensure they are assigning it to the proper individual.
    - **Future:**
        - Ability to assign a case to an appropriate Case Specialist.
        - Staff associated to case, from Scheduling Stage through Decision Rendered Stage, receive updates on status throughout case life.
- **Attaching Files** – DRIVES does not have the ability to drag and drop files to be uploaded
    - **Future:**
        - Ability to efficiently save documents to the case management system.
- **Document Templates** – There is no Final Order Template available in DRIVES.
    - **Future:**
        - Ability to create, modify and save documents within the case management system.

- Ability to create templates with predetermined text and modify that text when the document has been generated.
- **Case Review** – There are multiple areas to research for common and important information in DRIVES. Multiple tabs must be consulted to find information for a single case.
    - **Future:**
        - Ability to create a single view or consolidated page where all information can be displayed based on user preference.

Attorney

- **Work Queues** – Currently the Attorney will send a Request for Subpoena to DOL. However, if the Hearings Examiner is away e.g., on vacation, the Attorney is not notified.
    - **Future:**
        - Ability to direct a request to a work queue to ensure timely processing.
        - Staff associated to case, from Scheduling Stage through Decision Rendered Stage, receive updates on status throughout case life.
- **Videos** – Attorney's office currently burns the video onto a disc and sends it to DOL which is their biggest pain point.
    - **Future:**
        - Ability to submit documents, media, and audio files via the portal.
        - Staff associated to case, from Scheduling Stage through Decision Rendered Stage, receive updates on status throughout case life.
- **Videos** – Requests for videos from Law Enforcement are not timely. And Law Enforcement Agencies use different video formats.
    - **Future:**
        - Ability to send follow-up notifications based on dates and system actions to interested parties.
        - Staff associated with the case, from Scheduling Stage through Decision Rendered Stage, receive updates on status throughout case life.
        - This will also require training of Law Enforcement agencies of DOL specific polices.
- **Rescheduling** – Sometimes assistant can't reach someone to reschedule.
    - **Future:**
        - Portal includes the ability to reschedule hearings online as well as to delegate authority to do so to assistants.
        - Staff associated to case, from Scheduling Stage through Decision Rendered Stage, receive updates on status throughout case life.

1.9. High-Level Requirements

Deliverable #3 High-level Requirements captures to the overall objectives, goals, and outcomes that a business wants to achieve through a particular project, initiative, or system. These requirements outline the strategic vision and the broad scope of the business solution without going into detailed technical specifications or implementation specifics.

The high-level requirements identified have been developed from the Deliverable #2 To-Be Process Flows work sessions. During those work sessions, various aspects of future state processes were discussed, and specific requirements were identified. The level of detail of these requirements were specifically scaled to the objectives of this study. Only high-level requirements will provide vendors responding to the Request for Information (RFI) with an opportunity to show how their solution can be used to meet the Agency needs. The greater number of responses will provide the Hearings and Interviews Unit with a wider range of alternatives to evaluate.

Appendix 4 High-Level Requirements contains a table that lists the high-level requirements used for this evaluation.

3 Market Research

1.10. PRISM

The Washington State Office of Administrative Hearings (OAH) has as its missions to hear and independently resolve disputes between the public and state agencies with an impartial, quick, and easy to access process. This involves receiving the request for a hearing, scheduling a hearing with a judge, and delivering the judges findings. OAH has developed their own hearing management system called PRISM.

Brian Thomas, CIO, provided an overview of their system. It was built in-house about ten years ago and they currently have 15 agencies using it. Participating agencies have a portal that they can use to initiate a hearing request with OAH. Some of the features that reasonated with HIU participants included:

- Case dashboard provides workers with an overview of new cases, new documents, open cases, cases requiring work, upcoming events, etc.

- Agency dashboard provides participants with an overview of their cases showing cases with pending continuances, cases ready for order, cases ready for publication, cases requiring further actions, etc.
- Scheduling takes place within the system including integration with Outlook and notifications to participants. This puts the case directly on the judges calendar.
- Participants can be added to a case and cases can be re-assigned.
- There is a built-in hearing recorder that can capture the hearing and automatically append the audio file to the case.
- Both audio and video files can be attached to a case.
- Access PRISM is available using SecureAccess Washington (SAW).
- Performance metrics were available throught a variety of reports that have beend developed and made available via the portal.
- Currently document templates are not supported. They have a group that supports templates and they are updated weekly if needed.

Being an in-house system, PRISM is not based on any modern COTS solution or modern low-code, no-code platform. When asked, OAH indicated that they would not be interested in sharing their technology, citing concerns about security and overall integrity of PRISM. No further consideration was given to this option.

1.11. AAMVA Survey

In preparation for this feasibility study, the Hearings and Interviews Unit prepared a survey that was sent to the American Association of Motor Vehicle Administrators (AAMVA) mailing list. The survey was seeking information on administrative hearings processes, costs, case management systems, employment classifications and salary schedules. The respondents were typically individuals responsible for similar hearings and interviews process in their jurisdictions. The survey questions included:

- What is the administrative hearing or interview process for sanctioned driver?
- What is the filing fee for the hearing process? Do fees change based on the type of hearing?
- Can the sanctioned driver appeal the hearing or interview determination?
- What is the name of the case management system you use to hold all your documents and evidentiary record from the hearing or interview cases?
- Is your case management system a Commercial Off-The-Shelf; software or custom-built legal case management system?
- How long have you had the case management software in place, and would you recommend other states use it?

Responses were received from 26 states. The information provided was varied but captured a good overall picture of the state of automation for these jurisdictions. Focusing on the questions related to software, here is a summary of the information. In some cases one jurisdiction may be using more that one approach to their automation.

Office Productivity Software

One category of solution was the use office productivity software that provides general support for certain functions. That would include software such as the Microsoft suite of tools that we are all familiar with. The following responses included references to these tools, and in some cases also reference other products listed below.

- Microsoft Access - AK, WI
- Microsoft Sharepoint - LA, NC, TX
- Microsoft Teams - OH
- IBM Content Navigator - IL, LA, UT
- Document Management - TX
- Shared Drive - NJ

Commercial-off-the-Shelf Software (COTS)

Many states are using some form of a COTS product which typically includes modifications to meet their individual needs. The majority of the respondents indicated that they use some form of FAST Enterprises software.

- FAST Enterprises - AL, AR, DC, GA, MD, NE, NM, OR, TN, UT
- OnBase (Doc Mgmt, Workflow) – WI (also used by WA-AOC)
- Open Text Application Extender (Document Management) Optiform – WV

Custom Built Systems

A couple of states had developed their own custom built systems. These are typically developed with an outside firm with expertise in the necessary technology.

- PA - DLATS (Drivers Lic Appeals Tracking System)
- TX – Driver License System (DLS)
- ME – currently under construction

Other

A couple of states indicated that they were completely manual, using none of the typical software products listed above. Those states were MT and FL.

1.12. Internet Search

Another area of market research included internet searches. Entering search queries for “Legal Cases Management Software”, “Hearings Administration Software”, “Court Management Software”, etc., it was possible to develop a list of candidate software products that might be a consideration for HIU. A lot of these products were designed for law firms and similar applications, although parts of them were applicable to our needs. Here are a summary of those findings.

- **eCourt (Journal Technologies)** includes case management, docket management, calendar management, case notes and workflow. They have nearly 600 customers in 41 states. Some of the jurisdictions currently using eCourt includes:
    - Washington Seattle Municipal Court
    - Washington State Courts - Judicial Information System
    - Washington Office of Admin Hearings
    - Washington Spokan Municipal Court
    - Washington AOC Interpreter Scheduling
    - Washington Kitsap Co District Court
    - Washington Thurston Co
    - Oregon eCourt Case Information (OECI) system
    - Indiana - Incite (eCourt JTI)

- **Clio (Tyler Technologies)** as of September 2021, they have over 150,000 legal professionals using their software in more than 100 countries. Some of the functions include:
    - Case management
    - Calendar management, task management
    - Document management
    - Time tracking, billing
    - Client portal

- **HighQ (Thompson Rueters)** used by over 300,000 professionals in law firms, corporations, financial services firms, and government. HighQ is in use in IN, OH, UT, IL, MI, and TX
    - Document management, templates
    - Workflow management, task assignment, tracking
    - Dashboards
    - Shared calendars, collaboration

- **Practice Panther** used by over 300,000 professionals in law firms, corporations, financial services firms, and government.
    - Case management
    - Client management, collaboration
    - Document management, templates
    - Calendaring, scheduling
    - Task management, time tracking, billing
    - Reporting

Clearly, most of these applications are targeted at law firms and similar organizations. However, there are government entities that have decided to use specific features of these offerings in order to address some of their processing needs.

1.13. Request for Information (RFI)

Responses

A Request for Information (RFI) was prepared to solicit feedback from the vendor community regarding the range of available services and products. Additionally, HIU was interested in the experience of the vendor community and what recommendations they had for the approach, timeline and costs for this project. The sections requested in the RFI included:

- Vendor Profile
- Description of Solution
- Requirements Response
- Intent to Bid
- Staff Experience
- Financial Response

Appendix 2 RFI Cover Page and TOC provides an overview on the request.

There were six responses to the RFI. In most cases the reponses included a system integrator, who would perform the actual implementation project, partnered with a software company that had the expertise in the software being implemented. In a couple of responses the software company themselves would perform all of the project.

There were two types of software offerings in the response. A number were no-code/low-code application platforms that would require very little if any actual programming. They are designed to be configured using intuitive, user-friendly settings and parameters. Much of the work to support end user processes can be managed buy the users themselves.

The other category of software was Commercial-off-the-Shelf (COTS) software that is conventially built using programmers and requires programmer support. They are typically some functional areas that have been designed to be under user control such at document management and workflow. However, any changes outside of those user configurable areas would require programming.

The companies that submitted responses to the RFI were:

- Accenture / Elex Ratio – "Brief" *(Low-Code Platform)*
- Cerebra / Tyler Technologies – "Application Platform" *(Low-Code Platform)*
- Roboya – Appian *(Low-Code Platform)*
- Visionary Integration Parnters / Tyler Technologies – "Application Platform" *(Low-Code Platform)*
- Spartan Technology Solutions – "Legal Case management System" *(COTS)*
- Tybera Development Group – "eSuite (eFlex, Alpine, CEDAR") *(COTS)*

One of the questions in the RFI was if they would be willing to do a short demonstration of their proposed software for HIU. Three of the respondents agreed to meet with us and demonstrate their software. The time allotted for the demonstrations was an hour and a half. This typically did not allow for a complete review of the system, so each vendor selected from our request areas they thought would be of most interested to us. In addition, we met with FAST Technologies, the vendor for the current DRIVES system who discussed with us our list of requirements and which items they felt the system was already capable of and which items would be extra.

Following is a description of each of the RFI responses, as well as an overview of the demonstration, if provided. Most of the information provided below is taken from their RFI response, their website(s) and/or other internet sources belived to be reasonably accurate. ***Appendix 2 Requirements*** contains the list of requirements that were released with the RFI.

Accenture / Elex Ratio – "Brief"

Accenture is a leading global professional services company that helps the world's top businesses, governments and other organizations build their digital core, optimize their operations, accelerate growth and enhance citizen services, creating tangible value at speed and scale. They are a talent and innovation led company with 738,000 people serving clients in more than 120 countries. Accenture has a large number of consultants working in Washington State and with other state agencies.

Elex Ratio is a professional services organisation specialising in consulting and systems integration for Courts globally. **"Brief"** is its commercial product for end-to-end digital justice solutions. Their software is a solution that has been configured on a low-code / no-code platform. It is built using the Microsoft

Power Platform and integrates many of the products currently in use at DOL. They described their approach to implementation and training. Their financial response

The proposal outlined their experience and the benefits of their proposed solution. Their executive summary highlights that Accenture has 1,800 consultants at work in Washington State and currently involved in an number of projects in Olympia including Dept Social and Health Services, Liquor and Cannabis Board, Dept of Corrections, Department Enterprise Services, and the Employment Security Department. Their description of the solution outlined the various modules and tools that could be deployed to support our needs. They provided a complete picture of the financial considerations for this type of project.

COST CATEGORY	ESTIMATED RANGE	COMMENTS
Initial Purchase & Implementation Cost	$1.7M - $2M	Covers initial purchase and implementation of Brief.
Training Cost	$45k - $55k	Documentation/Educational Program needed to train staff to use Brief.
Business Process / Organizational Change Management Cost	$125k - $145k	Planning and managing the business process change needed to implement Brief with new processes.
Lifecycle Cost	$1.7M ($250k - $420k per year)	Five-year lifecycle cost of maintaining, enhancing, and supporting Brief including: Break / Fix Support , Functional assessments, UAT assistance, DevOps / Code Management assistance, enhancements, release management, evergreen updates, power platform, monthly service reviews, project coordinator.
Brief Licensing	$120k per year	Brief licensing for up to 200 users. Billed monthly via reseller agreement.

In the requirements section they responded “Yes” to all of the requirements. For each requirement they provided an explanation of how that requirement is meet as well as information on additional functionality available.

Their demonstration walked throught their “Brief” software solution designed for the courts environment. It walked through some of the functions that were suggested in the request for demo, including online applicant request, payment, intake, document management, etc. There were a number of important areas that were not covered. However the demonstration provided a reasonable opportunity to see the product in action and get a sense of it’s capabilities. Overall the product appeared to have an intuitive interface and a logical overview using their “subway line” analogy to show case progress.

Portal – The demo started with the screen that a driver or attorney would use to submit a request. It would also show they a list of any other cases they are part of with the current status. They stepped though the preparation of the request and showed how the driver would make a payment.

Dashboard – The dashboard presented a number of graphs of various sizes demonstrating the range of information that could be included.

Workflow – The screens showed they had a workflow sequence of several steps that could be configured to our needs. They used the subway line diagram on each screen to show the current status and also included the amount of time it has spent at it’s current status. They also showed us the configuration screens that would be used to address our requirements.

Case Management – They walked us through a couple of screens, and then showed us the configuration screens that would be used to make them suitable for our needs. The system has a separate database for attorneys, interpreters, etc.

Document Management – Once a driver had submitted a request they showed us the document that was created from that request. Document templates can be created and each document can have it's own workflow.

Cerebra Consulting / Tyler Technologies – "Application Platform"

Cerebra Consulting, Inc. is a Pennsylvania-based, certified Minority Business Enterprise (MBE) founded in 2004. Since inception, they have specialized in digital transformation services, enabling commercial and public sector organizations alike to optimize their operations through the implementation of next generation technologies. In 2010, Cerebra established a Cloud Solutions Practice focusing on the implementation of customized and low-code Software as a Service (SaaS) and Platform as a Service (PaaS) solutions. They subsequently honed a specialization in Case Management and Business Process Management systems.

Tyler Technologies, Cerebra's solution provider, is the largest provider of U.S. public sector software solutions. For more than four decades, Tyler has been the trusted provider to build and manage similar case management applications. At present, Tyler Technologies serves clients in more than 37,000 installations across 12,000 federal, state, and local government locations in all 50 states, Puerto Rico, Canada, the United Kingdom, and Australia. Public sector software is all that Tyler does.

Tyler's **Application Platform "AP"** (formerly Entellitrak), is a highly configurable, enterprise-level, web-based application that provides a broad range of capabilities for inputting, processing, tracking, managing, and reporting on all types of cases. It which has been in Production for over 15 years, having been iteratively enhanced to ensure it remains a market leader in the public sector case management space.

The Cerebra response to the RFI started with an executive summary that overviewed their credentials, the proposed solution and their implementation approach. They referenced a couple of federal projects they have been involved in that included investigations and appeals. The overview of the solution they reviewed each of the steps we outlined in the request and described how it would be handled in their solution. They also provided a overview of key functional aspects of the solution such as dashboards, portal, document management, calendaring, scheduling, etc. The proposal then described the technical architecture and infrastructure required to support the software as well as the ownership options. Their implementation approach appeared to address the areas critical for a successful project. They also provide a fairly complete financial overview for the project.

ITEM	COST
One-Time Setup Fees:	$36,000.00
Software Annual Licensing Fees:	SaaS (average): $293,129.00 Perpetual (one-time fee): 400,000.00
Annual Support and Maintenance:	System Support Package (SSP): $23,400.00 Perpetual Support & Maintenance (average): $84,556.00
Implementation Fees (9 Month / 39-Week Duration):	Range $210,000.00 - $402,000.00
TOTAL LIFECYCLE COST (5YR TERM):	**SaaS: $1,828,644.00 to $2,020,644.00** **Perpetual: $1,185,782.00 to $1,377,782.00**

In the requirements section, Cerebra responded "Yes" to all of the requirements. However, they only provided comments for a few requirements, typically where additionally work would be necessary to achieve the functionality.

Their demonstration was presented using an existing application for submitting complaints to a public audit. Although the demonstration was not tailored to our situation it did provide us with an opportunity to view how Cerebra my deploy a solution for us.

- Intake – They walked through the screens that would be used by a driver to initiate a request for hearing. The screens were completely configurable to accommodate our needs.
- Work Queues – They demonstrated how they managed work queues by presenting a list of available queues and by clicking on one item the work items selected by that criteria are listed on the screen. These could be outstanding cases over x days old, specific types of cases, cases assigned to individuals, etc.
- Dashboard – They showed a variety of charts that could be configured to meet whatever segregation and presentation of the work that is needed. The charts were intuitive in their design and color. It appeared that up to eight charts could be presented in one dashboard screen.
- Workflow – Each work item that is created can have it's own workflow steps. These steps are configurable and can vary for each work item. The workflow can be nested, such that an item could have a high-level workflow of Intake –> Open –> Closed, with individual steps and status within each of those i.e. Intake (Received, Accepted), Open (Assigned, Scheduled, Initial Review, etc.). When the work item is opened on the screen, the workflow status is shown in a subway line diagram.
- Case Management - Worker's have a screen that shows all the outstanding work and tasks assigned to them. From their they can open the necessary work item and continue processing it.

Each work item will show the workflow status, task status, priority, and notes can be added for each stage.

- Documents – Document templates can be created and available for selection. The template can auto-populate fields and also allow for changing any of the template boilerplate. Documents can be attached to cases using drag and drop.

Royobo - Appian

Roboyo is the world's largest IA professional services company and a global partner of Appian, with locations in 18 cities, across 11 countries and 3 continents. They applying disruptive open-source technologies to solve strategic and operational challenges and deliver platforms and systems engineered for the future. Their solutions are cloud-agnostic and are built on a foundation of streaming data and event-driven architectures that can scale to meet the exponentially increasing data volume and velocity demands in the new, rapid-paced digital era. Royobo has strong product partnerships with industry leading IA vendors such as Appian, UiPath, Power Automate, and ABBYY and others.

Appian Corporation is a software company that automates business processes. The Appian Platform is a low-code platform that includes everything you need to design, automate, and optimize even the most complex processes, from start to finish.

Roboyo's response presented their technical capabilities and past project performance, highlighting how that would benefit this project. Their overview of the platform architecture was detailed and emphasized how it would support our requirements. In describing their solution they provided a lot of detailed bullets showing what could be accomplished primarily using configuartions. The approach to delivery appeared to be appropriate for a project of this type, using an Agile methodology. They described three project that were of a similar case management functionality; all three of them were in Queensland, Australia. Roboyo did not include any financial information for the project but did suggest that the project would take 12-15 month to complete.

In the requirements section Royobo responded "Yes" to all the requirements. They also provided comments with all of the requirements providing clarity and additional information.

The Roboyo team took the time to configure their product for our needs and showed us how a request would be created, reviewed, and scheduled. They appeared to have a good understanding of our needs and provided a reasonable introduction to how their solution might be deployed.

- Intake – They showed how a request would be completed, capturing case, driver and attorney information.

- Work Queue – Assigned cases are displayed in a list showing the stage, status, petitioner and attorney. Selection "buttons" across the top of the screen allow for selection by status i.e., Open, In Hearing, Final Order. A checklist can be used to ensure that each aspect of a case is considered; each item was a Yes or No indicator. Documents can be attached to a case using drag and drop.

- Scheduling – Scheduling is integrated with the Microsoft Outlook calendar and allows staff to see availability and schedule hearings. Noticed are sent out to each participant.

- Dashboard – The dashboard was well organized and presented with both graphic, list and summary information. It also showed reminders, alerts and sticky notes.

- Portal – The demonstrated how an attorney would access their cases and see a summary of their cases by status and a list of outstanding cases. From the portal they can also create a new request and reschedule appointments.

- Document Management – Although the demonstration didn't include much on document management, it is expected that they would integration with an appropriate document management system that would meet the buld of our needs.

Visionary Integration Partners / Tyler Technologies – "Application Platform"

Visionary was established in 1996 and brings 27 years of experience working with more than 1,300 customers across the state, local, and federal government markets to implement leading edge information technology solutions. Visionary has built a reputation providing systems integration, end-to-end implementation, organizational change management, project management, thought leadership, business process mapping, training, and oversight support services for numerous complex and high-value government projects across the country. VIP has worked with numerous COTS product partners and become the trusted partner of choice for value-added COTS product and SaaS implementation services.

Tyler Technologies partners with government and schools to deliver technology solutions. They specialize in creating software solutions for various government entities and industries to help them manage and streamline their operations. They have decades of experience providing software and services, beginning with an exclusive focus on the public sector in 1997. Public sector software is all they do.

Tyler's **Application Platform "AP"** (formerly Entellitrak), is a highly configurable, enterprise-level, web-based application that provides a broad range of capabilities for inputting, processing, tracking, managing, and reporting on all types of cases. The platform includes a number of specific features required by government agencies for managing and tracking legal and appellate cases.

Their RFI response included an executive summary that provided a solid overview of the participants, the solution and the approach to the project. They are proposing a robust Agile methodology and outlined the various stages to expect. Some of their recent projects included:

- California Department of Social Services (CDSS) appeals case management system,

- West Virginia's Offices of the Insurance Commissioner (WV OIC) Workers' Compensation Claim Protest Case Management,
- Virginia Department of Medical Assistance Services (DMAS) Appeals Case Management System,
- US Department of Labor (DOL) Appeals Case Management,

They described their solution in detail highlighting how it supports our needs as well as additional features of the platform. Their solution would be starting with an existing case management system that would be further configured for our needs. They emphasized the continuously configurable aspects of the solution as a feature to avoid long programming roll-outs and keep the constantly current. The architecture section provided an overview of the structure and features of the solution as well as how it would interface with other DOL systems. VIP provided the following financial information with their response and projects the project to take 13-16 months.

Item	Year 1	Year 2*	Year 3*	Year 4*	Year 5*	Total
Licenses, Maintenance & Hosting 45 Concurrent Users + eFile	$1,000,000	$360,000	$375,000	$390,000	$405,000	$2,530,000
Professional Services / One-Time Implementation Costs	$1,900,000	-	-	-	-	$1,900,000

In the requirements section they also responded "Yes" to all the requirements. On the requirement for processing online payments they responded "Partial" in that they would interface with our preferred payment processor, which is essentially what the other respondents indicated, although they responded "Yes".

VIP indicated that it was willing to provide a demonstrate but was not asked to do so. HIU selected the three top respondents above for a demonstration.

Spartan Technology Solutions – "Legal Case Management System"

Spartan Technology Solutions was incorporated in 1999 and is headquartered in South Carolina. They have specialized in court case management systems from their inception. Spartan focuses on developing a long-standing relationship, rather than a one-time engagement when providing a service or product. They have a dedicated team of professionals with a firm passion and commitments to making each project a success.

Spartan's **Legal Case Management System** is configured to meet individual customer needs, resulting in increased productivity and data integrity. Their specialized case management software is easy to use with features that are designed for legal professionals and securely hosted in the GovCloud! Spartan is the trusted solution, with over 12 million citizens served by offices using Spartan!

Their response to the RFI provided an overview of the background of Spartan as well as their current position in court case management. An overview description of their Legal Case Management System was provided outlining the features and benefits of their solution. They provided ample information along with screenshots covering all the major functional areas. Their resosponse to the architecture question was very brief, only three lines. The project approach described was a traditional waterfall methodology.

Spartan provide a sample of current and recent projects similar to our needs.

- Washington State Board of Tax Appeals Legal Case Management System, recently started.
- South Carolina Prosecutor Case Management System, as well as counties in Alabama, Virginia, Arizona, and California.
- Spartan has recently been awarded another State's Attorney General's office and the majority of that State's prosecutor offices through a competitive bidding process.
- South Carolina Department of Social Services' Legal Department (statewide).
- Pennsylvania defender case management system, Spartan Defender.
- Spartanburg, Greenville, Beaufort, and Horry County Probate Courts, and the State Ethics Commission.

The financial information they provided addressed both software and licensing, as well as professional services. However, the total 5 year life-cycle cost was only $472,000 which was significantly lower than that other respondents.

Year Cost	Solution Cost	Optional Services Cost	Annual Support	Hosting Fee	Additional Storage Cost	Total
1st Year	$172,400	$15,000	$24,220	$6,750	$0	$218,370
2nd Year			$24,220	$6,750	$0	$30,970
3rd Year			$24,220	$6,750	$0	$30,970
4th Year *5% support increase*			$25,431	$6,750	$0	$32,181
5th Year			$25,431	$6,750	$0	$32,181

In the requirements section, Spartan responded "Yes" to all but 6 requirements; 3 were "Partial" and 3 were "No". The "No" responses were processing refunds, customized screens and electronic signatures. They provide comments for a lot of requirements but it was not very informative.

Spartan indicated that it was willing to provide a demonstrate but was not asked to do so. HIU selected the three top respondents above for a demonstration.

Tybera Development Group – "eSuite (eFlex, Alpine, CEDAR)"

Tybera was founded in 2001 and provides electronic filing, case management and document management solution for attorneys, courts and government agencies. They support all court types and all filing types. Their technology may be acquired by license, subscription, or per transaction, offering the most versatile eSuite of products at an affordable price.

eFlex eFiling System - eFlex consist of two modules; the Filer Interface or Electronic Filing Service Provider (EFSP), and the Review Interface or the E-Filing Manager (EFM). It supports all filing types, court types and jurisdictions, including appellate courts. It also provides powerful workflow queues and various judicial tools like CASEaDia-PDF binder technology.

Alpine Case Management System - Alpine is a browser-based case management system that manages cases, parties, events and calendaring through the complete lifecycle of a case. Alpine improves standard concepts of case management by adding powerful, natural language search features that users expect from web applications.

CEDAR Document Storage System - CEDAR is document archiving and storage technology designed to fit the needs of courts and government agencies. CEDAR maintains the index information that manages where documents are stored in relation to the case and for revision control and the movement and replacement of documents. It uniquely offers powerful natural language 'Google-like' searching as well as digital document locking for security.

The Tybera response to the RFI included a brief overview of the company, and much more time on the features and benefits of the solution itself. They provide a good overview of each of their three products and how they would support our needs. The technical information provided was well organized and specific. Their methodology for this project would be a waterfall traditional approach and is expected to take less than 12 months. In the financial section they only provided operating costs for the solution; no financial information was provided for profession services necessary to organize, configure and manage the project.

		Hosted at Customer
eFlex eFiling	Tranx cost, per submission	$ 5
	Base installation cost	$ 15,000
Alpine and CEDAR	Base installation cost	$ 25,000
Number of users is 1 to 3	Annual cost per user	$ 2,000
4 to 10	"	$ 1,800
11 to 15	"	$ 1,600
16 to 20	"	$ 1,400
21 to 30	"	$ 1,200
31 to 50	"	$ 1,000
51+	"	$ 800
eSuite (eFlex, Alpine, CEDAR)	Base installation cost	$ 35,000
Number of users is 1 to 3	Annual cost per user	$ 4,000
4 to 10	"	$ 3,600
11 to 15	"	$ 3,200
16 to 20	"	$ 2,800
21 to 30	"	$ 2,400
31 to 50	"	$ 2,000
51+	"	$ 1,600
Optional services		
Public Access Portal, per internal user/yr	Annual cost per internal user	$ 800
Filer Phone Support, per internal user/yr	Annual cost per internal user	$ 750

Tybera's response to the requirements sections included "Yes" to all but 2 requirements; both having to do with Outlook 365 integration. There was very little additional information provided in the comments sections other that some assumptions.

Tybera indicated that it was willing to provide a demonstrate but was not asked to do so. HIU selected the three top respondents above for a demonstration.

FAST Enterprises

Fast Enterprises did not provide a response to the RFI. Since FAST was the current software provider supporting DRIVES, the Hearings and Interview Unit reached out to them to see if they were interested in providing a demonstration of how they might address the requirements outlined in the RFI.

Fast Enterprises provides integrated COTS systems that modernize operations and enhance efficiencies in agencies worldwide. Their FastCore software platform provides the foundation for their line of modular, pre-built software products, each of which is designed to provide digital-first capabilities for sector-specific government services and programs.

The demonstration of the FAST Technologies solution was presented as a conversation and review of the major high-level requirements with their comments regarding its availability in DRIVES today or how it might be implemented. Some demonstration of existing and proposed functionality was shown with some discussion around how it would could be configured to meet HIU's needs.

The FAST solution appears to be a COTS solution that can be modified and adapted to meet the needs of customers. Unlike the other demonstrations, this solution was not of the "low-code / no-code" variety. There appeared to be very little that could be under the control of an end user administrator.

Overall RFI Response Evaluation

The level of detail provided by each of the respondents varied considerably. In order to develop some sense of the overall ranking of the reponses, we conducted a summary evaluation of how HIU viewed specific aspects of each response. All six respondents were included in the RFI Response evaluation, and only those providing a demonstration were included in the Demonstration Response. Below is the results of that evaluation.

Description	Score 1-10	Weighting	Max Pts - Weighted	Accenture	Cerebra	Roboya	Visionary	Spartan	Tybera
RFI RESPONSE									
Management Response	10	10%	1.00	9.00	7.00	6.00	5.00	5.00	4.00
Requirements Response	10	60%	6.00	9.00	7.00	4.00	7.00	3.00	3.00
Implementation Response	10	10%	1.00	9.00	7.00	4.00	5.00	3.00	3.00
Financial Response	10	20%	2.00	7.00	5.00	0.00	7.00	3.00	0.00
Total Reponse Score		100%	10.00	8.60	6.60	3.40	6.60	3.20	2.50
DEMONSTRATION RESPONSE									
Product Demo	10	40%	4.00	7.00	5.50	7.00			
Capability Explanation	10	30%	3.00	7.00	6.50	6.50			
Portal	10	30%	3.00	7.00	7.00	7.00			
Total Demo Score		100%	10.00	7.00	6.25	6.85			
RESPONSE SUMMARY									
Total Reponse Score	10	60%	6.00	8.60	6.60	3.40	6.60	3.20	2.50
Total Demo Score	10	40%	4.00	7.00	6.25	6.85	0.00	0.00	0.00
Overall Score		100%	10.00	7.96	6.46	4.78	3.96	1.92	1.50

The Accenture / Elex Ratio response was the highest overall score in the evaluation. Their demonstration provided a reasonable opportunity to see the product in action and get a sense of it's capabilities. However, there were a number of important areas that were not covered due to time limitations; which was the case for the other demonstrations as well.

4 Alternative Analysis

In conducting an alternative analysis for a computer system there are typically four main options for consideration.

- Status Quo
- New System
- Custom System
- Hybrid, of the above

The determination of which alternative to use must be driven by the specific needs and requirements of the business unit. A description of each alternative is presented below along with the general pros and cons of each one. This section is presented as a matter of providing a complete analysis of the various approaches to address the problem. Even though HIU has a fairly clear picture of the direction they would like to go, this section provides a backdrop of the other choices and their strengths and weaknesses. Evaluating the current course of action against these other alternatives provides HIU with a strong foundation upon which to make a decision.

1.14. Status Quo

Clearly, staying with the current situation is not the preferred option. It is the ongoing short-comings of the status quo that is motivating HIU to undertake this feasibility study to look for an alternative option. As part of this feasibility study we completed a complete current state (as-is) process analysis, which can be found in Deliverable #1 As-Is Process Flows. As a result of that analysis, a complete list of pain points, and short-comings has been documented; a summary can be found in Appendix 1 – Pain Points.

A summary of the pros and cons of staying with the status quo is as follows:

Pros

- No additional cost outlay
- No impact on staff due to system changes
- No additional training costs
- Agency has already incorporated long-term costs for software upgrades provided as by vendor

Cons

- Inefficient work process resulting in lower productivity – i.e. existing templates must be generated, downloaded, corrected then attached to hearing cases
- Lack of integration with other systems, functions
- Ongoing risk of losing evidence due to file storage issues

- Ongoing risk of appellate litigation due to difficulty access artifacts
- Public disclosure requests are too time consuming
- Risk of erosion of public confidence and potential for negative publicity
- Poor response times to required changes based on business or statutory changes of documents generated within system. Users must create templates outside of system which increase risk of errors.
- Necessary changes are prioritized in conjunction with all other program areas so what might be priority for business need may not be priority or be done timely according to IS schedule.
- Inability to add document templates for new statutory case types
- Lack of integration between drive record and hearing case of changes/updates to customer information
- Poor search capabilities to utilize case data for process improvement and fiscal planning
- Same production and usefulness deficiencies as we already have with very little if any improvements experience with current system which leads to questions about if they have it, why they are not using it

1.15. New System

A new system that would meet the needs of the HIU business unit would typically be in the form of existing software that would be modified to address the unit's needs. There are many software products available in the area of Legal Case Management that would meet at least some of the requirements, as found in the market research described previously. Most are focused on law firm management and legal court management. However, some do include functionality for government and non-legal entity functionality. In virtually all cases they are some changes the would be required to meet HIU's needs. These new systems would come in two forms.

COTS, or commercial-off-the-shelf, is a product that is delivered as is. It is typically delivered to be run on the client's hardware/software environment. COTS products are designed to be easily installed and interoperate with existing system components. Some of the benefits of using COTS products are lower costs, reduced development time, faster insertion of new technology, and lower lifecycle costs resulting from using readily available and up-to-date products. MOTS, or modified-off-the-shelf, is COTS hardware that can be modified by the purchaser, vendor, or a third party to meet customer requirements.

Software as a service (SaaS) allows users to connect to and use cloud-based apps over the Internet. Common examples are email, calendaring, and office tools (such as Microsoft Office 365). SaaS is a software licensing and delivery model in which software is licensed on a subscription basis and is centrally hosted. The public cloud provider manages all the hardware and traditional software, including middleware, application software, and security.

A summary of the pros and cons of acquiring a new system is as follows:

Pros

- **Cost Savings:** COTS systems are usually cheaper to acquire compared to custom-built solutions. They eliminate the need for extensive development, which can significantly reduce costs.
- **Time Savings:** Implementing a COTS system can be much quicker than building a custom solution from scratch. This can lead to faster deployment and quicker realization of benefits.
- **Proven Functionality:** COTS systems are already developed, tested, and used by other organizations. This means that they often come with a track record of successful implementations and known functionality.
- **Lower Risk:** Since COTS systems are already in use by other organizations, many of the initial bugs and issues may have been identified and addressed. This can lower the risk of critical failures.
- **Expert Support:** COTS vendors typically offer support services, including troubleshooting, updates, and maintenance. This can provide access to expert assistance without the need to build an in-house support team.
- **Scalability:** Many COTS systems are designed to be scalable, allowing for easy expansion as the organization's needs grow.
- **Integration:** Some COTS systems are designed to integrate with other common software tools, making it easier to connect them with existing systems.

Cons

- **Limited Customization:** COTS systems are designed to cater to a broad range of users, so they might not perfectly align with the specific needs of your organization. Customization options might be limited.
- **Lack of Uniqueness:** Since COTS solutions are used by multiple organizations, there's a chance that your organization's processes might not be fully supported or unique features might be missing.
- **Upgrades and Compatibility:** Over time, your COTS system might become outdated or incompatible with new technologies, requiring frequent updates or migrations.
- **Hidden Costs:** While COTS systems might appear cheaper upfront, there can be hidden costs related to licensing, customization, training, and ongoing support.
- **Learning Curve:** Implementing a new system, even if it's a COTS solution, requires training for your staff. This can result in a learning curve and potential productivity loss during the transition.

1.16. Custom Build

Custom building a new system involves the design, development, and implementation of a computer system tailored to meet the specific needs and requirements of the organization. This approach entails creating a solution from the ground up, allowing for maximum customization and alignment with the business processes.

Custom building a new system offers the potential for a highly tailored solution that aligns closely with your requirements. However, this option comes with higher costs, longer development times, and increased risks. Careful consideration is necessary to weigh these factors against the benefits to make an informed decision based on specific needs, resources, and long-term goals.

A summary of the pros and cons of custom-building a new system is as follows:

Pros

- **Tailored Solution:** A custom-built system can be designed to perfectly fit the specific needs and requirements of the organization. This can result in increased efficiency and productivity as the system aligns closely with existing processes.
- **Scalability:** Custom systems can be designed with scalability in mind, allowing the organization to expand and adapt the system as the business grows without significant limitations.
- **Integration:** A custom system can be designed to seamlessly integrate with existing software, databases, and processes, reducing data silos and improving overall workflow.
- **Data Security:** Custom systems can be developed with security measures tailored to the organization's specific needs, potentially providing a higher level of data protection compared to off-the-shelf solutions.
- **Long-term Cost Efficiency:** While initial development costs might be higher, a custom-built system can lead to long-term cost savings as it eliminates ongoing licensing fees and customization expenses associated with commercial software.
- **Ownership and Control:** With a custom solution, the organization has full ownership and control over the system, including the ability to modify and enhance it as needed without relying on external vendors.

Cons

- **Higher Initial Costs:** Developing a custom system can involve significant upfront costs related to design, development, testing, and implementation. This can strain the budget, especially for smaller organizations.
- **Extended Development Timeline:** Custom systems often take longer to develop compared to implementing pre-existing software. Delays in development can impact the organization's ability to implement the solution in a timely manner.

- **Technical Expertise:** Developing a custom system requires specialized technical expertise. The organization needs to have access to skilled developers who understand the business needs and can design and build the system effectively.
- **Risk of Over-Engineering:** There's a risk of over-complicating the system by adding unnecessary features or complexities that might not actually benefit the organization.
- **Maintenance and Support:** After deployment, ongoing maintenance, updates, and support for a custom system can be more challenging and resource-intensive than for off-the-shelf software, which often comes with dedicated support teams.
- **Dependency on Internal Resources:** Custom systems rely heavily on the availability of internal resources, including developers and technical staff. This dependency can become an issue if key personnel leave the organization or are unavailable.
- **Lack of Pre-Tested Solutions:** Commercial software often goes through extensive testing and refinement before being released to the market. A custom-built system may lack the same level of pre-testing, leading to potential bugs and usability issues.

1.17. Hybrid

The hybrid approach for building the new computer system embodies a strategic combination of multiple technologies and methodologies, combining the best aspects of different solutions to create a robust and efficient system. This approach acknowledges that no single solution can perfectly address all requirements and challenges, hence the need to harmonize diverse elements for an optimal outcome.

A summary of the pros and cons of using a hybrid approach to a new system is as follows:

Pros

- **Flexibility and Adaptability:** A hybrid approach allows you to leverage the strengths of different technologies or methodologies, making it easier to adapt to changing requirements or technology advancements.
- **Risk Mitigation:** By combining multiple technologies, you can mitigate the risk of relying solely on a single solution. If one part of the system fails, other components might still be operational.
- **Cost Efficiency:** You can optimize costs by using cost-effective solutions where applicable and investing in more sophisticated solutions only where necessary, potentially resulting in a more balanced budget.
- **Best-of-Breed Software and Tools:** Instead of relying solely on a single software vendor, the hybrid approach allows for the adoption of best-of-breed solutions for specific functional areas. This enables the organization to benefit from cutting-edge capabilities tailored to each department's needs.
- **Scalability:** A hybrid approach can provide scalability options, enabling you to scale specific components of the system independently based on demand.

- **Legacy Integration:** If you're transitioning from a legacy system to a new one, a hybrid approach allows for gradual integration, reducing disruptions and risks associated with a complete overhaul.
- **Leveraging Existing Resources:** Utilizing existing infrastructure, software, or expertise can save time and effort compared to building everything from scratch.

Cons

- **Complexity:** Integrating multiple technologies or methodologies can increase the complexity of the system, potentially leading to challenges in development, maintenance, and troubleshooting.
- **Integration Challenges:** Ensuring seamless communication and compatibility between different components can be difficult and may require additional effort.
- **Skill Requirements:** Developing, implementing, and maintaining a hybrid system might require a broader range of skills, which could lead to resource constraints or increased training needs.
- **Vendor Lock-In:** Depending on the technologies used, you might become dependent on specific vendors for support, updates, or maintenance, limiting future choices.
- **Security Concerns:** A hybrid system could introduce security vulnerabilities at the points of integration between different components, requiring careful attention to security measures.
- **Higher Initial Complexity:** Setting up a hybrid system may take longer and involve more upfront planning due to the need to coordinate different components.
- **Maintenance Challenges:** As technologies evolve, maintaining compatibility and updating different components could become challenging and resource-intensive.

1.18. Summary

This report looked at a comparison of various approaches that the department could take to address their business process needs. Additionally, we completed a comprehensive review of the market for solutions that might be appropriate for the Hearings and Interviews Unit's business processes. This included very broad research as well as very detailed analysis of some solutions.

The following bullets represent the results of this analysis.

- There are a variety of approaches that HIU can take to address their business requirements. The high-level pros and cons of those approaches have been documented.
- Market research has shown that there are solutions available that would be appropriate for the unit to consider.

- The project and support budget for this undertaking appears to be in the $2M to $4M range, according to the RFI reponses.

The purpose of this deliverable was to conduct the research and analysis. The analysis looked at the overall risk, costs, benefits and viability of each alternative. This analysis provides a foundation for the development of specific recommendations and next steps. The next deliverable will present the recommendations that arise from this analysis along with a high-level cost benefit analysis of those recommendations.

5 Recommendations

The primary recommendation is to continue the current course to **acquire a new Commercial-of-the-Shelf (COTS) solution**. This feasibility study indicates that the acquisition of a new system is the best from the perspective of business fit, technically feasible, economic viability, and alignment with organizational goals. The major deciding factors included:

- Functionality is expected to better match HIU's business needs with the least effort.
- There are several vendors that offer solutions that address the business area.
- COTS are typically based on industry best practices which will benefit HIU productivity.
- The software is available on a Software-as-a-Service (SaaS) basis, reducing the need for hardware, software, and technical support.
- Initial costs to implement a COTS solution are typically lower than some of the other approaches
- It would be expected to have the shortest timeline for implementation.

9.1. Rational for Options Not Chosen

All the options offered some benefits to HIU as well as shortcomings. Of the options not recommended, here are the primary reasons why they were not selected.

- **Status Quo** – The reasons for not staying with the status quo are well documented in the pain points included in the previous deliverable. Continuing this way will continue to impact staff's morale regarding inefficient and ineffective processes, external participants customer satisfaction, and the risk to the agency of loss of evidence.

- **Custom Built Solution** – Although a custom-built solution, on the surface, offers the best fit to the business requirements and ability to accommodate staff's needs, it also has the highest risk of failure and expense. Custom solutions are often the most expensive and most risky compared to other approaches. Because of the larger staffing and complexity, the timeline is often much longer.

- **Hybrid Solution** – This approach typically offers the best of acquiring a solution(s) as well as making modifications to it to better match the business needs. The challenge of integrating multiple software to meet the need is potentially challenging. Also, making customizations to the existing software package(s) results in HIU not benefiting from ongoing improvements to the base systems. Customizations are typically more expensive, riskier, and often don't address the primary concern of fit.

9.2. Next Steps

To move forward with the acquisition of a new COTS solution for HIU there are a few activities that must be considered and completed. In addition to gaining legislative and/or funding approval there are other tasks necessary to prepare for this project. Below are some steps for consideration going forward.

1. Prepare the documentation necessary for a legislative and / or funding request.
2. Determine the budget, funding strategy and timeline.
3. Prepare a Statement of Work (SOW) for professional services to support the requirements refinement, RFP preparation, vendor selection and implementation.
4. Revisit the business needs and develop detailed requirements that can be used for RFP and vendor evaluation.
5. Prepare a Request for Proposal (RFP) to acquire a COTS software solution, including details for.
    - Business requirements
    - Technical requirements
    - RFP response requirements
    - Evaluation criteria
    - Demonstration requirements
    - Selection process
    - Implementation requirements
6. Publish and support the RFP
    - Vendor Q&A

- Response collection and validation
- Evaluation
- Demonstration preparation and execution
- Final evaluation and selection
- Announcement
- Contract negotiations

7. Implementation Project - The overall length of the implementation project itself will possibly be 9 to 12 months in duration. Below is a possible timeline to illustrate the sequence and duration of these tasks.

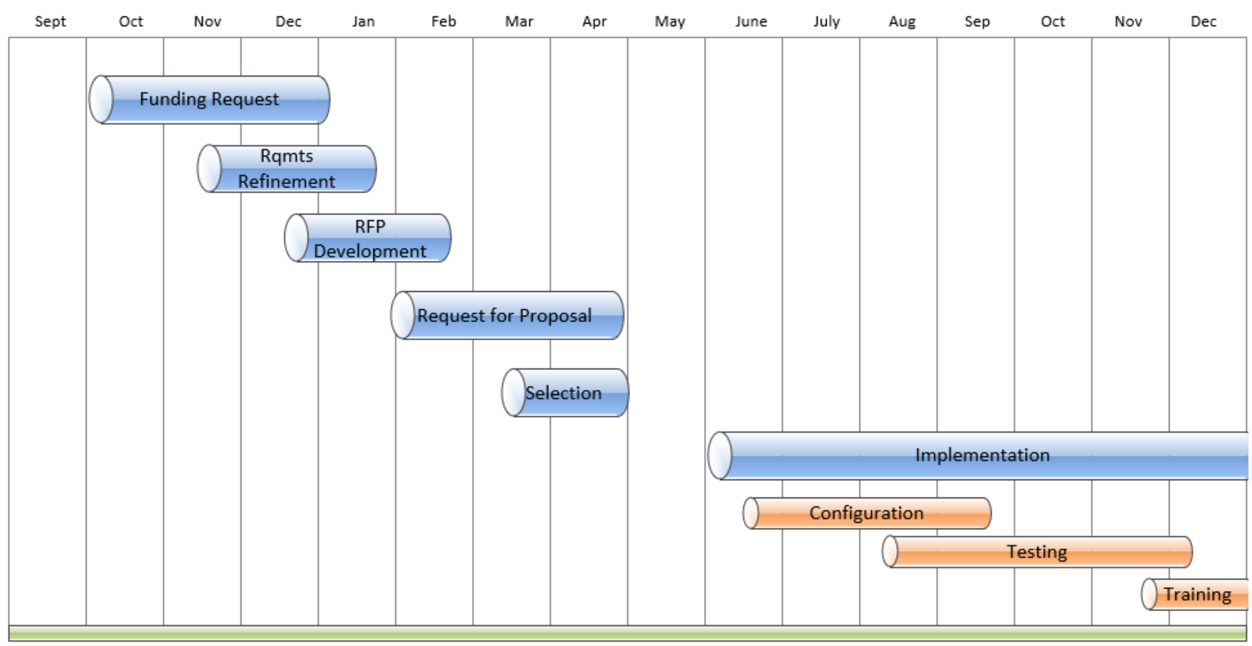


Figure 1 – Illustrative Timeline

6 Cost and Benefit Analysis

For the purposes of this feasibility study, the cost-benefit analysis has been presented as a cost summary and a benefit summary. The reason for this is that the scale of this study precluded developing detailed cost estimates on a line-item basis, and precluded the analysis sufficient to develop actual cost savings estimates from benefits identified.

12.1. Cost Summary

The costs used in the summary below were taken from the responses we received from the Request for Information (RFI). The amounts they submitted did not provide an ideal comparison since there were not a lot of details provided. These are all non-binding responses, and we didn't get cost numbers from all respondents. The numbers we did get could be viewed in several ways. The vendor may have been trying to give us their most accurate assessment of costs. Or the vendor may have "low balled" their estimates to make their response more appealing to us. Or the vendor may have given us higher numbers to get us to raise the overall budget for the RFP. So, our use of these numbers needs to be very measured.

Using those numbers, as well as anecdotal experience performing similar projects, we arrived at the values below. The bottom line is that these are all best-effort estimates and should be used only as an indication of the potential costs.

	Year 1	*Year 2*	*Year 3*	*Year 4*	*Year 5*	*Total*
Acquisition Costs						
Hardware, Software	$400K	-	-	-	-	$400K
Procurement Costs	$150K	-	-	-	-	$150K
Implementation	$1.5M	-	-	-	-	$1.5M
					Total Acquisition Costs	***$2.1M***
Operating and Maintenance Costs						
Personnel	$150K	$158K	$165K	$174K	$182K	$829K
Ongoing Enhancements	$120K	$120K	$120K	$120K	$120K	$600K
Licensing, Maintenance	$0	$360K	$375K	$390K	$405K	$1.5M
Hosting Services	$150K	$150K	$150K	$150K	$150K	$750K
					Total 5 Year Operating Costs	***$3.7M***
					Total 5 Year Costs	**$5.8M**

Table 1 – Cost Summary

- **Hardware and Software Costs:** The cost for the software was specified in only one response. Some other responses had it included in the implementation costs.
    - **Hardware**: This could include additional hardware needed to host the software in-house, and / or the hosting costs of having the system run on an external platform.
    - **Software**: Expenses related to acquiring licenses for operating systems, databases, applications, and other software. The cost for the software was specified in only one response. Some other responses had it included in the implementation costs.
- **Procurement Costs –** The cost for all the tasks necessary to prepare and execute the RFP. This would include requirements refinement, RFP preparation and support, vendor demonstrations, selection, and contract negotiation.
    - **Outside Expertise**: The use of outside consultants and agency experts to support the preparations for the RFP as well as executing and evaluating the results, vendor selection and contract negotiations. Also, ongoing project support for project management and business analysis.
    - **Procurement**: Expenses necessary to engage a consultant and other external expertise to prepare and RFP and support the analysis and selection of a software vendor.
- **Implementation Costs** – The total cost to implement the solution includes additional expertise, resources, testing, and data migration. Some responses had implementation and software purchase reported together. This could be a variance of +/- 50%.
    - **Implementation**: Costs to work with the vendor to install and configure the software to the requirements and test the configured system.
    - **User Training**: Costs associated with documentation and training employees to adapt to the new system.
    - **Migration**: Costs related to migrating data and processes from old systems to the new system.
- **Personal** – This estimate is for one dedicated support staff that would perform most of the ongoing configuration, would be the first line of support for the unit and interface with the vendor. It includes a 5% inflation increase annually.
- **Ongoing Enhancements** – An estimate of costs for ongoing changes and enhancements for the system.
- **Licensing, Maintenance** – The annual costs for software licensing (for ongoing enhancement to the core product) and software maintenance (ongoing user and technical support from the vendor.)

- **Hosting Services** – Vendors didn't elaborate any specific numbers for hosting the system as a Software-as-a-Service (SaaS) offering. These values are the best extrapolation guess along with reference to prior projects. This could be a variance of +/- 50%.

12.2. Benefit Summary

The benefits that accrue from this project have been highlighted in previous documents. The analysis below attempts to organize most of those benefits into broader categories that would be more appropriate to support a legislative and / or funding request.

Time Savings and Efficiency:

- Document management will make document handling easier and quicker, avoiding the need to replicate documents, add images, redact, re-assemble and merge into a single document.
    - All letters and forms will be able to be created from the system, with the ability to use templates, pre-populate data, change date, print, and file. Letter generation can be moved out of DRIVES into the system, allowing HIU staff full control the format, content and filing of the letter.
        - Letters generated in DRIVES typically cannot be used without modification. Staff are required to create the letter in DRIVES, save to a local drive, modify the letter, then save it back to the case.
        - Staff must invalidate the auto-generated letter in DRIVES. There are a few letter types that work as designed and do not require manual intervention.
        - Discovery Packets will not have to be printed to PDF, saved locally then uploaded into DRIVES.
    - Drag and drop files to cases will save time and reduce errors.
- DRIVES Integration
    - Information contained in DRIVES can be interfaced directly, when setting up a new case.
    - The new system can send updates directly to DRIVES when transactions occur to keep both systems in sync.
- Calendaring Integration
    - Integrating the hearings calendar in the system with Microsoft Outlook will save time by avoiding having to post it in DRIVES as well as staff's calendar, reducing errors in scheduling and time.

    - When a meeting is scheduled, an invitation will be automatically sent to hearing participants.
- Notifications: The use of reminders and notifications to internal and external participants will improve communication and avoid overlooked activities.
    - Staff will receive notifications when a case is in Pending Decision Status staff and documents (i.e., supplemental Sworn Report pages) have been received or case has expired (after 30 days). Currently DVR emails staff when report has been added.
    - Notifications can be sent when case information is received, and the assigned staff is away. Currently the attorney will send a request for a Subpoena and if the Hearing Examiner is away i.e., on vacation, the attorney is not notified.

Cost Savings:

- Expanded File Types: The new platform will enable the exchange of a broader variety of file types like video and audio. Attorneys and Law Enforcement will be able to upload video and audio files via the portal.
    - Attorney's office can avoid burning video onto a disc to send it to DOL.
    - Law Enforcement could use the portal to upload videos.
    - Staff can send files to participants via email when needed.
- Electronic Signatures: The use of electronic signatures will reduce the effort in producing paper documents.
    - Documents for signature will remain in the system both before and after signing. There will be no need to download, and upload signed documents.
        - The current process of digitally signing a Subpoena document requires staff to copy and paste their signature into the subpoena document using Adobe.
- Paper and Printing: A reduction in the amount of paper and printing.
    - Notices and documents will not have to be sent to a special mailbox to be printed and sent out by postal mail.
    - Documents will not have to be printed, changed, and uploaded.
        - If you print the packet and discover something is missing or needs to be updated, staff needs to recreate the entire print folder.
    - Discovery Packets will not have to be printed to PDF, saved locally then uploaded into DRIVES.

Customer Satisfaction:

- Improved Customer Experience: Measure the impact of the system on customer satisfaction and loyalty.
  - Portal access will allow external participants to submit documents, request hearings, reschedule, and stay abreast of the status of their case.
  - Attorney preferences will be maintained in the system and more readily available when staff need them.
  - Reduced delays in providing the Attorney General with necessary documentation for appeals.
  - Mitigates against the erosion of public confidence and the potential for negative publicity.
  - Greater communication (portal) between litigants, law enforcement, and staff.

Accuracy and Quality:

- Hearings will be able to be recorded directly from the system and automatically named, filed, and uploaded to DRIVES.
- Reduced Errors: The reduction of manual processes will provide less opportunity for errors to creep into the work.
- Reduced Duplication: Using document managements templates that are configurable and modifiable will provide time savings and error reduction. Integration of DRIVES and Microsoft Outlook will eliminate the need to repeat work.
- Workflow: With workflow management all participants will be able to view and manage their workflow and avoid items getting buried and forgotten.
- Enhanced Quality: The new system will reduce the need for data entry by interfacing with DRIVES and Outlook, which will improve data by eliminating the opportunity to introduce errors.

Scalability and Flexibility:

- Using a hosted platform, the system will be able to scale up or down to match the needs of the agency.
- A system that includes document management, workflow management, etc. will enable the unit to make changes to their processes via user-controlled configuration parameter.

Risk Reduction:

- Security and Compliance: Reduction of risk through improved security and compliance measures.

   - Built-in recording capability for hearings will eliminate the need for recordings to be manually uploaded to the G: Drive, and manually named in a specific format. This avoids the potential for error or loss of the recording.
   - Integration with Secure Access Washington (SAW) will ensure authorization of outside users accessing the data via the portal.
- Reduce risk in appellate litigations by improving the ability to provide artifacts.

Strategic Alignment:

- The overall project supports several strategic initiatives of the agency.
   - *Safe and Supported Communities: All customers will receive efficient, effective, and timely service*
      - Improved access to online services.
      - Timely service for the public.
      - Improved in-person and phone hearings process.
   - *Safe and Secure Data: All DOL data meets the highest standard of privacy and security*
      - Updated access security rights for all participants.
      - Protect customers' personal information by using SAW for validation and authentication.

7 Acceptance

Signatures

Approval of this document signifies that all parties agree that the deliverable as submitted meets the requirements as outlined in the Deliverable Expectations Document (DED) and has been reviewed and accepted by DOL.

Deliverable Expectation Document (DED) Acceptance:

Treinen Associates

________________________________ ___9/11/2023____

Gary Hudson Date

Department of Licensing

_Marguerite Friedlander 9-13-2023________________

Marguerite Friedlander Date

___9/13/2023____

Marta Reinhold Date

Appendix 1 – Pain Points

General:

- Letters generated in DRIVES typically cannot be used without modification. Staff are required to create the letter in DRIVES, save to a local drive, modify the letter, then save it back to the case.
- Staff also have to invalidate the auto-generated letter in DRIVES. There are a few letter types that work as designed and do not require manual intervention.
- There is no portal to maintain documents between the Hearings and Interviews Unit, Hearings Examiners, Attorneys and Law Enforcement agencies. Documents must be mailed or emailed.
- The subpoena process is manually requested and emailed. Continuances must be requested through email.

Intake:

- If a request has been submitted but the issue has been resolved already, staff cannot use a Case. The action to be taken may not be available or may be greyed out and unable to be selected. Staff are forced to use the CRM tab in the Driving Record.
- All Denial letters are manually created outside of DRIVES in Word and are altered in each case.

Schedule:

- There is no automation in DRIVES for notifying participants that a meeting has been scheduled. For instance - it would be good if when scheduling a meeting, an invitation gets sent to all hearing participants.
- The hearings calendar in DRIVES is not integrated with Outlook. HE's and staff must manually manage their calendars in both places.
- The notice of hearing must be sent to a special email box to be printed and sent by postal mail.
- Attorney delivery preference is maintained within a separate spreadsheet.
- When in Pending Decision Status staff are not notified when documents have been received or case has been expired (after 30 days). Currently DVR emails staff when report has been added.

Discovery:

- Most letters created out of DRIVES require manual intervention. There are a few cases where documents do not need manual intervention prior to creating the Discovery Packet (e.g. ADR, Notice of Withdrawal (revocation letter)).
- The Pain Point is having to make sure all documents are correct prior to creating the Discovery Packet from the print folder. If you print the packet and discover something is missing or needs to be updated staff need to recreate the entire print folder.
- You can only discard the Discovery Packet and documents up to the point of printing. Once printed, extra steps are required to create a new Discovery Packet and mark the one that is not supposed to be used.

- Discovery Packet must be printed to PDF, saved locally then uploaded into DRIVES.
- Supplemental cover pages and documents must be manually created in Adobe to combine into the Discovery Packet.

Hearings:

- The DRIVES Calendar does not sync to Outlook calendar.
- There is no function in DRIVES to record a hearing.
- Recordings must be manually uploaded to the G:Drive, no automation for recording and backing up recordings within DRIVES. Recordings must be manually named in a specific format. This opens the prospect of error or inadvertent deletion when uploading the recordings.
- After final orders have been written and uploaded, the HE must consult a list of case specialists outside of DRIVES to ensure they are assigning it to the proper individual.
- DRIVES does not have the ability to drag and drop files to be uploaded.
- There is no Final Order Template available in DRIVES.
- There are multiple areas to research for common and important information in DRIVES. Multiple tabs must be consulted in order to find information for a single case.

Attorney:

- Currently the attorney will send a request for a Subpoena to DOL. However, if the Hearing Examiner is away i.e. on vacation, the attorney is not notified.
- Attorney's office currently burns the video onto a disc and sends it to DOL. Biggest pain point for attorneys.
- Requests for videos from law enforcement are not timely. And law enforcement agencies use different video formats.
- Sometimes assistant can't reach someone to reschedule.
- Different Hearing Examiners have different standards.

Law Enforcement:

- Need to contact the Hearing Examiner if the schedule changes and a new appointment is necessary. Email is the fastest way to communicate changes.
- There doesn’t appear to be any notice of cancelations.
- Mail is inconsistent. Email is most convenient.
- Hearing Examiner sends email but officer may not see it in time; i.e. off for 7-8 days.

Subpoena:

- Subpoenas are a manual process requiring attorneys to submit a form to an email inbox for digital signature by a Hearings Examiner.
- The current process of digitally signing a Subpoena document requires them to copy and paste their signature into the subpoena document. This is done through Adobe.
- Signed Subpoenas must be uploaded back into DRIVES after signature.

Final Orders:

- Stay modifications in DRIVES are manually calculated through an external calculator. E.g. Against findings for DUI are calculated at 15+3 Days.
- There are some actions that cannot be selected or unavailable in DRIVES and Record Corrections must make the correction i.e., Non-DUI. These constraints are both based on permissions or by policy.

Appendix 2 – RFI Cover Page and TOC

WASHINGTON STATE DEPARTMENT OF LICENSING

REQUEST FOR INFORMATION

RFI #8039

Project Title:	Hearings and Interviews Unit Legal Case Management System
Summary of Expected Results:	The purpose of this Request for Information (RFI) is to solicit feedback from the vendor community regarding the range of available services and products to support planning and development of funding requests to replace the outdated Hearings and Interviews Unit case management process.
No Contract Award:	Participation in this RFI is voluntary and will not result in an award of a contract.
	This RFI is available on the Washington Electronic Business Solutions (WEBS) Procurement Website at: https://fortress.wa.gov/ga/webs/. All addenda to the RFI and Bidder questions/DOL answers will be posted only on WEBS. Interested bidders must download this document and be registered in WEBS under one of the following commodity codes in order to receive further notifications: 204-47, 205-47, 205-29, 206-28, 206-55, 206-93, 208-20, 208-32, 208-37, 208-45, 208-53, 208-57, 208-63, 208-68, 208-80, 208-82, 208-88, and 209-69.
Response Due Date:	All Responses **must** be submitted electronically and must arrive via e-mail by 3:00 P.M. local Olympia, Washington time on July 21, 2023
Submit Response to RFI Coordinator:	Gregg Patterson, Senior Contract Consultant Department of Licensing E-mail only: DOLProcurements@dol.wa.gov Reference/Subject line: **Response to RFI #K8039**.
Special Notes:	Vendors are responsible for properly registering in the Washington's Electronic Business Solution (WEBS) system, https://fortress.wa.gov/ga/webs/ and downloading the RFI document and all exhibits, appendices and incorporated documents related to this request. It is important that any and all Vendors who wish to participate are able to communicate with the RFI Coordinator via e-mail.

TABLE OF CONTENTS

Appendix 3 – RFI Response Summary

K8039 RFI Vendor Response Evaluation Summary

Description	Score 1-10	Weighting	Max Pts - Weighted	Accenture	Visionary	Cerebra	Spartan	Roboya	Tybera	FAST
RFI RESPONSE										
Management Response	10	10%	1.00	9.00	5.00	7.00	5.00	6.00	4.00	0.00
Requirements Response	10	60%	6.00	9.00	7.00	7.00	3.00	4.00	3.00	0.00
Implementation Response	10	10%	1.00	9.00	5.00	7.00	3.00	4.00	3.00	0.00
Financial Response	10	20%	2.00	7.00	7.00	5.00	3.00	0.00	0.00	0.00
Total Reponse Score		100%	10.00	8.60	6.60	6.60	3.20	3.40	2.50	0.00
DEMO RESPONSE										
Intake	10	20%	2.00	8.00		0.00		0.00		0.00
Scheduling	10	15%	1.50	5.00		0.00		0.00		0.00
Discovery	10	10%	1.00	7.00		0.00		0.00		0.00
Hearing	10	10%	1.00	4.00		0.00		0.00		0.00
Final Order	10	10%	1.00	9.00		0.00		0.00		0.00
Reporting	10	20%	2.00	3.00		0.00		0.00		0.00
Portal	10	10%	1.00	4.00		0.00		0.00		0.00
Management	10	5%	0.50	8.00		0.00		0.00		0.00
Total Demo Score		100%	10.00	5.75		0.00		0.00		0.00
RESPONSE SUMMARY										
Total Reponse Score	10	60%	6.00	8.60	6.60	6.60	3.20	3.40	2.50	0.00
Total Demo Score	10	40%	4.00	5.75	0.00	0.00	0.00	0.00	0.00	0.00
Overall Score		100%	10.00	7.46	3.96	3.96	1.92	2.04	1.50	0.00

Appendix 4 – High-Level Requirements

Req #	Requirement Description	Priority A, B, C	Intake	Schedule	Discovery	Hearing	Final Order	Appeals	Refunds	Reports
Functional Requirements										
1	The system must allow staff to **create, route, track and manage cases throughout its lifecycle** (e.g., Pending document upon upload, Accepted after review).	A	X	X	X	X	X	X	X	
2	The system must provide **workflow capabilities** for routing requests, cases, etc. through their lifecycle process.	A	X	X	X	X	X	X	X	
3	The system must provide a method **to track and view the status of a case** through its lifecycle.	A	X	X	X	X	X	X	X	
4	The system must provide the ability **to create different case types** (e.g., Hearings, Appeals, DUI).	A	X					X		
5	The system must allow the **creation of cases from an existing case** (e.g., Appeals case from a Hearings case)	A	X					X		
6	The system must allow users to **clone cases.**	B	X					X		
7	The system must **provide robust search functionality** (e.g., case or citation number, driver's license number, payment information).	A	X	X	X	X	X	X	X	
8	The system must allow staff **to attach documents to a case.**	A	X	X	X	X	X	X	X	
9	The system must allow staff **to attach, copy, and move documents easily throughout the system** and between cases.	B	X	X	X	X	X	X	X	
10	The system must allow staff the ability to **relate cases to each other** (peer to peer or parent/child, i.e., multiple actions in one hearing).	A	X				X	X		

Req #	Requirement Description	Priority A, B, C	Intake	Schedule	Discovery	Hearing	Final Order	Appeals	Refunds	Reports
12	The system must provide a method **to track requests separately from cases** (e.g., request that is denied).	**A**	**X**							
13	The system must allow for a **case to be created from a request.**	**A**	**X**							
14	The system must provide **business logic for the purposes of sending notifications, reminders, and documents** to external users and staff.	**A**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	
15	The system must provide the ability to **create notification**s (e.g., email, portal messages).	**A**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	
16	The system must allow the **scheduling, management, and tracking of hearings.**	**A**		**X**		**X**				
17	The system shall **integrate with Microsoft Outlook/Office 365** for managing hearings schedule, invitees and viewing availability.	**A**		**X**						
18	The system must provide the ability to **record, manage, store, and download hearings.**	**A**				**X**				
19	The system must allow staff to **create custom views** (i.e., the ability to see consolidated data on a single screen).	**A**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	
Document Management										
20	The system must provide **document workflow management** for the purposes of tracking, editing, storing, and retrieving documents.	**B**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	
21	The system must allow **purging of documents** based on DOL retention policies.	**B**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	
22	The system must provide the ability to combine **multiple documents into a single document**, reorder, add, and remove documents if required (e.g., Discovery/Evidence Packet, Findings Packet).	**A**			**X**		**X**		**X**	
23	The system must provide the ability **to redact information** within a document.	**A**			**X**					

Req #	Requirement Description	Priority A, B, C	Intake	Schedule	Discovery	Hearing	Final Order	Appeals	Refunds	Reports
24	They system must provide the ability to **add images to a document** (e.g., stamps, notes).	**A**			**X**					
25	The system must provide ability to **store and download media and audio files** (e.g., dash cams, hearing recordings).	**A**	**X**		**X**	**X**		**X**		
26	The system must provide the ability for **electronic signatures workflow.**	**A**				**X**				
27	The case management system shall **integrate with DRIVES** to retrieve documents.	**B**	**X**		**X**					
28	The system must allow for staff to **take notes and view history of changes** of the notes.	**A**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	
29	The system shall provide the ability to **track Attorney, Public Defender, and Interpreter information**	**A**	**X**			**X**	**X**			**X**
Documents										
30	The system must allow staff to **create and manage standardized document templates.**	**A**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	
31	The system must **allow document templates to contain prepopulated text and case data**.	**A**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	
32	The system must allow staff to **modify text after document generation.**	**A**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	
33	The system must allow **generated finalized documents to be automatically attached to a case**.	**A**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	
34	The system must allow for staff to **email generated documents** from the case management system (Microsoft Outlook integration).	**A**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	
35	The system shall generate a **unique ID for each document.**	**A**	**X**	**X**	**X**	**X**	**X**	**X**	**X**	
Portal										

Req #	Requirement Description	Priority A, B, C	Intake	Schedule	Discovery	Hearing	Final Order	Appeals	Refunds	Reports
36	The portal must provide the ability **for external user to access the portal.**	A	X	X	X	X	X	X	X	
37	The portal must provide the ability **for authorized external users to update case specific information**.	A	X	X	X	X	X	X	X	
38	The system must allow the petitioner to **create and submit requests online** (e.g., hearing request, subpoenas).	A	X	X	X	X	X	X	X	
39	The system must allow petitioners to **upload and view documents, media, and audio files online.**	B	X	X	X	X	X	X	X	
40	The system must allow petitioners to **view case information and upcoming hearings online.**	A	X	X	X	X	X	X	X	
41	The system shall allow staff **to search for requests** started by external users.	A	X	X	X	X	X	X	X	
42	The system must allow petitioners to **reschedule their hearing online.**	A		X		X				
43	The portal must provide the ability for staff to **view the portal as the petitioner for providing support.**	A	X	X	X	X	X	X	X	
Financial										
44	The system shall have the ability to **process online payments** through credit card or Automated Clearing House (ACH) transactions.	B	X							
45	The system must **interface with the DOL financial system of record (DRIVES).**	A	X	X	X	X	X	X	X	
46	The system must provide a process for handling of **dishonored payment or credit card chargeback** through an interface with DRIVES.	A	X							
47	They system must provide the ability to request refunds.	A	X	X						
Reports										

Req #	Requirement Description	Priority A, B, C	Intake	Schedule	Discovery	Hearing	Final Order	Appeals	Refunds	Reports
48	The system must **provide robust reporting capabilities**, (e.g., standard, ad hoc, and customized reports)	A								X
49	The system must allow **for scheduled (i.e., weekly, month) and on demand reports.**	B								X
50	The system must provide the ability to **subscribe and unsubscribe to reports.**	B								X
51	The system must allow staff to **export reports** into multiple formats (i.e., Excel, csv, PDF)	A								X
52	The system shall provide **reporting capabilities for analyzing data over time** (e.g., productivity, Key Performance Indicators).	A								X
Non-Functional										
53	The system will **interface with DRIVES** for Driver record data and documents.	A								
54	The system will **interact with Secure Access Washington (SAW)** for external user authorization access.	A								
55	The system must **interface with Microsoft Outlook/Office 365.**	A								
56	The system must provide a **sandbox environment** with full functionality for the purposes of testing, training, and continuous improvement while providing access based on their job role.	A								
57	The portal must provide **context sensitive help text and Computer Based Training.**	B								