

STATE OF NEW MEXICO
OFFICE OF FAMILY REPRESENTATION AND ADVOCACY



REQUEST FOR INFORMATION

RFI# 26-680-0001-00001

**OFRA Case Management Modernization
Solution**

Release Date: April 23, 2026

Due Date: June 08, 2026

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I. INTRODUCTION

A. Purpose of this Request for Information

The purpose of this Request for Information (RFI) is to solicit detailed information from qualified vendors regarding solutions capable of supporting the Office of Family Representation and Advocacy (OFRA) Case Management Modernization initiative. This RFI is intended to gather comprehensive insight into commercially available solutions, implementation methodologies, integration capabilities, security models, reporting capabilities, and pricing structures. The information obtained through this process will be used to inform the development of a subsequent Request for Proposals (RFP) and procurement strategy. This RFI is non-binding and does not constitute a commitment to procure any goods or services.

B. Background

OFRA manages complex legal cases involving multiple attorneys, parties, and interdisciplinary teams. The current environment relies heavily on spreadsheets, email communication, and shared drives to track case activities, assignments, and deadlines. This fragmented approach creates operational inefficiencies, limits reporting capabilities, and introduces risk related to missed deadlines and inconsistent data management.

Key operational challenges include:

- Manual calendaring of hearings and deadlines
- Lack of centralized case lifecycle tracking
- Informal assignment and communication processes
- Limited role-based access controls
- Inconsistent reporting capabilities

The modernization initiative seeks to implement a centralized, configurable case management system that supports structured workflows, automated notifications, role-based access control, and robust reporting capabilities. A critical requirement is the ability to support a Shell Case and Sub-Case architecture to ensure data segregation and independent case lifecycle management.

C. Scope of Work and Objectives

1. Scope

The scope includes the implementation of a vendor-provided case management solution supporting the full case lifecycle, including intake, assignment, case tracking, hearing management, communication, reporting, and secure data access. The solution is expected to be configurable, scalable, and capable of supporting future enhancements without significant redevelopment. The solution must support secure, scalable storage and handling of sensitive data, including compliance with applicable data protection standards (e.g., HIPAA) and protection of Personally Identifiable Information (PII).

The proposed solution must support a Shell Case and Sub-Case architecture, enabling segregated case records per attorney and party while maintaining a centralized administrative case structure. The system must provide configurable workflows, automated notifications, role-based access control, document management, and integration capabilities with external systems.

2. Objectives

The following objectives define the information OFRA seeks to obtain from respondents through this RFI.

Responses to these objectives will support the evaluation of available solutions, vendor capabilities, implementation approaches, and cost structures. The information collected will be used to refine business and technical requirements, inform the development of a subsequent RFP, and support overall procurement and funding decisions.

- Identify commercially available solutions aligned with OFRA requirements
- Understand vendor implementation approaches and methodologies
- Evaluate capabilities for workflow automation and case lifecycle management
- Assess role-based access control and data security models
- Evaluate reporting and analytics capabilities
- Understand integration capabilities with external systems
- Identify data migration strategies and tools
- Evaluate pricing models and cost structures
- Identify risks, dependencies, and best practices

D. RFI Point of Contact

Name: Chris Sparno, CIO
Agency: OFRA
Address: 500 Marquette Ave NW, Suite 800
Albuquerque, NM 87102
Email: chris.sparno@ofra.nm.gov

E. Reference Documents

The following documents are provided as supporting materials to this RFI and should be reviewed by respondents to inform their responses.

These documents provide additional detail regarding OFRA's current-state processes, future-state design, business requirements, and system expectations.

EXHIBIT 1 - Business Requirements Document (BRD)

Defines functional, non-functional, integration, and security requirements.

EXHIBIT 2 - Requirements Traceability Matrix (RTM)

Provides a detailed inventory of system requirements and priorities.

EXHIBIT 3 - To-Be Workflow Diagrams

Illustrates the future-state case management processes.

EXHIBIT 4 - Role-Based Access Control (RBAC) Matrix

Defines user roles and permission structures.

EXHIBIT 5 - System Capability Model

Outlines core system capabilities and functional domains.

EXHIBIT 6 - Communication & Collaboration Overlay

Identifies communication triggers, notifications, and stakeholder interactions across workflows.

II. CONDITIONS GOVERNING THE RFI

A. Sequence of Events

The primary RFI Point of Contact will make every effort to adhere to the schedule, below. However, dates and times may be modified, depending upon the questions and responses received.

Action	Responsible Party	Due Date
1. Issue RFI	OFRA	April 23, 2026
2. Submission of Written Questions Deadline	Respondents	May 15, 2026
3. Response to Written Questions	OFRA	May 20, 2026
4. Submission of Response	Respondents	June 08, 2026
5. Vendor Meetings (Optional)	OFRA/Respondents	TBD

B. Explanation of Events

1. Release of RFI

This RFI is being issued on the date indicated in the Sequence of Events, above, by the Division.

2. Response Deadline

Responses are due by **5:00 PM MST** on the date indicated in the Sequence of Events, above.

3. Vendor Meetings

If OFRA deems a virtual/in-person Industry Meeting appropriate, the time and date, as well as an agenda of discussion topics, will be announced on OFRA website.

C. General Requirements

Submission of a response to this RFI constitutes acceptance of, and consent to, the following General Requirements:

1. No Obligation

This RFI in no manner obligates OFRA to issue a resulting RFP, or to the eventual rental, license, lease or purchase of any services or equipment that may be described, implied, or proposed in the Respondents response to this RFI.

2. Governing Law

This RFI and any subsequent RFP that may be issued by OFRA shall be governed by the laws of the State of New Mexico.

3. Clarifications

All requests for clarifications must be directed to the RFI Point of Contact identified in Section I.D.

4. Response Preparation Cost

Any cost incurred by the respondent in the preparation, transmittal or presentation of any response or material submitted in response to this RFI will be borne solely by the respondent.

5. Use of Information

OFRA reserves all rights available to it by law. If an RFP or other type of solicitation results from this RFI, respondents to this RFI are hereby notified that all information, documentation, and any specific content or approaches included in RFI responses will be analyzed, may appear in various reports and may be used in the resulting solicitation. Therefore, do not submit any proprietary or confidential information. OFRA cannot guarantee the confidentiality of the information submitted.

6. Eligibility to Participate in Subsequent Procurement

If OFRA decides to issue an RFP or other form of solicitation, those parties who choose to respond to this RFI, as well as those parties who choose not to respond to this RFI, will be eligible to participate in that procurement.

7. Ownership of Materials

Ownership of all data, material, and documentation originated and submitted to OFRA, pursuant to the RFI, shall belong exclusively to OFRA and be subject to public inspection in accordance with the New Mexico Open Records Act. No documents will be returned once submitted to OFRA.

8. Acceptance

The State of New Mexico reserves the right to reject responses that arrive late, or do not meet all of the specified requirements.

III. RESPONSE FORMAT AND ORGANIZATION

A. Number of Response

Respondents may submit multiple responses to this RFI. Responses must be submitted exclusively in an electronic format.

ALL RESPONSES ARE DUE BY 5:00 PM MST ON THE DATE INDICATED IN SECTION II.A. SEQUENCE OF EVENT

Electronic responses must be e-mailed as an attachment to the RFI Point of Contact identified in Section I.D.

Where possible, it is OFRA's preference to receive Respondents' responses in an editable format (such as MS Word).

When submitting your response, clearly identify your response in the subject line

Subject: RFI# 26-680-0001-00001 – OFRA Case Management Modernization Solution

B. Number of Copies

Respondents need only provide one (1) electronic copy.

C. Response Format

The Respondent's response to this RFI should be organized in the following format:

1. Response to RFI Requirements according to the questions in Section IV.A.1.
 - a. Restate the question, then provide the response to that question.
 - b. Respondents are expected to review and reference the supporting materials provided with this RFI, including the BRD, RTM, workflow diagrams, and RBAC matrix, when developing their responses.
2. Other Supporting Materials/Documentation
 - a. Respondents may attach other materials that they believe may improve the quality of their responses.
 - b. Any Supporting Materials/Documentation that do not seamlessly integrate into the Respondents response to the questions should be attached at the end of the response.

IV. REQUIREMENTS

A. General Responses Requested

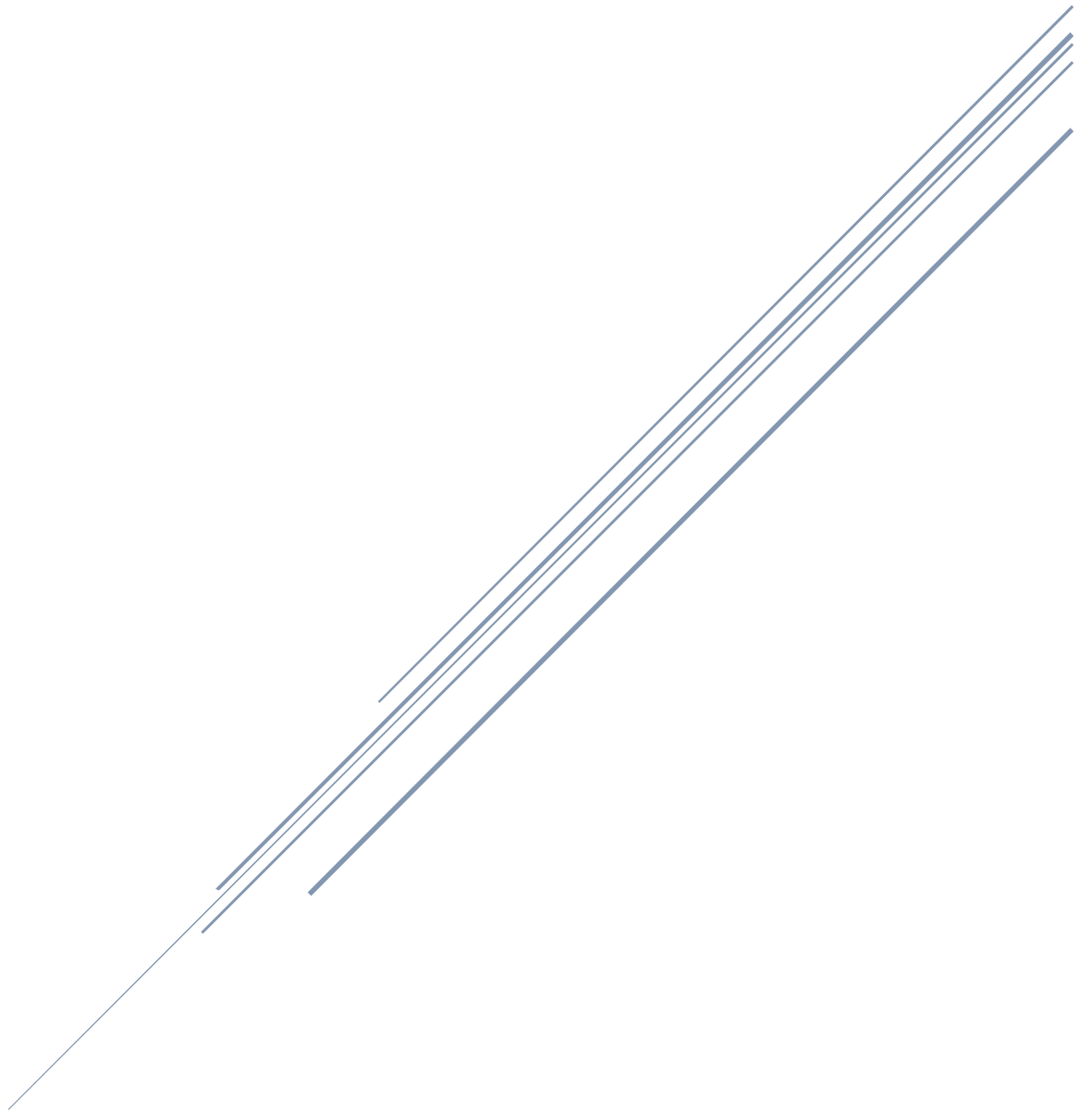
Respondents are requested to respond to any and/or all of the following questions in narrative form. Additional supporting information may be provided as attachments and may be referenced from the narrative response as appropriate. Respondents are invited to provide additional information as they deem appropriate. We recognize that Respondents may have different areas of expertise and interests, so it is not necessary to respond to each item. Please identify by letter, each requested response you are addressing, and restate the question preceding your response. Respondents should base their responses on the requirements, workflows, and system expectations outlined in the supporting materials provided with this RFI.

B. Vendor Questions

- a) Describe your solution architecture, including scalability, configurability, and deployment model.
- b) Explain how your solution supports complex case structures such as Shell Case and Sub-Case, including data segregation.
- c) Describe workflow automation capabilities including triggers, event-based notifications, and task management.
- d) Explain your RBAC model including field-level security and privileged data controls.
- e) Describe reporting capabilities including dashboards, analytics, and real-time reporting.
- f) Explain integration capabilities including APIs and third-party systems.
- g) Describe your data migration approach from legacy systems.
- h) Outline your implementation methodology including phases and timelines.
- i) Describe your security model including encryption, audit logging, and compliance.
- j) Provide detailed pricing model including licensing and implementation costs.
- k) Describe required client resources and level of involvement.
- l) Identify risks and mitigation strategies.
- m) Provide examples of similar implementations supporting legal or case management environments with complex role-based access control and data segregation requirements.
- n) Describe how your solution supports real-time reporting and performance metrics without impacting system performance.

EXHIBIT 1 – BUSINESS REQUIREMENTS DOCUMENT (BRD)

OFRA Case Management Modernization



OFRA BUSINESS REQUIREMENTS DOCUMENT

PROJECT DETAILS

PROJECT NAME		
Office of Family Representation and Advocacy (OFRA) Case Modernization Project		
CREATOR		
RaVette Taylor		
DOCUMENT NO.	DATE	VERSION NO.
1	03/18/2026	1

1. EXECUTIVE SUMMARY SNAPSHOT

The Executive Summary provides a high-level overview of the OFRA Case Management Modernization initiative and the business requirements that support it. It highlights the current operational challenges, the proposed future-state solution, and the key capabilities required to improve case management, security, and reporting.

This section establishes the purpose of the Business Requirements Document (BRD), identifies the intended audience, and summarizes the functional, non-functional, integration, and security requirements that will inform vendor responses as part of the Request for Information (RFI) process.

The Office of Family Representation and Advocacy (OFRA) is undertaking a modernization initiative to implement a centralized case management system that supports structured workflows, secure role-based access control, and improved operational reporting.

The current environment relies heavily on spreadsheets, email communication, and shared folders to track case activities and assignments. This fragmented approach creates operational inefficiencies, limited reporting capabilities, and increased risk of missed deadlines.

The proposed system will introduce a configurable case management platform built around a Shell Case + Sub-Case architecture. The Shell Case will function as the master administrative record, while segregated Sub-Cases will be created per attorney and party to enforce privilege separation and independent case lifecycle management.

The purpose of this Business Requirements Document (BRD) is to define and document the functional, non-functional, integration, and security requirements necessary to support the evaluation, selection, and procurement of a modern case management solution.

This document is intended for internal stakeholders, executive leadership, procurement teams, and prospective vendors to provide a clear understanding of business needs, system expectations, and required capabilities in support of a Request for Information (RFI).

2. PROJECT DESCRIPTION

This section provides an overview of the OFRA Case Management Modernization project, including the current operational environment, key challenges, and the business drivers for change.

It outlines the limitations of existing case management processes and establishes the need for a centralized, configurable solution to improve workflow efficiency, enforce secure role-based access, and support consistent, data-driven case management practices across the organization.

OFRA currently manages complex legal cases involving multiple attorneys, parties, and interdisciplinary team members. The purpose of this project is to modernize OFRA's case management capabilities by implementing a centralized system that improves case tracking, workflow efficiency, security, and reporting.

The current process relies on a combination of spreadsheets, email communication, and shared folders to manage case activities, assignments, and deadlines. These tools do not provide a centralized or structured method for managing case lifecycles or enforcing consistent processes across the organization.

Key operational challenges include:

- Manual calendaring of hearings and deadlines
- Lack of centralized case lifecycle tracking
- Informal assignment and communication processes
- Limited role-based access controls
- Inconsistent reporting capabilities

These limitations create inefficiencies, increase administrative burden, and introduce risk related to missed deadlines, inconsistent data, and potential exposure of sensitive information.

To address these challenges, the modernization project will implement a configurable case management system capable of supporting structured workflows, automated notifications, configurable role-based access controls, and secure management of privileged case information. This system will enable OFRA to improve operational efficiency, enhance data visibility, and ensure compliance with legal and organizational requirements.

3. PROJECT SCOPE

This section defines the scope of the OFRA Case Management Modernization project, including the required capabilities, key deliverables, and solution expectations for the proposed system.

It establishes the functional boundaries of the initiative by identifying the core case management processes to be supported, the expected system capabilities, and the items that are explicitly included and excluded from scope to guide vendor responses.

The OFRA Case Management Modernization project includes the implementation of a vendor-provided case management solution to support the full case lifecycle, including intake, assignment, case management, hearing and deadline tracking, communication, reporting, and secure data access. The solution is expected to be configurable, scalable, and capable of supporting future enhancements without significant redevelopment. The solution must support secure, scalable storage and handling of sensitive data, including compliance with applicable data protection standards (e.g., HIPAA) and protection of Personally Identifiable Information (PII).

The proposed solution must support a Shell Case and Sub-Case architecture, enabling segregated case records per attorney and party while maintaining a centralized administrative case structure. The system must provide configurable workflows, automated notifications, role-based access control, document management, and integration capabilities with external systems.

Project Goals:

- Provide a centralized case management platform to support all case lifecycle activities
- Enable structured workflows and reduce reliance on manual processes
- Enforce secure role-based access control with party-based privilege segregation
- Improve visibility into case status, workload, and compliance metrics
- Standardize communication and notification processes across case activities

Key Deliverables:

- Configured case management system aligned to OFRA's To-Be workflows
- Role-based access control model supporting secure data segregation
- Workflow automation and notification framework
- Reporting dashboards and data export capabilities
- Integration interfaces for external systems

- System configuration documentation and administrative controls

Implementation Considerations:

Vendors should outline the level of effort required to configure and implement the proposed solution, including assumptions related to data migration, integration complexity, and configuration versus customization.

Timeline Expectations:

Vendors should provide estimated implementation timelines based on the scope described, including key phases such as configuration, testing, training, and deployment.

Cost Considerations:

Vendors should provide cost estimates for implementation, licensing, configuration, and ongoing support based on the defined scope.

IN-SCOPE ITEMS	OUT-OF-SCOPE ITEMS
Item 1: End-to-end case management lifecycle support	Item 1: Court filing and e-filing systems
Item 2: Workflow automation and case activity tracking	Item 2: Financial billing and invoicing modules (initial phase)
Item 3: Shell Case and Sub-Case architecture	Item 3: External client-facing portals
Item 4: Role-based access control and data security	
Item 5: Communication and notification automation	
Item 6: Reporting and analytics	
Item 7: Integration capabilities with external systems	

4. BUSINESS DRIVERS

This section outlines the key business drivers for the OFRA Case Management Modernization project.

These drivers represent the critical operational, security, and reporting needs that necessitate the implementation of a centralized case management solution to improve efficiency, reduce risk, and support consistent, data-driven case management practices across the organization.

Business Driver 1: Operational Efficiency	Implementing a centralized system will reduce manual administrative tasks and improve case tracking.
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Business Driver 2: Risk Reduction	Automated deadline monitoring will reduce the risk of missed hearings or compliance milestones.
Business Driver 3: Secure Information Management	Role-based access control will ensure privileged client information is protected.
Business Driver 4: Improved Reporting	Leadership requires reliable dashboards and reporting for oversight and legislative reporting.

5. PRESENT PROCESS

This section describes the current-state process used by OFRA to manage case intake, assignment, tracking, and communication.

It provides an overview of how case management activities are currently performed across the organization and highlights the operational inefficiencies, process gaps, and risks associated with the reliance on manual tools and decentralized workflows.

The current process relies on a combination of spreadsheets, shared drives, and email communication to manage case assignments and updates.

Key characteristics include:

- Manual creation of case records
- Informal communication between attorneys and support teams
- Manual deadline monitoring
- Limited reporting capability

These limitations create inefficiencies and make it difficult to maintain consistent case management practices across the organization.

6. PROPOSED PROCESS

This section describes the proposed future-state process for managing case intake, assignment, case activities, and communication within OFRA.

It defines how a centralized, configurable case management solution will enable standardized workflows, automated processes, secure role-based access, and real-time visibility into case status, workload, and compliance metrics across the organization.

The proposed process introduces a centralized case management platform with workflow automation and structured case tracking.

Key features include:

- Automated case intake and validation
- Conflict checking and attorney eligibility lists
- Manual assignment supported by system recommendations
- Automatic Sub-Case creation per attorney and party
- Automated notifications for assignments, hearings, and document updates

- Configurable role-based permissions
- Reporting dashboards for oversight and analytics

7. SYSTEM CAPABILITY OVERVIEW

This section outlines the core system capabilities required to support OFRA's future-state case management model.

1. Case Intake & Initiation

- Intake Management
- Intake Validation
- Case Classification
- Jurisdiction Determination
- Referral Processing

2. Assignment & Conflict Management

- Conflict Management
- Assignment Management
- Resource Allocation
- Eligibility Determination
- Assignment Oversight

3. Case Structure & Data Segregation

- Shell Case Management
- Sub-Case Management
- Case Segmentation & Data Isolation
- Case Relationship Management
- Aggregate Case Tracking

4. Case Work Management

- Case Activity Management
- Case Notes & Documentation
- Document Association
- Task & Milestone Tracking
- Case Lifecycle Management

5. Hearing & Deadline Management

- Hearing Scheduling
- Deadline Management
- Milestone Management
- Compliance Monitoring
- Case Closure Management

6. Communication & Notifications

- Notification Management

- Communication Triggers
- Stakeholder Alerts
- Client Communication Support
- Event-Based Notifications

7. Role-Based Access Control & Security

- Role Management
- Permission Management
- Access Policy Enforcement
- Privileged Access Control
- Audit Logging & Monitoring

8. Document & Records Management

- Document Management
- Case File Management
- Document Classification & Tagging
- Version Control
- Records Retention & Archiving

9. Reporting & Analytics

- Operational Reporting
- Performance Analytics
- Compliance Reporting
- Dashboard Management
- Data Export & Sharing

10. Integration & Data Exchange

- External System Integration
- Data Exchange Management
- Messaging Integration
- API Integration
- Event-Based Integration

11. Administration & Configuration

- Workflow Configuration
- Role Configuration
- Notification Configuration
- System Administration
- Configuration Management

12. Master Data & Reference Management

- User & Staff Management
- Role & Organization Management
- Reference Data Management
- Data Import & Maintenance

8. USER ROLES AND PERMISSIONS

This section defines the primary user roles that will interact with the system and informs the role-based access control (RBAC) model.

Primary system roles include:

Legal Staff – Manage case intake and assignments

Attorney – Manage case work within assigned Sub-Cases

IDS Team – Provide interdisciplinary support

Division Director – Oversight of assignments and case status

Executive Leadership – Access to reporting dashboards

System Administrator – Configure workflows, roles, and system settings

Detailed permissions and access controls are defined in the Workflow-Based Permissions Matrix and associated RBAC requirements.

9. FUNCTIONAL REQUIREMENTS

This section defines the functional requirements necessary to support OFRA's future-state case management processes.

It describes the system capabilities required to address existing process gaps, enable standardized workflows, and support centralized case tracking, communication, and role-based access. These requirements reflect the highest-priority needs identified through stakeholder engagement and are intended to guide vendor responses for the proposed solution. A complete and detailed inventory of all functional requirements, including traceability and prioritization, is maintained in the Requirements Traceability Matrix (RTM).

The functional requirements outlined in this section are derived from stakeholder workshops, the Requirements Traceability Matrix (RTM), and the Stakeholder Prioritization Matrix. These requirements represent the highest-priority capabilities necessary to address the limitations of the current process and support OFRA's future-state case management model. These requirements are intended to guide vendor responses and solution capabilities rather than prescribe a specific system design.

Currently, case management activities are performed using spreadsheets, shared drives, and manual communication methods, resulting in fragmented data, inconsistent processes, limited visibility, and increased risk of missed deadlines and unauthorized access to sensitive information.

To address these challenges, the proposed system must provide centralized case management, structured workflows, automated notifications, role-based access control, and integrated reporting capabilities. The requirements included in this section represent the core functional capabilities required for successful system implementation. A complete inventory of all detailed requirements is maintained within the Requirements Traceability Matrix (RTM).

The following functional requirements are prioritized based on the highest-ranking themes identified in the Stakeholder Prioritization Matrix, specifically:

1. Lack of Centralized Tracking & Automation
2. Permission Gaps & Limited Role Access
3. Informal Communication Processes

These themes represent the most critical areas requiring system support and are the primary drivers for the requirements outlined below.

In addition to the priority themes, the following supporting functional requirements are necessary to ensure a complete and effective case management solution. Requirements included in this section represent a prioritized subset of all identified requirements and are intended to guide vendor solution capabilities.

A complete list of functional requirements, including all detailed requirements and traceability, is maintained in the Requirements Traceability Matrix (RTM).

– PRIORITY

The following priority framework defines how requirements are classified based on their relative importance to the success of the OFRA Case Management Modernization project.

This prioritization model is used to distinguish critical capabilities from supporting and future-state functionality and is intended to guide vendor responses, solution alignment, and implementation planning.

VALUE	STATUS	DESCRIPTION
1	Immediate	The requirement is critical to the project's success. Without fulfilling this requirement, the project is not possible.
2	High	The requirement is high priority re the project's success, but the project could still be implemented in a minimum viable product (MVP) scenario.
3	Moderate	The requirement is important to the project's success, as it provides value, but the project could still be implemented in an MVP scenario.
4	Low	The requirement is of low priority, but the project's success is not dependent upon it.
5	Prospective	The requirement is out of the project's scope and is included as a possible component of a prospective release and/or feature.

– CATEGORIES (RC1)

This section presents the functional requirements in a structured format to support clarity, traceability, and alignment with prioritized business needs.

Each requirement includes a unique identifier (REQ ID), a detailed description, assigned priority, and associated stakeholder input. These requirements represent the core capabilities required to address current process gaps and support the implementation of a centralized, secure, and efficient case management solution.

ID	REQUIREMENT	PRIORITY	RAISED BY
REQ-001	The system shall provide a centralized case assignment dashboard to track all open cases, assignments, and key milestones.	High	Legal, IDS
REQ-002	The system shall allow supervisors to assign and reassign cases to attorneys and IDS staff, with all changes automatically logged.	High	All Divisions
REQ-003	The system shall integrate with designated court/CYFD systems (e.g., Odyssey/SOPA) to import case and hearing data where permitted.	High	Legal
REQ-024	System shall automatically create sub-cases (copies) for each assigned attorney and party after assignments are confirmed.	Immediate	Legal
REQ-025	System shall send automated notifications to attorneys, support staff, and relevant stakeholders upon case assignment.	High	All Divisions
REQ-033	System shall allow supervisors and division directors oversight visibility while protecting privileged attorney notes.	High	Legal
REQ-009	The system shall provide supervisor views and reports for all cases under their span of control, without requiring direct file access.	High	Division Directors
REQ-015	The system must support granular role-based access control (RBAC) and field-level security to enable collaboration while protecting privileged and confidential information.	High	Legal, IDS
REQ-006	The system shall send automated calendar invitations and reminders for hearings, IDLT meetings, and case-related events.	High	Legal, IDS
REQ-027	System shall send automated reminders to clients regarding hearings or meetings when contact information is available.	Low	All Divisions
REQ-035	System shall support configurable communication triggers for assignment notifications, hearing reminders, and case updates.	High	Legal, IDS
REQ-016	The system must provide centralized reporting and analytics capabilities, including dashboards, performance metrics, trend analysis, ad-hoc reporting, and data exports.	High	All Divisions

REQ-013	The system shall allow authorized users to upload required case documents and progress reports with metadata tagging (case ID, hearing type, document type, date), and store them in a centralized case file.	High	Legal, IDS
REQ-029	System shall allow attorneys and interdisciplinary team members to document case activities, visits, pleadings, and assessments.	High	Legal, IDS
REQ-010	The system shall support a structured case closure workflow, including required checklists and documents prior to closing a case.	Moderate	Legal, IDS
REQ-017	The system must support billing and financial tracking for contracted attorneys, including automated time capture, rate calculation, invoice generation, approval workflows, and billing reports.	Low	Legal
REQ-058	The system shall allow authorized users to create, manage, and maintain master data records, including judges, attorneys, interdisciplinary team members, and other relevant stakeholders.	High	All Divisions
REQ-059	The system shall support the configuration and management of roles, staff assignments, and organizational structures within the system.	High	All Divisions
REQ-060	The system shall allow for manual data entry and ongoing maintenance of case-related and reference data to support operational needs.	High	All Divisions
REQ-061	The system shall support data import capabilities to allow initial population and ongoing updates of key data entities.	Moderate	All Divisions

10. NON-FUNCTIONAL REQUIREMENTS

This section defines the non-functional requirements that establish the expected performance, security, scalability, and configurability of the proposed solution.

These requirements outline the operational and technical standards the system must meet to ensure reliability, secure data management, system performance, and long-term maintainability within OFRA's case management environment.

ID	REQUIREMENT
REQ-008	The system shall support role-based access controls, including secure access for external/contract staff.
REQ-039	System shall support granular role-based access control ensuring privileged attorney data is only visible to authorized users.

REQ-040	System shall maintain full audit logging of user actions including case creation, assignment, edits, and document uploads.
REQ-041	System shall support data segregation between shell cases and sub-cases to prevent unauthorized access to confidential information.
REQ-042	System shall support configurable notification rules for system alerts, reminders, and assignment communications.
REQ-043	System shall support high system availability during normal operational hours with minimal downtime.
REQ-044	System shall support secure storage and encryption of sensitive client and case information.
REQ-045	System shall support configurable data retention policies for case records and documents.
REQ-046	System shall support real-time reporting dashboards without impacting system performance.
REQ-047	System shall allow administrators to configure workflows, roles, and notifications without vendor intervention.
REQ-048	System shall support scalable performance to accommodate multiple divisions and concurrent users
REQ-054	The solution must support secure, scalable storage and handling of sensitive data, including compliance with applicable data protection standards (e.g., HIPAA) and protection of Personally Identifiable Information (PII)
REQ-055	The system shall provide scalable data storage capacity to support long-term retention of case records, documents, and associated data without performance degradation.
REQ-056	The system shall ensure encryption of data at rest and in transit, including all case-related and client information.

REQ-057	The system shall support role-based and policy-based access controls to protect sensitive client, privileged, and interdisciplinary team information.
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11. REPORTING AND ANALYTICS REQUIREMENTS

This section defines reporting and analytics capabilities required to support operational and executive decision-making.

ID	REQUIREMENT
REQ-016	The system must provide centralized reporting and analytics capabilities, including dashboards, performance metrics, trend analysis, ad-hoc reporting, and data exports.
REQ-038	System shall support reporting and analytics for case milestones, contacts before hearings, and lifecycle performance metrics.
REQ-046	System shall support real-time reporting dashboards without impacting system performance.
REQ-053	System shall support export of case data and reports for legislative and operational reporting purposes.

12. INTEGRATION REQUIREMENTS

This section defines integration requirements for data exchange with external systems and services.

ID	REQUIREMENT
REQ-003	The system shall integrate with designated court/CYFD systems (e.g., Odyssey/SOPA) to import case and hearing data where permitted.
REQ-049	System shall support integration with court systems (e.g., Odyssey) to import case data, filings, and orders when permitted.
REQ-050	System shall support import of court orders and filings into the case management system.
REQ-051	System shall support integration with enterprise calendaring systems for hearing scheduling.

REQ-052	System shall support integration with messaging services to deliver email and SMS notifications.
REQ-053	System shall support export of case data and reports for legislative and operational reporting purposes.

13. SECURITY AND RBAC REQUIREMENTS

This section defines security and role-based access control requirements to protect sensitive case information.

ID	REQUIREMENT
REQ-008	The system shall support role-based access controls, including secure access for external/contract staff.
REQ-009	The system shall provide supervisor views and reports for all cases under their span of control, without requiring direct file access.
REQ-015	The system must support granular role-based access control (RBAC) and field-level security to enable collaboration while protecting privileged and confidential information.
REQ-032	System shall support secure role-based access controls to protect privileged case information.

14. ASSUMPTIONS

This section outlines key assumptions associated with the project.

The following assumptions have been made in the development of this Business Requirements Document and the associated modernization effort:

- The selected solution will be configurable without requiring extensive custom development
- Stakeholders will validate workflows, permissions, and requirements prior to system implementation
- External systems (e.g., court systems, messaging services) will support integration where permitted
- Data required for case intake and lifecycle tracking will be available and accessible for migration or entry
- Users will be trained on system functionality and standardized processes
- Role definitions and access structures will be finalized prior to system configuration

15. CONSTRAINTS

This section outlines constraints that may impact project implementation.

The following constraints have been identified and may impact the implementation and operation of the proposed solution:

- Compliance with state procurement policies and approval processes
- Adherence to data security, confidentiality, and legal requirements
- Limited internal IT resources for system support and administration
- Dependency on external systems for integration (e.g., court systems)
- Budget and funding limitations to be defined during procurement phase
- Timeline dependencies related to RFI, vendor selection, and implementation phases

16. SUCCESS CRITERIA

This section defines the criteria used to measure project success.

The success of the OFRA Case Management Modernization project will be measured based on the following outcomes:

- Implementation of a centralized case management system supporting the full case lifecycle
- Reduction in manual processes and reliance on spreadsheets and email tracking
- Improved visibility into case status, workload, and compliance metrics
- Enforcement of secure role-based access control and data segregation
- Increased consistency in workflows, documentation, and communication processes
- Availability of reliable reporting and analytics to support operational and legislative needs
- Improved user adoption and satisfaction with system usability and functionality
- Reduction in manual tracking activities by X% (to be defined during implementation)

17. GLOSSARY

This section provides definitions for key terms, abbreviations, and acronyms used throughout this document.

It is intended to ensure clarity and consistency in terminology for internal stakeholders, procurement teams, and vendors responding to the Request for Information (RFI).

TERM/ABBREVIATION	EXPLANATION
OFRA	Office of Family Representation and Advocacy
BRD	Business Requirements Document
RTM	Requirements Traceability Matrix
RBAC	Role-Based Access Control
Shell Case	Master administrative case record that aggregates all Sub-cases
Sub-Case	Case record tied to an individual attorney/party with segregated data
IDS	Interdisciplinary Services team supporting case activities
Case Lifecycle	End-to-end progression of a case from intake through closure
Workflow	Structured sequence of case-related activities
Notification	System-generated communication triggered by events
Integration	Data exchange between systems
Audit Log	System record of user actions for tracking and compliance

18. REFERENCES

This section identifies the key documents, materials, and resources referenced in the development of this Business Requirements Document.

These references provide supporting context and traceability for the requirements, processes, and models described throughout the document and are intended to support stakeholder understanding and vendor evaluation.

NAME	LOCATION
Requirements Traceability Matrix (RTM)	Internal Project Document
Stakeholder Prioritization Matrix	Internal Project Document
To-Be Process Workflow & Swimlane Diagrams	Internal Project Document
Communication & Collaboration Overlay	Internal Project Document
Workflow-Based Permission Matrix (RBAC)	Internal Project Document

System Capability Model	Internal Project Document
Business Requirement Document	This Document

19. APPENDIX

This section includes supplemental materials and supporting documentation referenced throughout this Business Requirements Document.

Appendices may include detailed process artifacts, workflow diagrams, analysis outputs, and supporting models that provide additional context for the requirements and solution expectations outlined in this document.

The following supporting materials provide additional context and detail for the requirements defined in this document:

- To-Be Process Workflow and Swimlane Diagram
- To-Be Process Table (Detailed)
- Communication and Collaboration Overlay
- Workflow-Based Permissions Matrix (RBAC)
- Requirements Traceability Matrix (RTM)
- System Capability Model Diagram

These materials supplement the BRD and are intended to support vendor understanding, evaluation, and solution design.

EXHIBIT 2 - Requirements Traceability Matrix (RTM)

OFRA Case Management Modernization

Req ID	Requirement Description	Type	Theme	Primary Stakeholder(s)	Priority	Status	Validation Date	Source	Notes	Vendor Capability	Vendor Notes
REQ-001	The system shall provide a centralized case assignment dashboard to track all open cases, assignments, and key milestones.	Functional	Lack of Centralized Tracking & Automation	Legal, IDS	High	Draft		Phase 1 Findings			
REQ-002	The system shall allow supervisors to assign and reassign cases to attorneys and IDS staff, with all changes automatically logged.	Functional	Lack of Centralized Tracking & Automation	All Divisions	High	Draft		Phase 1 Findings			
REQ-003	The system shall integrate with designated court/CYFD systems (e.g., Odyssey/SOPA) to import case and hearing data where permitted.	Integration	Lack of Centralized Tracking & Automation	Legal	High	Draft		Phase 1 Findings			
REQ-004	The system shall support standardized intake format and naming convention for documents received from CYFD and courts.	Functional	Document Standardization, Naming & Filing Practices	Legal	Medium	Draft		Phase 1 Findings			
REQ-005	The system shall provide configurable, standardized digital forms for attorney and navigator logs with required fields.	Functional	Document Standardization, Naming & Filing Practices	Legal, IDS	Medium	Draft		Phase 1 Findings			
REQ-006	The system shall send automated calendar invitations and reminders for hearings, IDLT meetings, and case-related events.	Functional	Informal Communication Processes	Legal, IDS	High	Draft		Phase 1 Findings			
REQ-007	The system shall include a digital client contact log linked to each case, with time/date stamping and contact type.	Functional	Informal Communication Processes	IDS	Medium	Draft		Phase 1 Findings			
REQ-008	The system shall support role-based access controls, including secure access for external/contract staff.	Functional	Permission Gaps & Limited Role Access	Legal, IDS	High	Draft		Phase 1 Findings			
REQ-009	The system shall provide supervisor views and reports for all cases under their span of control, without requiring direct file access.	Functional	Permission Gaps & Limited Role Access	Division Directors	High	Draft		Phase 1 Findings			
REQ-010	The system shall support a structured case closure workflow, including required checklists and documents prior to closing a case.	Functional	Lack of Standard Operating Procedures	Legal, IDS	High	Draft		Phase 1 Findings			
REQ-011	The system shall reduce redundant manual trackers by providing configurable dashboards and exportable reports for key metrics.	Functional	Lack of Centralized Tracking & Automation	Legal, IDS	Medium	Draft		Phase 1 Findings			
REQ-012	The system shall support the use of standardized OFRA templates for hearing and meeting documentation (Attend, Debrief, Notes), with documents linked to relevant case events and retained in the document library.	Functional	Document Standardization, Naming & Filing Practices	Legal, IDS	Medium	Draft		Phase 1 Findings			
REQ-013	The system shall allow authorized users to upload required case documents and progress reports with metadata tagging (case ID, hearing type, document type, date), and store them in a centralized case file.	Functional	Document Standardization, Naming & Filing Practices	Legal, IDS	High	Draft		Phase 2 Findings (Farra Fong)			
REQ-014	The system shall automatically record a timestamp when a case is placed in "Paused / Unable to Contact" status and track the duration paused for accurate caseload counts and assignment logic.	Functional	Lack of Centralized Tracking & Automation	Legal, IDS	High	Draft		Phase 2 Findings (Farra Fong)			
REQ-015	The system must support granular role-based access control (RBAC) and field-level security to enable collaboration while protecting privileged and confidential information.	Functional	Permission Gaps & Limited Role Access	Legal, IDS	High	Draft		Phase 1 Findings	Drives RBAC, permission models, supervisor visibility, and auditability requirements.		
REQ-016	The system must provide centralized reporting and analytics capabilities, including dashboards, performance metrics, trend analysis, ad-hoc reporting, and data exports.	Functional	Data Visibility, Reporting & Decision Support	All Divisions	High	Draft		Phase 1 Findings	Supports leadership oversight, compliance reporting, and operational decision-making.		
REQ-017	The system must support billing and financial tracking for contracted attorneys, including automated time capture, rate calculation, invoice generation, approval workflows, and billing reports.	Functional	Billing & Time Tracking	Legal	Low	Draft		Phase 1 Findings	Financial module; may be phased but must integrate with case activity.		
REQ-018	The system must support differentiated workflows, logic, and tracking for Fostering Connections (FC) case types.	Functional	Lack of Centralized Tracking & Automation	Legal, IDS	Medium	Draft		Phase 1 Findings	Ensures case-type-specific rules without duplicating workflows.		
REQ-019	The system must support automated calendaring, deadline tracking, alerts, and workflow triggers tied to hearings, meetings, and statutory timelines.	Functional	Lack of Centralized Tracking & Automation	Legal, IDS	High	Draft		Phase 1 Findings	Foundational for compliance, notifications, and To-Be workflow automation.		
REQ-020	System shall generate eligible attorney lists based on district, case type, eligibility, conflict results, and workload visibility.	Functional	Lack of Centralized Tracking & Automation	Legal	High	Draft		Phase 2 Workshops / To-Be Process			
REQ-021	System shall allow authorized staff to manually assign attorneys from generated eligibility lists.	Functional	Lack of Centralized Tracking & Automation	Legal	High	Draft		Phase 2 Workshops / To-Be Process			
REQ-022	System shall generate eligible interdisciplinary support roles based on case type, district rules, and liberty interest determination.	Functional	Lack of Centralized Tracking & Automation	Legal, IDS	High	Draft		Phase 2 Workshops / To-Be Process			
REQ-023	System shall allow authorized supervisors or directors to manually assign interdisciplinary support roles.	Functional	Lack of Centralized Tracking & Automation	All Divisions	High	Draft		Phase 2 Workshops / To-Be Process			
REQ-024	System shall automatically create sub-cases (copies) for each assigned attorney and party after assignments are confirmed.	Functional	Lack of Centralized Tracking & Automation	Legal	High	Draft		Phase 2 Workshops / To-Be Process			
REQ-025	System shall send automated notifications to attorneys, support staff, and relevant stakeholders upon case assignment.	Functional	Lack of Centralized Tracking & Automation	All Divisions	High	Draft		Phase 2 Workshops / To-Be Process			
REQ-026	System shall schedule statutory hearings and milestones and track associated deadlines.	Functional	Lack of Centralized Tracking & Automation	Legal	High	Draft		Phase 2 Workshops / To-Be Process			
REQ-027	System shall send automated reminders to clients regarding hearings or meetings when contact information is available.	Functional	Informal Communication Processes	All Divisions	High	Draft		Phase 2 Workshops / To-Be Process			
REQ-028	System shall allow attorneys to file and track Entry of Appearance at the sub-case level.	Functional	Document Standardization, Naming & Filing Practices	Legal	High	Draft		Phase 2 Workshops / To-Be Process			
REQ-029	System shall allow attorneys and interdisciplinary team members to document case activities, visits, pleadings, and assessments.	Functional	Document Standardization, Naming & Filing Practices	Legal, IDS	High	Draft		Phase 2 Workshops / To-Be Process			
REQ-030	System shall monitor statutory deadlines and generate alerts when compliance risks are detected.	Functional	Lack of Centralized Tracking & Automation	All Divisions	High	Draft		Phase 2 Workshops / To-Be Process			
REQ-031	System shall update shell case status based on activity occurring within associated sub-cases.	Functional	Lack of Centralized Tracking & Automation	Legal Staff, Attorneys, IDS Team, Directors	High	Draft		Phase 2 Workshops / To-Be Process			
REQ-032	System shall support secure role-based access controls to protect privileged case information.	Functional	Permission Gaps & Limited Role Access	All Divisions	High	Draft		Phase 2 Workshops / To-Be Process			

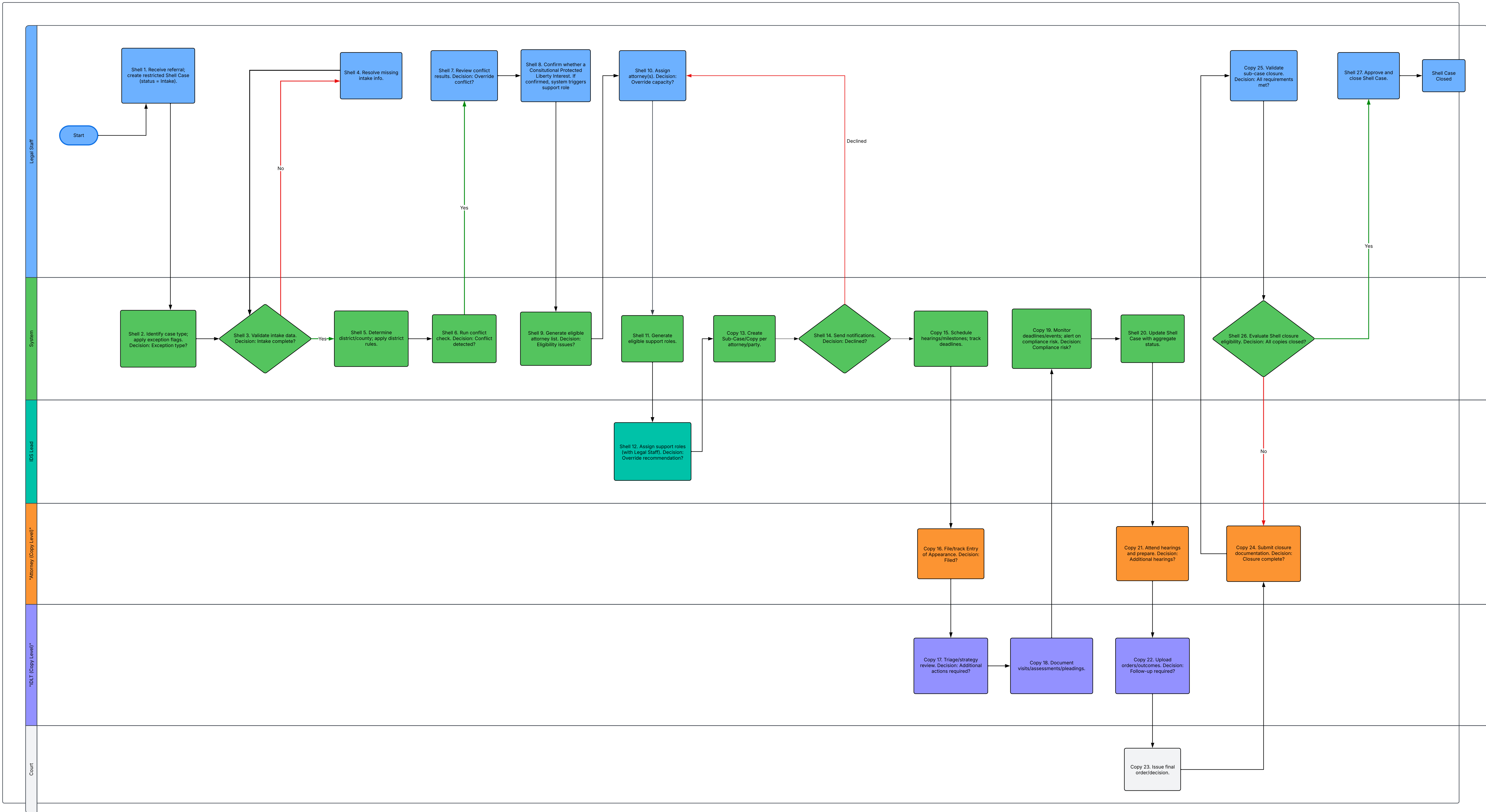
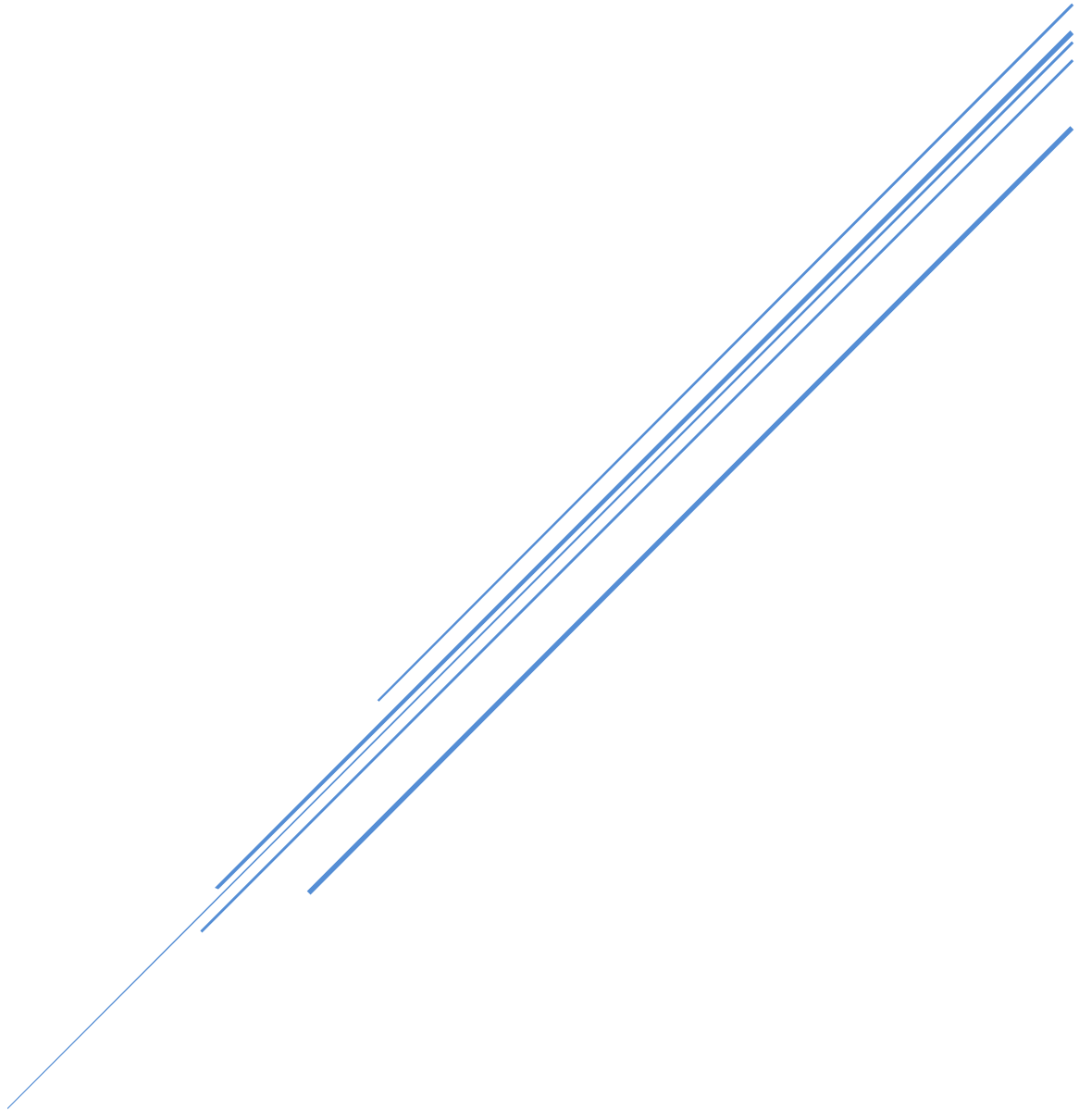


EXHIBIT 4 – ROLE-BASED ACCESS CONTROL (RBAC) MATRIX

OFRA Case Management Modernization



OFRA Phase 2 – Workflow-Based Permissions Matrix (Revised)

Aligned to Revised 28-Step To-Be Process (Shell + Sub-Case Architecture)

Permission Legend

All Access – Full permission to view, create, edit, assign, approve, override, and reopen records.

View – Read-only access

Create – Add new record

Edit – Modify permitted fields

Assign – Assign roles

Approve – Authorize override/status change

Override – Initiate exception (may require approval)

Reopen – Reopen closed case

Limited – Partial or masked visibility

No Access – No visibility or modification rights

Protected Zones are party-specific and accessible only to assigned attorney(s).

Phase 1 – Intake & Shell (Steps 1–8)

Step # / Action	Legal Staff	Attorney (Copy Level)	IDS / Support Roles	Directors (Exec, Deputy, Division)
1 – Create Shell Case	All Access	No Access	No Access	All Access
3 – Validate Intake Data	Edit	No Access	No Access	Edit
6 – Review Conflict Results	View	No Access	No Access	View
7 – Override Conflict Warning	Approve/Override	No Access	No Access	Approve/Override
8 – Record Liberty Interest	Edit	No Access	No Access	Edit

Phase 2 – Assignment (Steps 9–16)

Step # / Action	Legal Staff	Attorney (Copy Level)	IDS / Support Roles	Directors (Exec, Deputy, Division)
9 – Generate Eligible Attorney List	View	No Access	No Access	View
10 – Assign Attorney	View	No Access	No Access	Assign

10 – Override Capacity Warning	View	No Access	No Access	Approve Override (Requires Approval)
11 – Generate Support Role List	View	No Access	No Access	View
12 – Assign Support Roles	View	No Access	No Access	Assign
13 – Create Sub-Case Copies	System Generated Only	No Access	No Access	No Access
14 – Assignment Notifications	Edit	View	View	Edit

Phase 3 – Active Case Management (Steps 17–23)

Step # / Action	Legal Staff	Attorney (Copy Level)	IDS / Support Roles	Directors (Exec, Deputy, Division)
16 – File Entry of Appearance (Copy)	No Access	Create / Edit	Edit	No Access
17 – Initial Triage Collaboration	No Access	Create / Edit	Create / Edit	No Access
18 – Document Case Activities	No Access	Create / Edit	Create / Edit	No Access
19 – Monitor Deadlines	No Access	Create/Edit	Create/Edit	No Access
21 – Attend Hearings	No Access	Edit	Edit	No Access
22 – Upload Orders / Outcomes	No Access	Edit	Edit	No Access

Phase 4 – Closure (Steps 24–28)

Step # / Action	Legal Staff	Attorney (Copy Level)	IDS / Support Roles	Directors (Exec, Deputy, Division)
24 – Submit Sub-Case Closure	No Access	Create/Edit	Create/Edit	No Access
25 – Validate Sub-Case Closure	Edit	No Access	No Access	Edit

26 – Evaluate Shell for Closure	Approve	No Access	No Access	Approve
27 – Close Shell Case	Approve	No Access	No Access	View
Reopen Sub-Case	Reopen	No Access	No Access	Reopen

BUSINESS CAPABILITY MAP TEMPLATE EXAMPLE

Exhibit 5

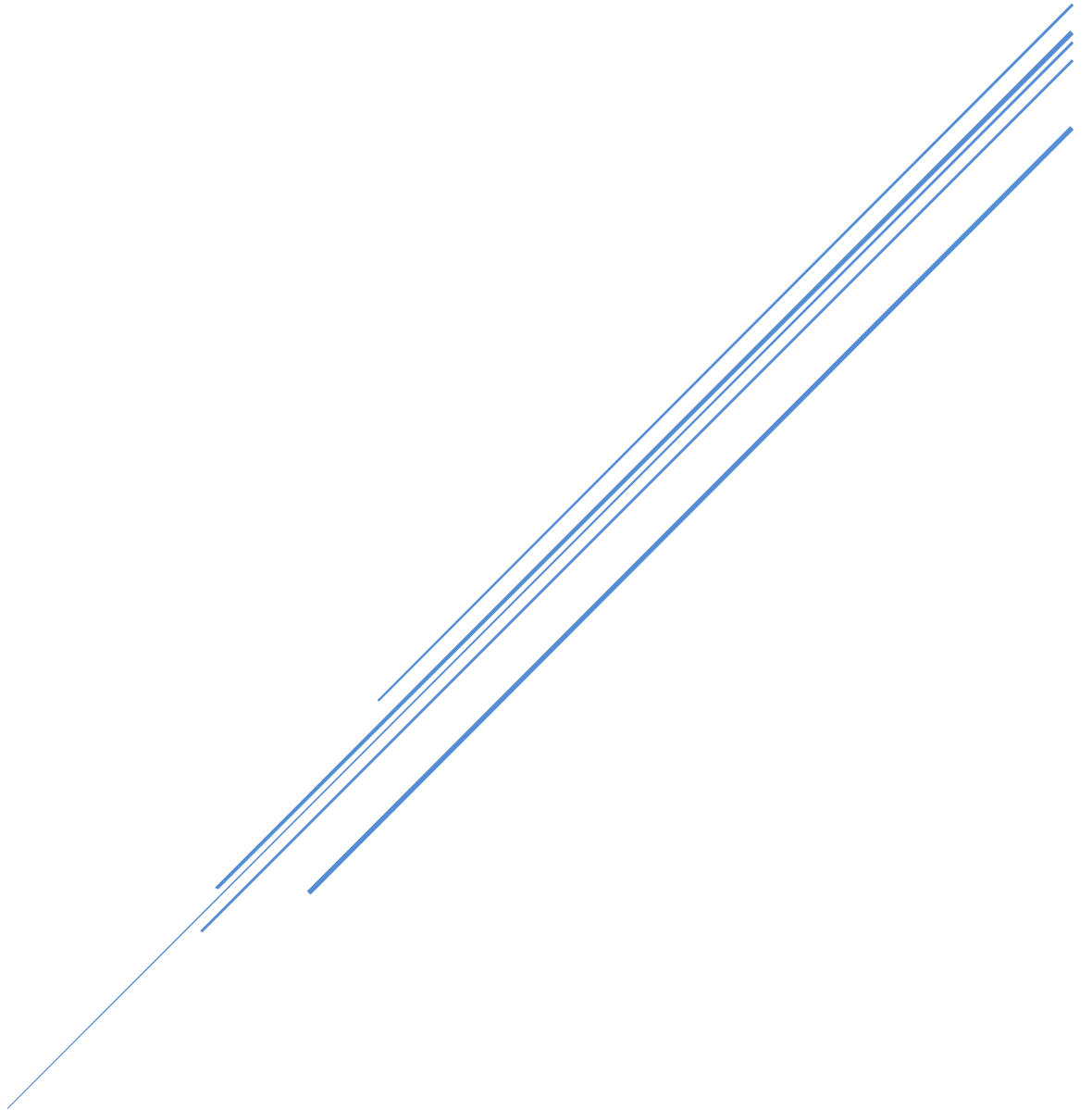


OFRA SYSTEM CAPABILITY MAP



EXHIBIT 6 – COMMUNICATION & COLLABORATION OVERLAY

OFRA Case Management Modernization



OFRA Phase 2 – Communication & Collaboration Overlay Table (Revised)

Aligned to Revised To-Be Process (Shell + Sub-Case Architecture)

This overlay identifies required communication triggers based on the updated 28-step To-Be workflow.

Communication Type Legend

Notification = Inform one or more roles of an event or status change

Collaboration = Two or more roles must actively coordinate or interact

Documentation = Information must be formally recorded in the case record

To-Be Step #	Process Step Name	Communication Trigger	Communication Type (Notification / Collaboration / Documentation)	Audience / Roles Involved	Required or Optional	Documented in Case Record? (Y/N)	Notes / Constraints
1	Shell Case Created	Shell case created (admin-only)	Documentation	Legal Staff	Required	Y	Shell creation timestamp logged
3	Validate Intake Data	Missing intake data task generated	Notification	Legal Staff	Required	Y	Task logged in shell
6	Conflict Check	Conflict detected	Notification	Legal Staff	Required	Y	Conflict warning recorded
7	Approve for Assignment	Case approved for assignment	Notification	Legal Staff / Oversight	Required	Y	Approval logged
8	Liberty Interest Determination	Liberty interest confirmed	Documentation	Shell Case Record	Required	Y	Triggers support role logic
10	Attorney Assignment	Attorney assigned to case	Notification	Assigned Attorney	Required	Y	Assignment timestamp recorded

11	Support Role Eligibility Generated	Support role shortlist generated	Documentation	Shell Case Record	Required	Y	Eligibility logic captured
12	Support Roles Assigned	Support roles assigned	Notification	Assigned Support Roles	Required	Y	Assignment logged
13	Assignment Notifications	Attorney and/or Support Roles notified	Notification	Attorney + IDS Team	Required	Y	Decline workflow enabled
14	Sub-Case / Copy Created	Copy created per attorney/party	Documentation	System Log	Required	Y	Segregated working file created
15	Hearing Scheduled	Statutory hearing scheduled	Notification	Assigned Attorney / IDS	Required	Y	Calendar integration optional
15	Client Hearing Reminder	Reminder sent to client prior to hearing	Notification	Client (email/SMS if contact exists), Assigned Attorney, IDS Staff	Required	Y	Reminder timing configurable (ex. 24-48 hours prior)
16	Entry of Appearance Filed	Entry of Appearance filed	Documentation	Sub-Case Record	Required	Y	Tracked at copy level
17	Initial Triage	Team collaboration required for initial triage	Collaboration	Attorney / IDS Team	Required	Y	Documented within copy
17	Initial Triage Completed	Triage documented	Documentation	Sub-Case Record	Required	Y	Strategy stored in copy only
18	Ongoing Activities	Visit/assessment documented	Documentation	Sub-Case Record	Required	Y	Copy-level documentation only
18	Case documentation added	Case file documentation uploaded	Notification	Entire copy case team	Required	Y	Team-wide notification when document

							ation added
19	Deadline Monitoring	Milestone approaching	Notification	Assigned Attorney / IDS	Required	Y	Automated reminder logged
19	Compliance Risk Alert	Deadline missed or risk flagged	Notification	Attorney / IDS / Supervisor	Required	Y	Escalation logged
20	Shell Status Updated	High-level status updated in shell	Notification	Shell Case Record	Required	Y	No privileged data included
21	Hearing Reminder	Upcoming hearing reminder	Notification	Attorney / IDS	Required	Y	Hearing cycle repeats as needed
22	Order Uploaded	Court order uploaded	Notification	Copy Case Team	Required	Y	Triggers follow-up tasks
22	Orders Require Action	Follow-up tasks generated	Notification	Assigned Role(s)	Required	Y	Task creation logged
24	Sub-Case Closure Submitted	Closure documentation submitted	Documentation	Sub-Case Record	Required	Y	Copy-level closure initiated
25	Sub-Case Closed	Sub-case closed	Notification	Copy Case Team	Required	Y	Copy status updated
26	Shell Closure Evaluation	All copies closed check	Documentation	Shell Case Record	Required	Y	System validation step
27	Shell Case Closed	Shell case closed	Notification	Administrative Staff / Oversight	Required	Y	Final lifecycle status recorded