



**Vermont Judiciary**  
**Office of the Court Administrator**  
**Research and Information Services**

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**Next Generation Case Management System**  
**Request for Information**

112 State Street, Floor 5  
Montpelier, VT 05609  
May, 2015

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## 2 Introduction

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This Request for Information (RFI) seeks to gather knowledge and guidance from providers of commercial-off-the-shelf (COTS) best-practice-based court case management systems (CMS). The Vermont Judiciary will use this information to assess the suitability of potential solutions and solution partners in satisfying its CMS needs now and into the indefinite future.

The Judiciary wishes for this RFI to begin a process that will lead to the establishment of a long-term partnership with a provider of a fully supported, feature rich CMS that includes comprehensive e-courts functionality. The Judiciary wishes for its ideal provider to be in a position to continually refresh its products over the coming decades in a way that will allow the Vermont courts to continually provide the best possible e-courts functionality and services to its stakeholders and citizens.

The Judiciary does not wish to engage with a CMS provider merely to customize a CMS to exactly duplicate the state courts' current business processes and practices; rather, the Judiciary prefers to implement a CMS that will embody – now and in the future – electronic case management best practices. As such, the Judiciary anticipates significant reengineering of its internal process to comply with case management best practices in order to avoid extensive customization. Of course, the Judiciary and its future partner will rely on configuration or may need to perform minimal customization to allow a new CMS to conform to existing Vermont State statutes and Supreme Court rules.

The Judiciary expects that your substantive responses to this RFI will assist the Judiciary in constructing a Request for Proposal (RFP) that will be as complete and as clear as possible to the CMS provider community.

## 3 Instructions to CMS Providers

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### 3.1 RFI Schedule

The RFI schedule is as follows:

Issued: 05/18/2015

Responses are due by 4:30 P.M. EDT July 6, 2015

### 3.2 Pre-Response Questions and Web Conference

Please submit all questions regarding this RFI to Jeff Loewer, Vermont Judiciary CIO, [Jeffery.Loewer@state.vt.us](mailto:Jeffery.Loewer@state.vt.us)

Invitations to a provider web conference will be sent to all interested vendors. The conference will be held on June 22 at 10:00 A.M. EDT. The purpose of this conference is to review information in the RFI and to field questions that potential solution partners may have about our requirements, process and schedule.

### **3.3 Submission of Responses**

Providers must submit one copy of their response(s) by e-mail in Microsoft Word (\*.docx) format. Please send responses to Jeff Loewer, CIO, Vermont Judiciary, Jeffery.Loewer@state.vt.us. A confirming email reply will be sent to acknowledge receipt of submissions.

### **3.4 Disclosure of Response Contents**

All responses and other materials submitted in response to this RFI will become the property of the Vermont Judiciary. The successful response will become part of the contract file and will become a matter of public record, as will all other responses received. If the response includes material that is considered by the bidder to be proprietary and confidential under 1 VSA, Chapter 5, the bidder shall clearly designate the material as such, explaining why such material should be considered confidential. The bidder must identify each page or section of the response that it believes is proprietary and confidential with sufficient grounds to justify each exemption from release, including the prospective harm to the competitive position of the bidder if the identified material were to be released. Under no circumstances can the entire response or price information be marked confidential. Responses so marked may not be considered. No materials will be returned to submitters.

### **3.5 Response Format**

Please respond in chronological order to the questions in this RFI, and label your responses with the question numbers and labels used below. If you are unable to completely answer a question at this time, please make a note of why you feel that you cannot answer the question. All responses regarding why you cannot answer particular questions at this time will be taken as formative feedback by the Vermont Judiciary and will be used to produce questions that have greater clarity in a Request for Proposal (RFP), which may be issued at a later date.

## 4 Provider Profile

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Please provide the following information about your company:

1. Company Name;
2. Company Address;
3. Phone Number;
4. Fax Number;
5. E-Mail Address;
6. Web Site URL;
7. Type of ownership for your company (publicly traded corporation, sole proprietorship, partnership, venture capital funded, etc.);
8. Strategic partnerships that your company engages in;
9. Number of employees;
10. Names of company president, vice president(s), and key division managers;
11. Financial statements for the previous two years or other evidence of financial fitness;
12. Initial year of operation;
13. Age of product (when was your CMS product first released?);
14. Outstanding legal actions involving your company;
15. Anticipated or in-process acquisitions or mergers.
16. Update and upgrade schedule of your core CMS product with minor and major releases detailed.

## 5 High-Level Cost Estimates

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Please provide high-level cost estimates for all items listed in the table below, and if there are any anticipated costs that are not listed in the table, please include them directly below the table. Responses will be treated as preliminary, non-binding estimates based on information provided to you in this RFI. Your cost estimates will only be used by the Judiciary to plan for issuing an RFP and to acquire sufficient CMS project funding. The cost estimates should show all costs associated with the acquisition and implementation of your CMS solution as indicated in the following table:

<b>Cost</b>	<b>Explanation</b>	<b>Est. Low Cost</b>	<b>Est. High Cost</b>
<b>CMS Core Software Licensing</b>	Pricing for the core CMS product	\$	\$
<b>Optional Software Modules</b>	Pricing (if any) for CMS modules sold separately to customers. These might include e-filing, e-documents, e-bench, public access, statistical modules, performance dashboards, etc.	\$	\$
<b>Configuration</b>	Typical cost for a jurisdiction such as Vermont to properly configure a system for statewide use	\$	\$
<b>Customization</b>	Typical pre-implementation customization costs for a jurisdiction similar to Vermont	\$	\$
<b>CMS Software Maintenance</b>	All costs related to annual software maintenance payments for five years	Year 1: Year 2: Year 3: Year 4: Year 5:	Year 1: Year 2: Year 3: Year 4: Year 5:
<b>Data Migration and Conversion</b>	Typical data conversion costs for a jurisdiction similar to Vermont	\$	\$
<b>Training</b>	Typical training costs for a jurisdiction similar to Vermont	\$	\$
<b>User Support</b>	If user support (helpdesk) costs are not included in your software maintenance costs, please list typical user support costs for various levels of service provided to court end users	\$	\$
<b>Provider Travel Expenses</b>	Typical travel expenses for onsite implementation of your CMS in a state similar to Vermont	\$	\$
<b>Third Party Software</b>	Software application costs that will accrue to the customer for essential software applications that are required to properly operate your CMS, such as Adobe Acrobat, MS-Word, MS-Excel, Crystal Reports, DBMS software, Operating System, Document Management Software, Web Server, Archive manager, etc.	\$	\$
<b>Project Management</b>	All costs related to provider project management to accomplish a statewide implementation in a jurisdiction similar to Vermont	\$	\$

<b>Professional Services</b>	Costs related to professional services required for a successful CMS implementation	Project Manager: Consultant: Sr. Consultant: Business Analyst: Trainer: DBA: Other:	Project Manager: Consultant: Sr. Consultant: Business Analyst: Trainer: DBA: Other:
<b>Hardware Costs</b>	All costs for hardware, including hardware for your CMS and required third-party software that must be purchased before installing your CMS	\$	\$
<b>Installation Costs</b>	All costs associated with installing hardware and software for your CMS and required third-party software prior to implementing your CMS	\$	\$
<b>Additional Costs</b>	Please provide any additional costs otherwise not noted above.	\$	\$
<b>Totals</b>		\$	\$

## 6 CMS Provider's References

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Please provide references for all of your major CMS implementation projects that have taken place within the past five years. In particular, please provide reference information for projects that might compare with Vermont's in terms of complexity, cost, scope, geography and population.

These references should include:

1. Client contact information including: jurisdiction (state, court district, county, city, etc.), contact name, contact address, contact phone, contact email address;
2. A brief summary of the project;
3. Approximate project cost to customer for full implementation of your CMS product(s).

## 7 Questions Regarding Your CMS Solution

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Please answer the following questions, as concisely as possible, regarding how your CMS manages the following system functions. If your system does not currently support the functions described below, but you plan to include the described functionality in any future release of your application(s), please disclose when you plan to make the functionality available.

The Vermont Judiciary does not expect every CMS provider to offer all of the functionality listed below, but for the purposes of this RFI, the Judiciary is attempting to learn what features are available in the marketplace and from whom. This will aid the Judiciary in creating a Request for Proposal that is realistic in its expectations of CMS providers.

### 7.1 Core System Features

- 1. Caseflow Management and Business Rules-Based Automation:** Please describe the caseflow management capabilities of your system that allows court staff to monitor case progress, notify judges and staff of target dates or milestones, such as when motions are ripe, when cases are trial-ready, when annual reports are due; thereby, assisting judges and staff with timely movement of cases from initiation to disposition.
- 2. Template Management Interface:** Please describe your CMS's template management interface for document production.
- 3. Document Management:** Please describe the capabilities of your CMS for storing and distributing electronic documents to judges and court staff, and the ability to extract data and metadata automatically from the documents. Please specifically note whether or not your system integrates with other document or content management systems.
- 4. Electronic Media Management:** Please describe the capabilities of your CMS for storing and distributing electronic media files associated with case records. Specifically discuss exhibits, video, audio, images, and complex file archives such as software, stand-alone executable files, 3D or other renderings, and data archives.
- 5. Document Work Queues:** Please explain how your system electronically routes court documents to court staff and judges and notifies judges and staff that work has arrived at their queues.
- 6. Automated Records Management:** Automated Records Management (ARM) can greatly simplify document retention and archiving. Please speak to the level of automation that exists within your CMS for this function.
- 7. Document and Portal Redaction of Sensitive identifiers:** Please describe how your CMS deals with document and case data redaction of identifiers such as dates of birth and social security numbers, including rules-based classification and redaction.



- 8. Electronic Signatures and Signature Authentication:** Please describe how your CMS incorporates electronic signatures (imaged and/or digital). If you have incorporated true digital signatures supported by a third party signature authority, describe your digital signature authentication process. If you have simply incorporated imaged signatures, please discuss how that is working in actual courts that are using your CMS.
- 9. Bar Code Scanning Features:** Please discuss how your CMS facilitates batch document scanning using bar code separators. If your system does not use bar codes for this purpose, describe how your system facilitates efficient batch file and document scanning.
- 10. Batch Production Processing:** Please describe any batch production capabilities within your system that are designed to save time and resources. An example would be batch production of arraignment notices to all attorneys scheduled for a block of time.
- 11. E-Bench capabilities:** Please discuss any e-bench capabilities of your CMS that allows judges and clerks to electronically manage cases, forms and documents from the bench during a live hearing without accessing manual files or calendars.
- 12. Courtroom Management:** Please describe how your CMS links the in-court record, including evidence and information displayed through courtroom display systems. In this context, please describe your CMS's exhibits management interface. Specifically, please note whether your system has an integrated court record system or how it integrates with other systems, such as, but not limited to, "For the Record (FTR)."
- 13. Automated Case Judge Assignments:** Please discuss how your CMS manages automated judge assignments at case initiation, and how judge assignments are adjusted when judges are excused, recused or reassigned.
- 14. Automated Sentence Calculation:** Ideally a comprehensive court management system would have the ability to assist judges and staff in the calculation of consecutive and concurrent sentences based on the charges and arrive at a final number for each type of sentence (e.g., pen time, jail time, probation, community service, etc.). Please describe your system's capabilities in this regard.
- 15. Automated integration of Trial Court and Appellate Court "record proper:"** Are trial and appellate courts integrated in your CMS or does it include the ability for trial courts to upload a complete digitally indexed record proper for cases that are being reviewed by a higher court?
- 16. Interface:** Please describe your system interface and whether or not it is client application, web-client, or clientless.
- 17. Mobile device compatibility:** Do you have a mobile device application? If so, which platform does it use? Does your CMS have the ability to publish information to mobile devices for judges, attorneys and other interested parties? If so, please explain.
- 18. Expungement and Sealing:** Please speak to the sealing and expungement features of your CMS. Particularly, please describe the granularity of permissions, approval process,

and queue management for requests. Also, please describe the granularity of detail for expunging or sealing individual records, entire cases, entity records, or individual charges and associated documents.

- 19. Granularity of Role-based Viewing and Security:** Please describe the level of detail, granularity, grouping and hierarchy of role-based permissions within your CMS as it pertains to views, data and files.

## **7.2 Data: Tables, Validation, Analytics, Reporting and Metrics**

- 20. Judge and Staff Performance Dashboards:** Please discuss any capabilities that your CMS has for display of data via performance dashboards.
- 21. Data Validation and Error Detection Tools:** Please discuss any automated data entry validation tools that your CMS incorporates for the purpose of minimizing data entry errors.
- 22. Criminal Charge Statute Handling:** Please explain how your CMS handles criminal charges, and in particular, describe how your system allows judges and/or staff to quickly manipulate case charge records from the bench to efficiently issue documents, from the bench, that show the most current charging information.
- 23. Inchoate Charges and Charge Modifiers:** Please describe your methods for handling charge modifiers (e.g., habitual offender) and inchoate identifiers (e.g., attempt, solicitation and conspiracy).
- 24. Charge Flagging:** Please discuss how your CMS might flag charges that require sex offender registration or reporting to the National Instant Check System (NICS).
- 25. Civil and Criminal Case Weighting:** Please discuss any capabilities your CMS incorporates to automatically weight cases in terms of complexity or time expended for the purpose of providing automated data for weighted case load studies.
- 26. Time Tracking Modules:** If your system provides time tracking for judges and clerks, please describe how that function works and how time tracking information can be retrieved.
- 27. Data Entry Additions, Revisions and Deletions Audit tracking:** Please describe how your CMS handles audit tracking of particular users' entries into the system.
- 28. Entity Management:** Please describe how your system facilitates improved entity management to reduce or eliminate duplicate person records for the same unique person (entity) in your system.

## **7.3 Case and Data Intake Methods**

- 29. Criminal E-Charging and E-Citations:** Sometimes called criminal e-filing, e-charging can automatically transfer cases from charging entities – law enforcement agencies and prosecutors – to courts, and court clerks can electronically accept the charging

documents, initiate criminal cases, schedule hearings and send electronic notices to registered parties through simple acceptance of the prosecutor's entire criminal filing. If your system now incorporates e-charging, please explain how it works. Additionally, if possible, please speak to how your system takes in, stores and manages e-citations.

- 30. Civil Case E-filing:** Please describe how your CMS facilitates civil e-filing by attorneys and/or case parties. If your CMS does not currently have an integrated e-filing module, please explain how your system integrates with third-party e-filing applications.
- 31. E-filing and Intelligent Forms:** Please discuss how your system facilitates form completion and e-filing. Specifically, please describe the use of intelligent forms vs smart forms and whether or not your system facilitates interview methodologies for eFiling.
- 32. Proposed Orders:** Please discuss any methods your system has for providing e-filing and e-service for orders proposed to a judge by case attorneys.

#### **7.4 Financials**

- 33. Case Financials and General Ledger Functionality:** Please discuss how your system handles financial accounting, receivables and general ledger functions.
- 34. E-payments:** Please describe how your system accepts online e-payments.
- 35. Financial Reporting:** Please discuss how your system facilitates data exchanges and reporting between government finance and budget agencies and the courts.
- 36. GAAP Financial Interfaces:** Please describe how your system interfaces with Generally Accepted Accounting Practices (GAAP) based finance systems.

#### **7.5 Data Exchanges and Sharing**

- 37. Electronic Notifications:** Please describe your capabilities for electronically notifying attorneys, case parties and justice partners of critical events and upcoming scheduled events, and discuss whether such notifications can be automatically sent via e-mail, SMS or through other means.
- 38. Online Public Access:** If your system incorporates an online public access module please describe its features and capabilities, and in particular, discuss whether your system can accept payments through an Online Public Access Portal for data and documents access if required and how it implements rules that restrict public access to data elements, records or types of proceedings.
- 39. Online Information Portals:** Please discuss any online portals your system incorporates to securely provide online information to citizens, justice partners and stakeholders. Please include information regarding rules-based classification and redaction of sensitive or confidential data and documents.
- 40. Data Exchange Methodology:** Please discuss your data exchange methods and describe your system's compliance with the National Information Exchange Model (NIEM).

- 41. National Center for State Courts' *Courtools* Compatibility:** Please describe any out-of-the-box functionality your system has that will allow for easy generation of Courtools statistics to produce reports and feed performance dashboards. These measures include 1) clearance rate, 2) age of pending case load and 3) time to disposition. For more information, please see [www.courtools.org](http://www.courtools.org).
- 42. COSCA/Joint Taskforce Standards:** Please describe how your system complies with CMS functional standards that were developed by COSCA, NACM and the NCSC Joint Technology Committee. For more information on the Court-Specific Standards, please see <http://www.ncsc.org/Services-and-Experts/Technology-tools/Court-specific-standards.aspx>.

## 8 Additional Project Considerations

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The success of the Judiciary's Next Generation Case Management project will depend on carefully considered project definition, governance and management. Please respond to each of the following, noting how you will partner with the Vermont Judiciary to achieve predictable and successful project outcomes.

- 1. Focus on organizational and business process transformation:** please respond how you will provide subject matter expertise and credible, well-demonstrated best practices that will help drive our organizational and business process transformation.
- 2. Rigorous project planning and governance:** the Vermont Judiciary and our selected Solution Partner will help ensure the success of our Next Generation Case Management System initiative through strict adherence to a formal Project Management and Governance process. Please respond how you will provide leadership in this area and compliance with Project Management Institute (PMI) based methodologies, and include detailed Solution Partner and Judiciary team descriptions and levels of effort required from each to fully implement the solution.
- 3. Independent review:** The Judiciary plans to utilize an independent expert review process at certain key project milestones. This review will utilize the services of a third-party intermediary to assess the project's acquisition cost, technology architecture, implementation plan, and cost analysis and will require the full cooperation and participation of our Solution Partner. Please describe your experience with this type of review process.

4. **Data conversion:** The Judiciary is seeking Solution Partner input and prior experience regarding approaches and recommendations concerning conversion of data from our current legacy applications, including strategies for accessing current and legacy case files and data.
5. **Change order management:** Please describe the change order management process utilized for both project and product changes and enhancements.
6. **Training:** Please describe your training model, particularly the typical duration, timeline, trainers and tools.
7. **CMS Project Timeline:** Please provide your best estimate for how long it might take to fully implement your CMS product in Vermont.

## 9 Vermont's Judicial Structure

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Vermont has a unified court system, operated by the Supreme Court in accordance with the Vermont Constitution, Ch. II, Section 4, which provides that “the judicial power of the State shall be vested in a unified judicial system...” The Vermont court system consists of the Supreme Court, the Superior Court, the Judicial Bureau and the Court Administrator’s Office (CAO). The CAO is responsible for maintaining the budget, accounting and finance, security, network and infrastructure, and the buildings and physical assets of the Vermont Judiciary.

The Supreme Court is the court of final appeal in Vermont. The court hears appeals from the Vermont Superior Court and from certain administrative agency proceedings. The five justices of the Supreme Court render decisions in approximately 450 cases per year. There is no intermediate appellate court between the trial courts and the Supreme Court.

The Superior Court is the statewide trial court of general jurisdiction and there is a unit of the Superior Court in each county. The Superior Court has five divisions: criminal, family, civil, probate, and environmental. The environmental division operates statewide and is not organized into county units. Each unit of the Vermont Superior Court is managed by a Superior Court Clerk appointed by the Court Administrator and a Presiding Judge [chosen from among the Superior Judges] appointed by the Chief Superior Judge. Court Operations Managers in each unit, who report to the Superior Court Clerk, manage court staff. Approximately 45,000 cases are filed each year in the Superior Court.

The Judicial Bureau has statewide jurisdiction over civil violations. Police and other government officials have authority to charge civil violations, such as traffic violations, municipal ordinance violations, fish and wildlife violations, and various other civil violations set forth in Vermont

statutes. The Judicial Bureau processes approximately 80,000 civil violation complaints per year.

Vermont has a centralized Court Administrator's office. This includes the Planning and Court Services division, Trial Court Operations division, Finance and Administration, and the Research and Information Services (RIS) division, which is responsible for the support of Technology at the Judiciary.

The Judiciary acts as a crucial hub of information for over 20 separate governmental and non-governmental entities, including tightly defined integrations of process and data, inbound and outbound interfaces of data, regular outputs to information consumers, and ad-hoc information portals.

## 10 The Vermont Judiciary's Technical Environment

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The Vermont Judiciary's current case management systems are all based on the original text-based Vermont Automated Docketing System (VTADS). VTADS, a Linux-based and terminal accessible system, was built by Relational Semantics, and has been maintained and enhanced by the Judiciary's Research & Information Services Division (RIS) since 1990. VTADS has worked well but its decentralized configuration does not allow for viewing data on a statewide basis, and it does not easily provide court statistics and management reports or fully meet data requests from state agencies and/or the public.

Between 2000 and 2001, the Judiciary implemented a data warehouse to combine data specifically from the District, Family and Superior Courts to support statistic generation, data access, and sharing among the courts and state agencies. A web-based application called Vermont Case Access System (VCAS) allows end-users to search for court case information on a statewide basis. But while the data warehouse has provided improved functionality in some areas, the underlying case management system continues to limit the ability of the Judiciary to move ahead with the necessary flexibility inherent with today's technologies.

**JUDCloud:** The private cloud service hosted for the Judiciary by the State of Vermont's Executive branch centralized IT service center, the Department of Information and Innovation (DII). The Vermont Judiciary has a nearly completely virtualized server system contained within JUDCloud. The server system is comprised of File Storage in a Linux-based Data Mover; multiple Windows servers; multiple Red Hat Linux servers which house the current VTADS system and databases; and an Oracle Data Warehouse used to compile and report on the data from the disparate VTADS databases. The desktop technology is a VMWare ESX environment

which houses a zero-client-based VDI Windows desktop management system with Microsoft Active Directory control. While Active Directory Federated Services (ADFS) or Single Sign On (SSO) services are not yet available in Vermont, they are slotted to be added in short order.

**Wide Area Network:** Govnet is the State of Vermont’s wide area network service. The service and maintenance is provided to the Judiciary also by DII. It consists of layer-2 LANS and multiple ISP methods from copper to coax to fiber. The minimum internet bandwidth, however, is 5 MB twisted copper eLAN (four twisted DSL lines).

**VTADS:** Vermont Automated Docketing System. This is a Linux-hosted, text-based “green screen” style system currently tracking case data, court scheduling, and case financials.

**VT Courts Online:** Public facing, authenticated access portal that merges data from the data warehouse to display docket sheets and court schedules. Can be accessed outside of Govnet.

**VCAS:** Internal hosted, firewalled data portal that shows cases data in report form from the data warehouse. Authentication is also required and accounts are restricted as much of the information is confidential. CANNOT be accessed outside of Govnet.

**eCabinet:** This is Judiciary-hosted eFiling system. It currently has a limited filing cabinet feature set, and will soon have a very limited attorney schedule conflict checker tool. An expansion of this technology in the new system would include portals for attorneys to maintain electronic calendars within the portal for in-court scheduling.

**Access to Justice (A2J) Self Represented Litigants Interviews:** Currently, the A2J interview modules facilitate the filling of forms to be filed with the court. However, a consideration for our Next Generation Case Management System would be increased use and eFiling via these interview portals.

**Jury Plus:** This is jury member eligibility selection interview process.

**For the Record (FTR):** FTR is the audio recording system used for courtroom recording to enable remote transcription.

**Video Recording:** Voice activated video recording takes place in some courtrooms for court record maintenance.

**Content Management:** The Judicial Bureau, for the purposes of traffic citations, utilizes centralized scanning and document management.

**VTADS-to-Word:** This is an application method by which data from the VTADS system is populated into formatted Microsoft Word Templates for use by court staff and judicial officers.

**eNotifications:** Currently we have an XML-based MS Outlook driven eNotification system for hearing notices.

# 11 Appendices

## A. VT Judiciary Current Network Diagram

