

# VERMONT JUDICIARY'S NEXT GENERATION CASE MANAGEMENT SYSTEM: OUR PLATFORM FOR TRANSFORMATION

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## AGENDA

### Introduction

#### Our initial business case

- Background of Case Management Systems at the Judiciary
- Fulfilling our strategic goals through the transformation of our business model
- Gaining capacity and agility through flexibility and efficiency
- The risks of doing nothing

#### What will we do to ensure the success of this initiative?

- Focus on organizational and business process transformation
- Rigorous project planning and governance
- Risks in implementation

#### What is a CMS? Court Case Management Systems defined

- Benefits to court stakeholders
- Typical performance metrics for CMS
- Scope of CMS at the Vermont Judiciary

#### CMS at the New Mexico Courts

- Success factors in New Mexico's multi-year implementation

#### How do other states pay for CMS?

- Example funding scenarios

#### High-level cost estimates

#### Questions and answers

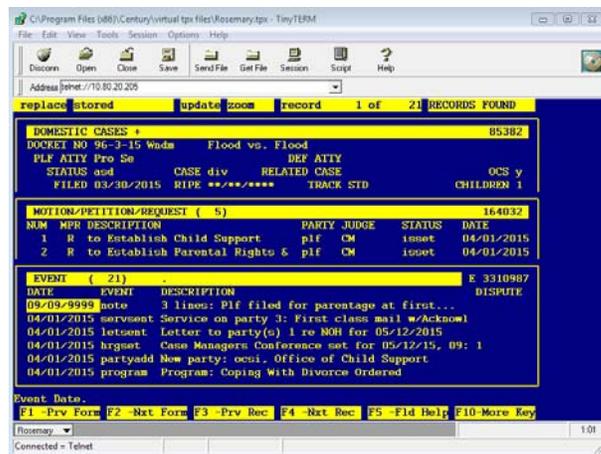
#### Next steps and conclusion



## INITIAL BUSINESS CASE: BACKGROUND OF CASE MANAGEMENT SYSTEMS AT THE JUDICIARY

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- Vermont Automated Docketing System (VTADS) in use since 1990



## INITIAL BUSINESS CASE: BACKGROUND OF CASE MANAGEMENT SYSTEMS AT THE JUDICIARY

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- Vermont Automated Docketing System (VTADS) in use since 1990
- Decentralized configuration creates challenges:
  - Difficult to view statewide data
  - Difficult to provide court statistics and management reports
  - Difficult to provide data for public and governmental agencies
- Data warehouse implemented in 2000-2001
  - Combines data to support statistics and sharing
  - Hampered by limitations of VTADS
- 2009-2012 project to replace VTADS and implement electronic filing was halted
  - Concerns about whether objectives could be achieved within original parameters



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## INITIAL BUSINESS CASE: TRANSFORMATION OF OUR CASE MANAGEMENT PROCESS

**Strategic goals of the Judiciary compel us to move from a paper-driven to an electronic-focused business model**

- **Break down the barriers of the courthouse and case file**
- **Improved access to justice for our citizens**
  - Electronic filing, forms, document management
  - Electronic interchange between the courts and external stakeholders will enable greater access to accurate and timely Judicial information.
- **Improved inter-agency communication**
  - Enhance the Judiciary's role as a hub of information for over 20 separate entities
  - Tightly defined integrations of process and data
  - Inbound and outbound interfaces of data
  - Regular outputs to information consumers
  - Ad-hoc information portals



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## INITIAL BUSINESS CASE: GAINING CAPACITY AND AGILITY THROUGH FLEXIBILITY AND EFFICIENCY

**The Judiciary continues to be under great pressure to become more efficient and to live with fewer resources for its operation**

- **Our current system is a hindrance to process improvement efforts**
  - Paper-based records, redundant data entry, multiple, disparate data sources
- **Benefits of Court Restructuring cannot be fully realized**
  - Lack of management flexibility and operational efficiency without support of enabling systems
  - Constraints of geography, place, courthouse designed into current system
  - Tedious clerical work consumes available resources
    - Need to leverage automated case data intake, processing and electronic records storage
    - Direct these tasks to the hands of the filers



## INITIAL BUSINESS CASE: THE RISKS OF DOING NOTHING

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### **Our legacy, aging core technology puts us at risk**

- **The Judiciary is at risk for failure of its main record keeping and source of information**
  - Current case management system is more than 25 years old with no external support
  - Ongoing possibility of system failure
- **We are at risk of not being able to produce critical information and statistics**
  - Today we live with the legacy of separate case management systems for each and every court
  - Issues for viewing data on a statewide basis and does not easily provide court statistics, management reports or fully meet data requests from state agencies
- **Our most significant risk to operations is to do nothing**



## WHAT WILL WE DO TO ENSURE THE SUCCESS OF THIS INITIATIVE? FOCUS ON ORGANIZATIONAL AND BUSINESS PROCESS TRANSFORMATION

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- **Establishing and enacting standard, consistent business processes across the Judiciary**
  - A critical component in the success of our organizational and business process transformation
- **We need to select a solution provider for our Next Generation Case Management project that arrives with a proven best-practice catalog of standard business processes and solutions**
  - Results in organizational and business process transformation driven by technology
- **Focus on a limited set of functional gaps that address true strategic differences in the way the Vermont Judiciary works**
- **We will require the support of the Supreme Court and Legislature**
  - As we encounter instances where new rules and/or statutes are needed to support our future best-practice based business model



WHAT WILL WE DO TO ENSURE THE SUCCESS OF THIS INITIATIVE?  
**RIGOROUS PROJECT PLANNING AND GOVERNANCE**

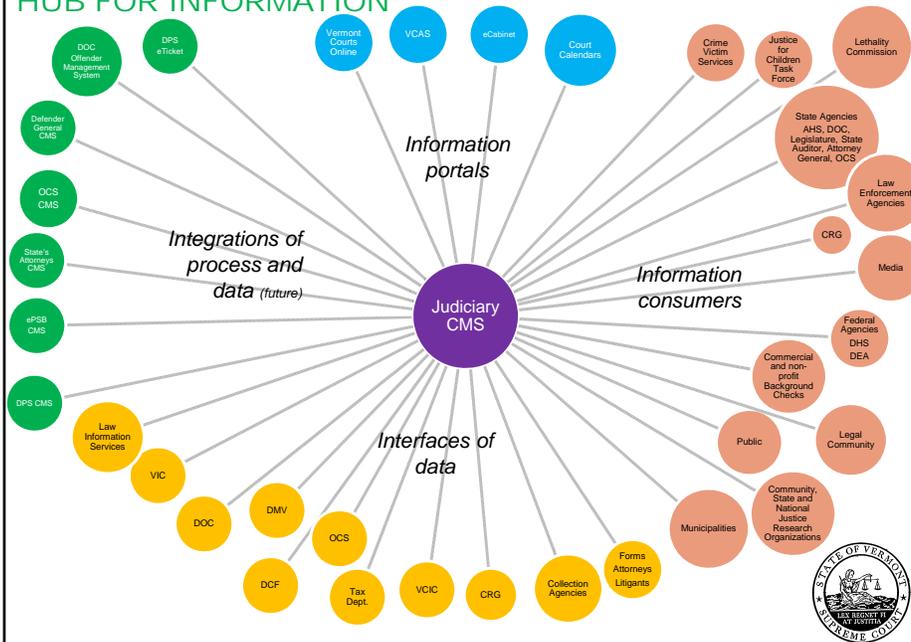
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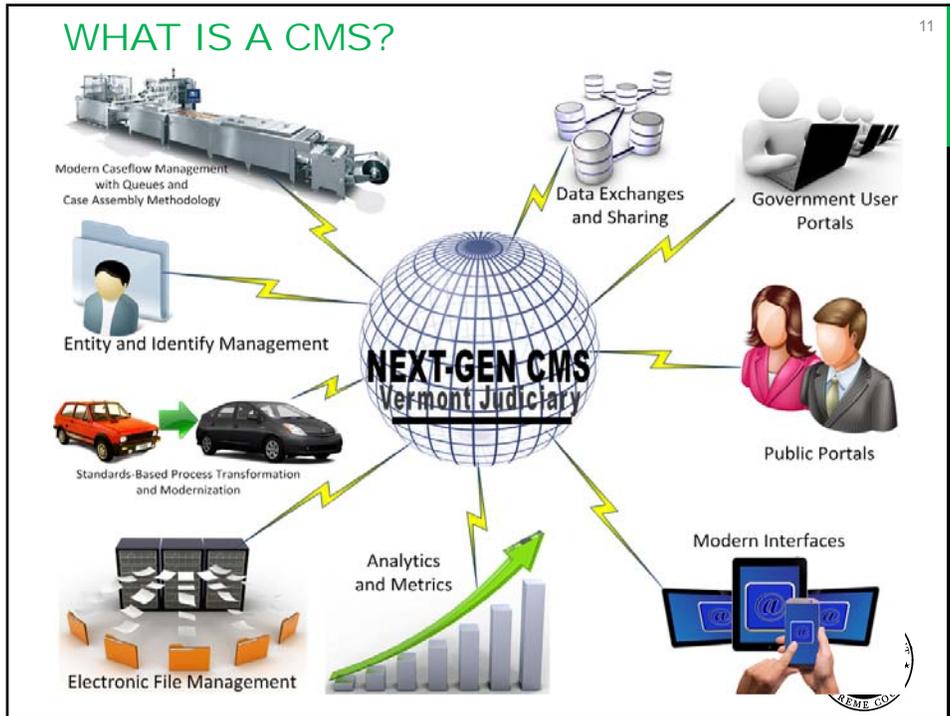
- **Utilize phased-based Project Process**
  - Repeatable template focused on time, scope and budget
  - Dedicated Project Manager
- **Establish 3-tier Governance Structure**
  - Steering Board – focused on policy, strategic direction, decision making, and advocacy
  - Working Board – SMEs focused on business process and functionality
  - Technical Committee(s) – focused on supporting the Working Board with specific expertise
  - Utilize Independent Review
    - Assess costs, architecture, plans, governance



**THE JUDICIARY IS A CENTRAL HUB FOR INFORMATION**

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- ## WHAT IS A CMS?
- ### BENEFITS TO COURT STAKEHOLDERS
- 12
- **Efficiency for Case Intake through Data Exchange and Electronic Filing**
    - Minimize Data Entry Points with:
      - eCharging for Criminal
      - eFiling for other Dockets
    - Electronic Files will streamline the redundant filing and data entry process
  - **Data Integrity and Accuracy**
    - Business Rule Engines to enforce data accuracy
    - Queues and Caseflow Management to ensure timely processing
    - Increased Scheduling Accuracy and Speed with Statewide Calendaring
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## WHAT IS A CMS?

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## BENEFITS TO COURT STAKEHOLDERS

- **Location Independent Case Management**
  - Electronic Document Storage
  - Statewide Access and Retrieval of Data and Files
  - Electronic Service of Information and Notifications
- **Increased Services for Self-Represented Litigants**
  - Portals
  - eFiling
- **Modern Financials**
  - Performance Accounting
  - Interfaces to other accounting and budgeting systems
  - 50% Decrease in data entry errors
  - Increase in accounting efficiency



## WHAT IS A CMS?

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## BENEFITS TO COURT STAKEHOLDERS

- **Access to Data**
  - Portals
    - For Filers and Parties
    - **LIVE** Data Views
  - Dashboards
    - Metrics for Performance Reporting
  - Reports
    - Weighted Cases
    - Active Data Driven Decision Making
  - Data Sharing and Exchanges (just a few examples)
    - Disposition Data
    - Sentence Data
    - Motor Vehicle Status
    - Conditions of Release



## WHAT IS A CMS?

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## PERFORMANCE METRICS FOR CMS

- **Decrease in Case to Disposition Timeframes due to:**
  - Scheduling Speed and Accuracy
  - Caseflow Management
    - 40% Increase in Efficiency
  - Data Accuracy and Integrity
    - 50% Reduction in Errors
  - Increase in speed and accuracy of the exchange of files, notifications and data
- **Resource Allocation**
  - Gain flexibility in case management due to the removal of the location-based documents and data
  - Centralization and Resource Management opportunities
    - Demand-based resource allocation is possible when the cases are no longer location-based
- **Equal access to Justice**
  - Availability of Judicial Services
  - Consistency of Judicial Services



## WHAT IS A CMS?

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## SCOPE OF CMS AT THE JUDICIARY

- **Vermont has a Unified Judicial System**
- **Primary Case Management Areas**
  - Supreme Court
    - Appellate
  - Superior Court
    - Trial Court Operations
  - Judicial Bureau - Citations
    - Civil
    - Traffic
    - Municipal
    - Fish and Wildlife
- **Objective: One system for our unified court**



## CMS AT THE NEW MEXICO COURTS SUCCESS FACTORS IN NEW MEXICO'S MULTI-YEAR IMPLEMENTATION

Steve Prisoc Chief Information Officer  
(Retired), New Mexico State Courts



### NEW MEXICO CMS THE NEED

- **In 2004, it was apparent that the New Mexico Judiciary needed a new statewide case management system.**
  - The legacy CMS, purchased in 1993, was not adequate for judicial needs and the vendor had no plans for an upgrade that would meet our needs.
  - The Judiciary desired an application that would serve as basis for e-filing, e-documents, e-payments, in short, e-everything.



# SYSTEM OVERLOAD

SHORT STAFFING, FILING LIMITS LEAD TO OUTBURSTS IN COURTHOUSE



JIM THOMPSON/JOURNAL

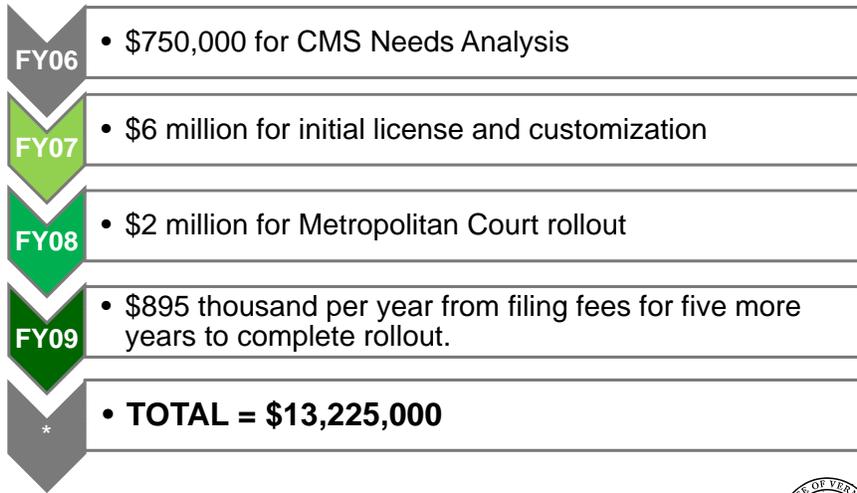
Claudia Gonzalez, right, last in line, was able to make it to a window by 4 p.m., the cutoff for filing in state District Court in Bernalillo County. Budget cuts have led to shorter hours, longer lines and shorter tempers.



**After E-Filing Was Implemented**

## NEW MEXICO CMS FUNDING HISTORY

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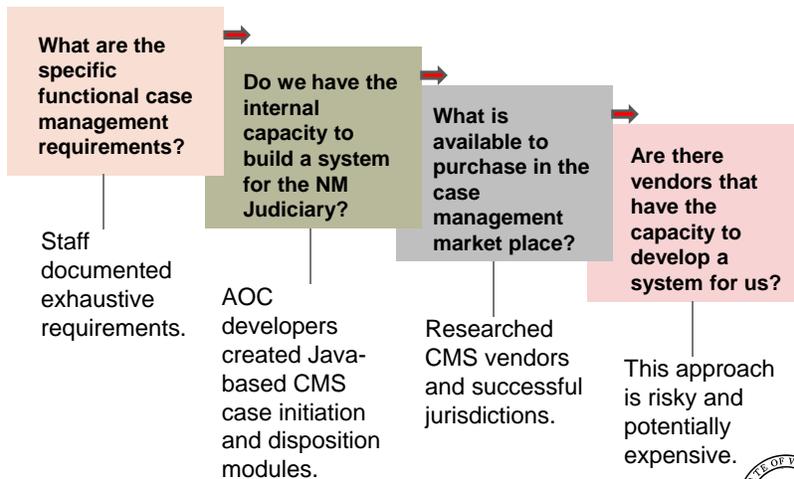


\*Note: \$895,000 per year funding is based on a \$10 increase in civil filing fees.



## NEW MEXICO CMS PRE RFP: THE BIG QUESTIONS

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## NEW MEXICO CMS SUCCESS FACTORS

- Multi-layered governance that included appellate courts, trial courts, court clerks, court administrators, and IT staff.
- Support at the highest levels of the Judiciary.
- Experienced, committed staff.
- A competent, responsive CMS provider.
- Detailed, hands-on, but **adaptive** approach to project management.



## NEW MEXICO CMS BENEFITS TO COURT USERS AND FILERS

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**Reduced Delivery Costs:** Users save money on costs associated with paper filing preparation and mailing.

**Reduced Delivery Efforts:** Users can e-file 24 hours a day, 7 days a week: no more driving, standing in line, and no more waiting.

**Begin E-filing in Minutes:** Users can register online with File and Serve and begin e-filing immediately.

**Improved Document Control & Security:** Electronic document submission virtually eliminates the risk of document loss.

**Effective Document Tracking:** Users are kept informed on case and filing status with automated notifications, emails and online access to court calendars.



## NEW MEXICO CMS BENEFITS TO COURTS

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**Increase Docketed Volumes:** Clerks process filings and cases with fewer steps and significantly less time.

**Reduce Data Entry Errors:** The new CMS along with E-citations and E-filing significantly reduce data entry errors.

**Reduce Handling and Mailing Costs:** Handling and mailing costs are largely eliminated by e-filing and electronic document management.

**Central Access to Documents:** Judges and staff can retrieve and view documents anywhere they have an Internet connection.

**Improved Service to Constituents:** New CMS provides enhanced case and document access to the public and the legal community.

**Eliminate Storage Issues:** Electronic document management eliminates paper costs and wasted file storage space.



## NEW MEXICO CMS BENEFITS TO JUSTICE PARTNERS

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**Online Access to Case Data:** Justice partners can easily locate case and defendant data through secure online connections.

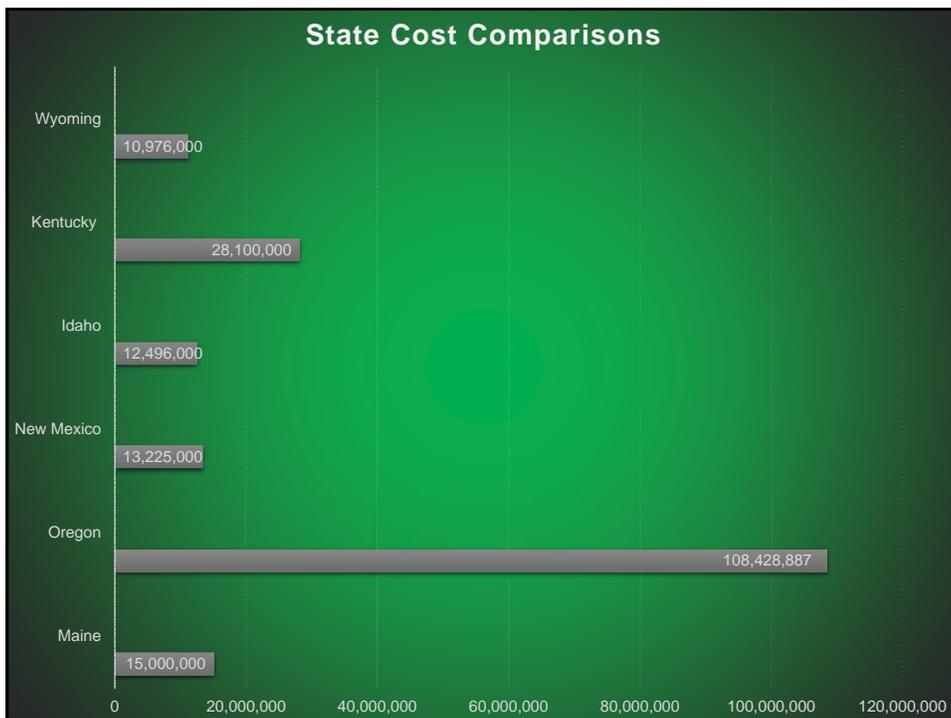
**Access to Court Calendars:** Justice partners can access case calendars to view past court events and scheduled events.

**Access to Court Documents:** Justice partners can securely access case documents via the Internet including charging and sentencing documents.



## HOW DO OTHER STATES PAY FOR CMS? EXAMPLE FUNDING SCENARIOS

Steve Prisoc Chief Information Officer  
(Retired), New Mexico State Courts



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<b>New Mexico CMS Funding = \$13,225,000</b>			
<b>FY2006</b>	750,000 for CMS needs analysis	Available FY2007	State General Fund
<b>FY2007</b>	\$6,000,000 for CMS licensing and professional services	Available FY2008	State General Fund
<b>FY2008</b>	\$2,000,000 to include Bernalillo County Metropolitan Court (limited jurisdiction criminal, municipal ordinance criminal (including traffic), municipal parking, and small claims).	Available FY2009	State General Fund
<b>FY2009 and each year beyond</b>	\$895,000 (\$4,475,000 through project completion)	Available each year	Appropriated expenditure to be paid with extra \$10.00 filing fee.



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<b>Idaho CMS Funding = \$12,496,000</b>			
<b>FY2014</b>	\$4,850,000	Available FY2015	General Fund
<b>FY2015</b>	\$2,180,000	Available FY2016	General Fund
<b>FY2015</b>	\$5,466,000 *	FY2015	Court Technology Fund

**\* In FY2015, the Idaho Legislature created a non-reverting court technology fund, which is fund to be used by the Supreme Court for all technology expenditures, not just CMS-related expenditures, including e-payments, video hearings, electronic access to court documents and e-filing.**



<b>Wyoming CMS Funding = \$10,976,000</b>			
<b>FY2011-2012 Biennial Budget</b>	\$5,841,000	Available FY2011	General Fund
<b>FY2013-2014 Biennial Budget</b>	\$5,135,000	Available FY2013	General Fund
<p><b>Note: Not all funds were directly spent on CMS acquisition and implementation activities and some funds were “reverted” back to the Wyoming General fund.</b></p>			

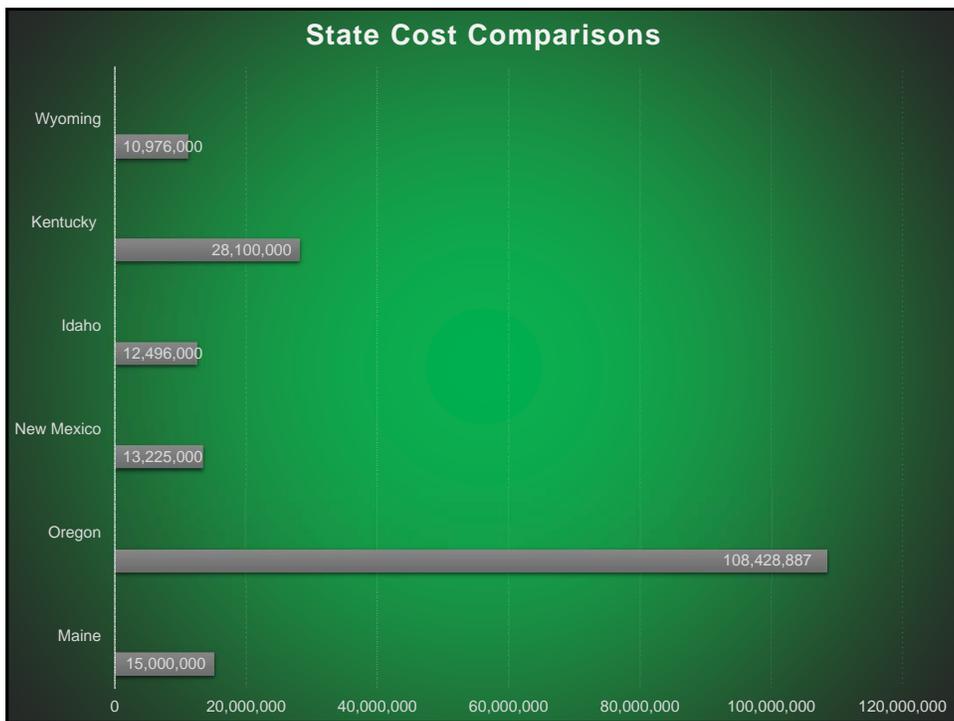


<b>Kentucky and Maine CMS Funding</b>			
<b>Kentucky</b>	\$28,100,000	Available FY2014	General Obligation Bonds
<b>Maine</b>	\$15,000,000	Available FY2015	General Obligation Bonds
<p><b>Kentucky and Maine have not yet begun work on their CMS projects</b></p>			



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Oregon Case Management Funding = \$108,428,887			
<b>FY2007-2009 (biennial budget)</b>	\$14,000,000	Available FY2008	General Obligation Bonds
<b>FY2009-2011 (biennial budget)</b>	\$12,445,000	Available FY2010	General Obligation Bonds
<b>FY2011-2013 (biennial budget)</b>	\$36,124,318	Available FY2012	General Obligation Bonds
	\$ 4,779,779	Available FY2012	Court Automation Funds
<b>FY2013-2015 (biennial budget)</b>	\$1,957,881	Available FY2014	General Obligation Bonds
	\$6,419,673		Court Automation Funds
<b>FY2015-2017 (biennial budget)</b>	\$26,282,563	Available FY2016	General Obligation Bonds
	\$ 6,419,673		Court Automation Funds

## HIGH-LEVEL COST ESTIMATES FOR OUR NEXT GENERATION CMS

### Vermont CMS Project Cost Estimates

Licensing:	\$962,500
Implementation costs estimated at three times licensing:	\$2,887,500
Maintenance at 20 percent of licensing per year for 3 years:	\$577,500
Hardware:	\$180,000
Requirements Gathering:	\$200,000
Project Manager for the duration of the Project (estimated 4 yrs @ \$150,000/yr):	\$600,000
Database Software:	\$100,000
Total Estimated CMS Project Costs:	\$5,507,500
Rounded up in consideration of preliminary status:	\$6,000,000
Add 25% Contingency:	\$1,500,000
CMS Implementation Total	\$7,500,000
Additional Organizational and Business Process Transformation Components: reengineering, conversion, training, associated technology	\$2,500,000
Total (Over 3-5 years)	\$7,500,000 - \$10,000,000



## QUESTIONS & ANSWERS



## NEXT STEPS AND CONCLUSION

- Final draft of Request for Information under review
- Website for Next Generation Case Management System information: <http://www.vermontjudiciary.org/ng-cms>

**Next-Gen CMS Information/Status**

Item	Prepared By	Modified
CRM Project Brief 1 Case	Heidi	4/13/15 12:55
Judiciary 104 Model Case	Paul	4/13/15 12:55
CRM Legislative Presentation	Paul	4/13/15 12:55
CRM Project Brief 2 Case	Heidi	4/13/15 12:55
Summary Case		

**Announcements**

Welcome to the Vermont Judiciary Next-Gen CMS Information Site. 4/13/15 12:55

The Vermont Judiciary, recognizing that its legacy Case Management System is no longer able to support current and future organizational objectives and imperatives, is exploring available options for implementing a Next Generation Case Management...

