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## PROJECT MEMORANDUM

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**TO:** Patricia Gabel (Project Sponsor of the NG-CMS solution project)  
**FROM:** Doug Rowe (BerryDunn)  
**SUBJECT:** External Justice Partner Engagement Update  
**DATE:** February 20, 2017  
**CC:** Jeffery Loewer (Chief Information Officer, Vermont Judiciary)

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This memo is intended to provide you with an update regarding the external justice partner engagement model and activities related to the Next Generation Case Management System (NG-CMS) project. As you are aware, the Vermont Judiciary began engaging external justice partners during the Exploration Phase of the NG-CMS project as early as April 2014. Since that time, BerryDunn was contracted by the Judiciary to assist in the Initiation, Planning, and Execution phases of the NG-CMS initiative, including the identification of business requirements, development of a Request for Proposal (RFP), assistance in the selection of a preferred NG-CMS provider, and contract negotiations with the preferred provider. As part of this process, the BerryDunn Team collaborated with the Judiciary to develop a NG-CMS Governance Committees Charge and Designation, as well as a NG-CMS Project Charter. Active engagement of external justice partners is defined in both of these documents. The NG-CMS Governance Committees Charge and Designation document indicates that “there will be a standing Project Technical Committee for stakeholders from the Justice Partner community as appropriate with a focus on information exchange.” The intent is to provision this committee as soon as feasible after the contract has been executed with the preferred NG-CMS vendor.

The Charter, found [here](#) on the NG-CMS Project website, includes two key project objectives related to the interaction between the selected NG-CMS and external stakeholders:

- Improved access to an effective judicial process through implementation of electronic filing, electronic forms, a data and document management system, electronic case file management, and the digital exchange of information between the courts and external stakeholders
- Improved communication with external stakeholders through the use of NIEM-compliant data exchanges

Section 3 of the Charter document describes a preliminary list of stakeholders affected or impacted, along with a diagram depicting the relationship between these stakeholders and the Judiciary. Additionally, Section 6 of the Charter document describes a series of preliminary risks and issues, identified at the time that the Charter was approved. This list includes the following:

**Table 1: Preliminary NG-CMS Risk – Data Exchanges with External Stakeholders**

Risk Description	Preliminary High-level Risk and Issue Mitigation Strategy
Key external stakeholders may not be able to interface with the NG-CMS due to older legacy systems	Include a requirement in the resulting NG-CMS RFP for all interfaces to be NIEM compliant (done) Conduct a stakeholder analysis to determine the needs of internal and external stakeholders (preliminary analysis conducted) Develop and implement a detailed Communications Plan to ensure that all project stakeholders clearly understand projected progress and expectations (preliminary Communications Plan developed)

After development of the Project Charter, BerryDunn developed a Project Management Plan that includes a preliminary Communications Plan addressing the communication needs for the preliminary stages of the project. BerryDunn follows the tenets espoused by the Project Management Institute and its primary guide: the Project Management Body of Knowledge (PMBOK). The PMBOK and industry-wide best practices prescribe that as the project progresses, these plans, as well as other project management subplans, will be updated accordingly.

The Communications Plan includes the processes necessary to ensure timely and appropriate generation, collection, dissemination, storage, and ultimate disposition of project information to both team members and stakeholders. The NG-CMS project uses formal and informal communications to exchange information and to ensure requirements, needs, expectations, and results are clearly understood by all.

The PMBOK also emphasizes the importance of identifying and managing stakeholder engagement throughout the project through the Communications Plan. During the early stages of the NG-CMS project, an analysis was conducted to determine a preliminary list of stakeholders, along with the level of communication required by each stakeholder group. This analysis resulted in aggregating stakeholders into one of four communications groups:

- Detailed Regular Communications Required
- Regular Summary Communications Required
- General Communications Required
- Communications Provided as Needed

The analysis and plan will be updated periodically throughout the project as appropriate to ensure stakeholders remain informed and engaged.

Throughout the process of preparing and writing the NG-CMS RFP, the Judiciary followed steps to help increase the likelihood that the NG-CMS solution would meet the needs of the internal and external justice partners. Part of the process was defining the scope of the project and

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identifying the requirements of the NG-CMS. The RFP documented the requirements of the NG-CMS and included the necessary data exchanges that must be designed and developed. The intention of the NG-CMS project is to continue any current data exchanges in existence and to develop new data exchanges to increase the functionality of the justice system. Attachment G of the RFP reads:

This data exchange system will be used by both internal and external justice partners to electronically exchange information in near real-time and in a common format. With the development and implementation of the proposed NG-CMS, the Vermont Judiciary expects to replace data exchanges that currently exist with other agencies and stakeholders, as well as develop additional data exchanges as needs arise. There are currently 10 existing data exchanges between the Vermont Judiciary case management system and our external partners. These are described in more detail in the “Current – In Scope” section, and are within the scope of this RFP to be replaced (warrants, criminal history, protection orders, child support, bail, etc.). Minor enhancements to these existing data exchanges may be required. Additionally, there are eight new data exchanges that must be developed and are within the scope of the RFP. These are also described in more detail in the RFP (e.g., eTickets with Law Enforcement, State’s Attorneys, Defender General, Juvenile/Criminal Case Initiation/Disposition). Additionally, the system should be configurable to ensure that in the future new data exchanges can be easily built and implemented.

As an example, both the State’s Attorneys and the Defender General have recently implemented a new case management system from Journal Technologies. The requirements, as defined in the RFP indicate that the selected NG-CMS should have the ability to electronically accept filings and associated case-level data, directly from this system. The system shall then be able to provide data to the Journal Technologies system with Court actions and changes to the case file, including but not limited to docket entries, scheduling information, and subsequent filings.

In August 2016, following the issuance of the NG-CMS RFP to the marketplace, the Vermont Judiciary held a meeting with many of the external justice partners to provide an update as to the status of the NG-CMS initiative. As Project Sponsor, your office issued a formal invitation to several agencies to attend this meeting. You also followed the meeting with courtesy emails to those that attended, as well as those that were unable to attend, including a copy of the presentation for their review, which can be found in Attachment A.

The presentation made during the meeting included the following agenda items:

- NG-CMS background, goals and objectives and success measurements
- Project scope
- Project approach
- Project governance
- Project accomplishments

- Next steps
- Initiative timeline
- Instructions on where to get information
- Questions and discussion

The attendance list of external justice partners invited to this meeting is depicted in the table below. Following the meeting, many justice partners designated a contact person for future communications throughout the project.

**Table 2: NG-CMS External Justice Partners**

External Justice Partners			
Agency	Original Invitees	Attendees	Current Designated Representatives
Attorney General's Office	Thomas (T.J.) Donovan	Jay Bailey, Ben Battles	Ben Battles
Department for Children and Families	Ken Schatz	Ken Schatz	Ken Schatz, Margo Bryce, Suzanne Shibley, Robin Arnell, Alicia Humbert, Alexia Vanafra, Richard Dimatteo
Department of Corrections	Lisa Mendard	Unable to attend	Mary Jane Ainsworth
Department of Public Safety	Thomas Anderson	Unable to attend	Dean Hamel
Department of Motor Vehicles	Robert Ide	Unable to attend	Wanda Minoli
Department of State's Attorneys and Sheriffs	John Campbell	Ashley Hill (attended as John Campbell's proxy)	John Campbell, Ashley Hill
Finance and Management	Andy Pallito	Unable to attend	Andy Pallito
Office of the Defender General	Matthew Valerio	Lora Evans (attended as Matthew Valerio's proxy)	Lora Evans, Mary Deaett
Vermont Bar Association	Terri Corsones	Terri Corsones	Terri Corsones, Jennifer Emens-Butler, Lisa Maxfield
Public Service Board	James Volz	James Volz, Ann Bishop	James Volz
Department of Taxes	Kaj Samsom	Candace Morgan (attended as Mary Peterson's proxy)	Kirby Keaton

The project is nearing the end of the Planning Phase, and through the assistance of the Project Steering Board and Project Working Board, the Project Sponsor has selected a vendor to move

forward with contract negotiations. When negotiations are finalized and a contract is signed, the next steps of the process include finalizing the detailed project approach and schedule with the vendor. This includes software installation, configuration, testing and training activities, as well as prioritizing the development and implementation of data exchanges with the justice partners. This process will involve the collaboration of internal and external justice partners to align the priorities of the data exchange design and development with the needs of the stakeholders.

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## Attachment A

### Vermont Judiciary Stakeholder Information Session Presentation

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**Vermont Judiciary**  
Stakeholder Information Session  
**Next Generation**  
**Case Management System (NG-CMS) Initiative**

**August 11, 2016**  
**2:00 p.m. – 3:00 p.m.**



## Agenda

- **Introductions**
- **NG-CMS Initiative**
  - Background
  - Goals and Objectives
  - Success Measurements
- **Project Scope**
- **Project Approach**
- **Project Governance**
- **Project Accomplishments**
- **Next Steps**
- **Initiative Timeline**
- **NG-CMS Website: <https://www.vermontjudiciary.org/ng-cms>**
- **Questions and Discussion**

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## NG-CMS Initiative Background

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**Problem Statement:** The Vermont Judiciary recognizes that its legacy Case Management System is no longer able to support current and future organizational objectives and imperatives.



## NG-CMS Initiative Background



### Recent Activities:

- Project Brief developed for the Legislature
- Received initial funding for an initiative to select and implement a Next Generation Case Management System (NG-CMS)
  - Act 26 includes FY2016: \$550,000, and FY2017: \$4,000,000
- Developed and executed a Request for Information (RFI)
  - Validated assumptions of costs and timeframes
  - Started awareness, conversations with vendors
  - Gathered information for RFP
  - RFI responses were received from eight vendors: Tyler, Xerox, Thomson Reuters, CourtView, Boeing, HP, RSI, and JTI
  - Conducted follow-up informational meetings at NCSC CTC with four vendors
- Secured a dedicated project manager for the initiative
- Developed a Governance Committee Charge and Designation
- Joint Fiscal Office - Independent Review of State Information Technology Projects and Operations used the NG-CMS as their model for evaluations



## Initiative Goals and Objectives



- Transform the Judiciary’s case management process:
  - Paper-driven → electronic-focused business model
- Improve access to justice for our citizens
- Strengthen interagency communication
- Enable more efficient court operations through:
  - Standardization of business rules
  - Utilization of electronic workflow
  - Faster court case initiation
  - More accurate electronic case files
  - Improved document availability and accessibility
- Improve communication with external stakeholders through the use of NIEM-compliant data exchanges
- Conformance to the “CourTools Measures” for Trial Courts as defined by National Center for State Courts



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## Initiative Success Measurements

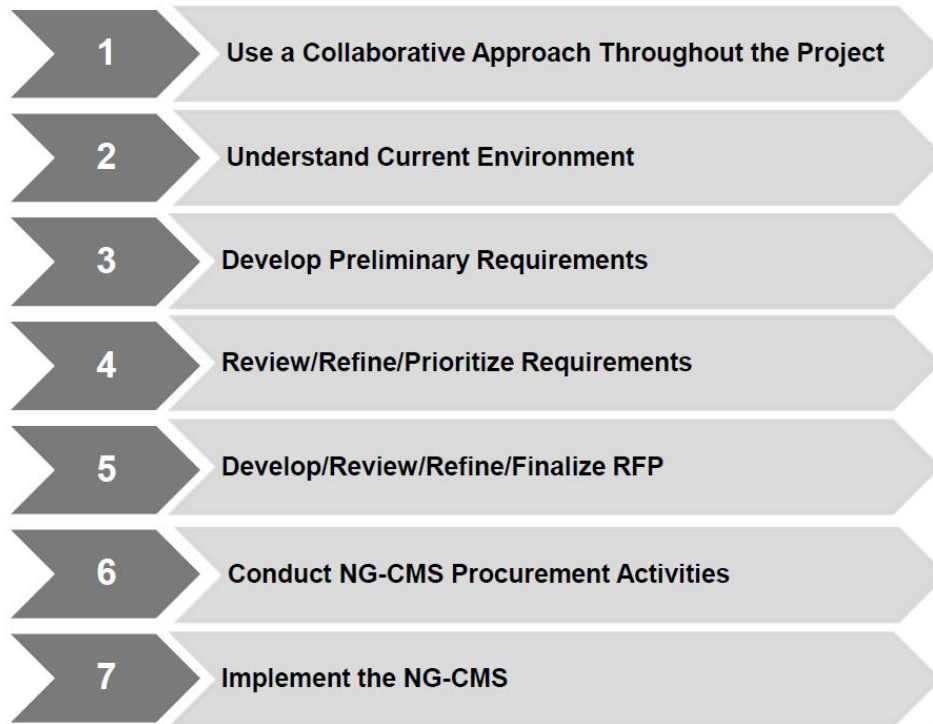
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- Increased self-sufficiency
  - Receiving and processing files electronically
- Develop a maturity model that defines “levels of operational maturity”
- Develop baseline metrics to measure against

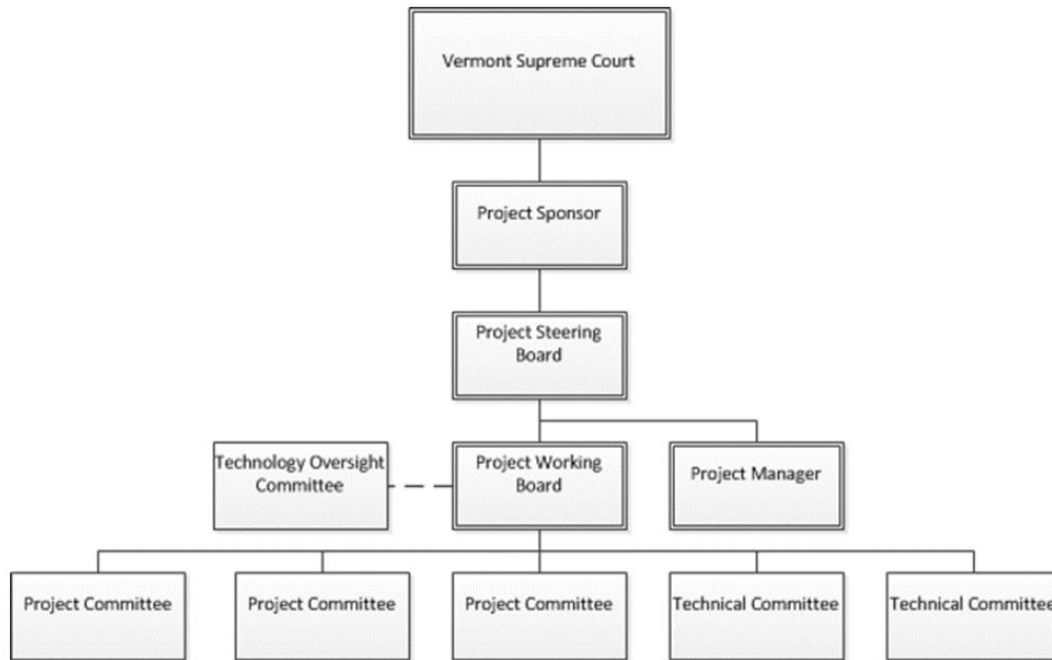
## Project Scope

- Electronic filing (e-filing)
- Automation, standardization and documentation of all business processes
- Digital interfaces/data exchanges
- Robust reporting and data retrieval functions
- Training for all users
- Jury Management System
- Electronic records management
- A Judicial Workbench
- Management of Financial Systems
- e-Payments
- Point of Sale
- Migration / Conversion of legacy data
- Board of Bar Examiners
- Attorney Licensing
- Professional Responsibility Board

## Project Approach



# NG-CMS Project Governance



## NG-CMS Project Sponsor

### Patricia Gabel, State Court Administrator

- **Responsibilities include:**
  - Ensuring the success of the project
  - Securing spending authority and resources
  - Acting as a vocal and visible champion for the project
  - Legitimizing the project's goals and objectives
  - Keeping abreast of major project activities
  - Providing support and direction to the Judiciary CIO and Project Management Team
  - Providing final approval of all project deliverables
  - Receiving direct support from the Judiciary CIO and Project Steering Board
  - Providing final approval of vendor selection for the NG-CMS after consultation with the Project Steering Board

## NG-CMS Project RIS Management

### Judiciary CIO and Manager of Applications

- **Responsible for supporting the Project Sponsor and Project Team as follows:**
  - Providing consistent, demonstrable interest in the project's outcome
  - Obtaining resources for the project
  - Maintaining vendor/partner relationships
  - Keeping abreast of the project
  - Providing management and support for the Project Manager
  - Assisting with major issues, policy conflicts; removing obstacles
  - Managing all contracts associated with the initiative



## NG-CMS Project Steering Board



Project Steering Board	
Patricia Gabel	Project Sponsor/State Court Administrator
Jeff Loewer	Chief Information Officer
Matt Riven	Chief of Finance and Administration
Tari Scott	Chief of Trial Court Operations
Honorable Brian Grearson	Chief Superior Judge
Honorable Kate Hayes	Superior Judge
Honorable John A. Dooley	Supreme Court Associate Justice
Honorable Beth Robinson	Supreme Court Associate Justice



## NG-CMS Project Steering Board

- **Responsibilities include:**
  - Providing strategic direction, guidance, decision making, and advocacy for the NG-CMS
  - Assisting the project sponsor in approving changes to scope, budget, schedule, and in resolving issues and policy decisions
  - Approving the appointment of replacement members of the Project Governance Committees as required
  - Approving membership in Evaluation Teams to support the RFP process
  - Reporting to the Supreme Court monthly via the project sponsor
  - Meeting monthly (ad-hoc as necessary)

## NG-CMS Project Working Board

Project Working Board	
Honorable Thomas Durkin	Superior Court Judge
Honorable Thomas Carlson	Superior Court Judge
Joanne Charbonneau	Statewide Court Clerk
Christine Brock	Superior Court Clerk
Andrew Stone	Court Operations Manager
Kelly Carbo	Manager of Finance
Chasity Stoots-Fonberg	Trial Court Operations Program Manager

## NG-CMS Project Working Board

- **Responsibilities include:**
  - Reviewing and approving business processes and functionality as required during the implementation of the NG-CMS
  - Elevating decisions to the Project Steering Board as needed for changes in project deliverables, policy, budget, or scope
  - Establishing Project and/or Technical Committees to address specific functional or technical requirements
  - Reporting to the Project Steering Board monthly via the manager of applications
  - Meeting semi-monthly (ad hoc as necessary)

## NG-CMS Project Technical Committees

- **Responsibilities include:**
  - Addressing specific functional or technical requirements
  - Supporting the Project Working Board through assignments
  - Providing recommendations to the Project Working Board, as needed
  - Participating in the fact-finding and interview process
  - Participating in Joint Requirements Planning (JRP) work sessions
  - Reviewing and providing comments on the:
    - Refined and prioritized requirements
    - RFP
  - Participating in procurement activities, as necessary

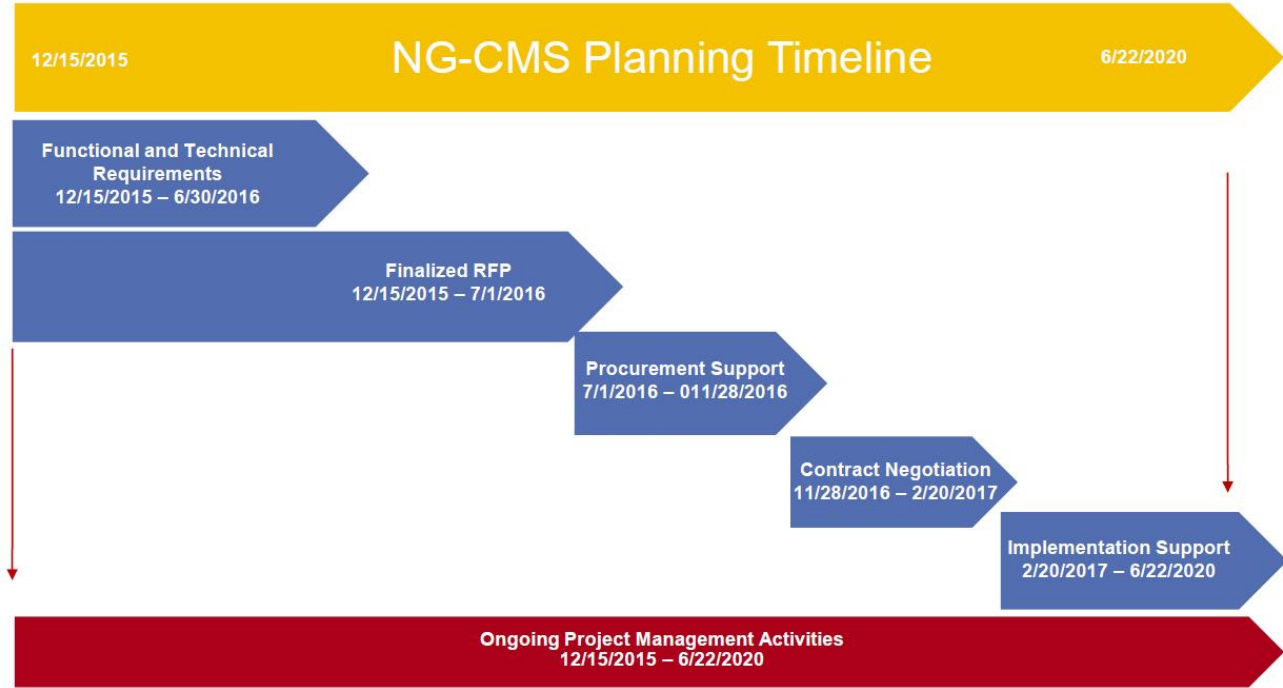
## Project Accomplishments

- Developed and approved a Project Charter
- Developed and approved a baseline Project Schedule and Work Plan
- Developed and issued a Web Survey
- Scheduled and conducted fact-finding meetings
- Developed and submitted a set of preliminary NG-CMS requirements
- Scheduled and conducted Joint Requirements Planning (JRP) work sessions
- Developed and submitted the RFP to the market
- Conducted Bidder's Conference and provided responses to verbal and written questions from potential bidders

## Next Steps

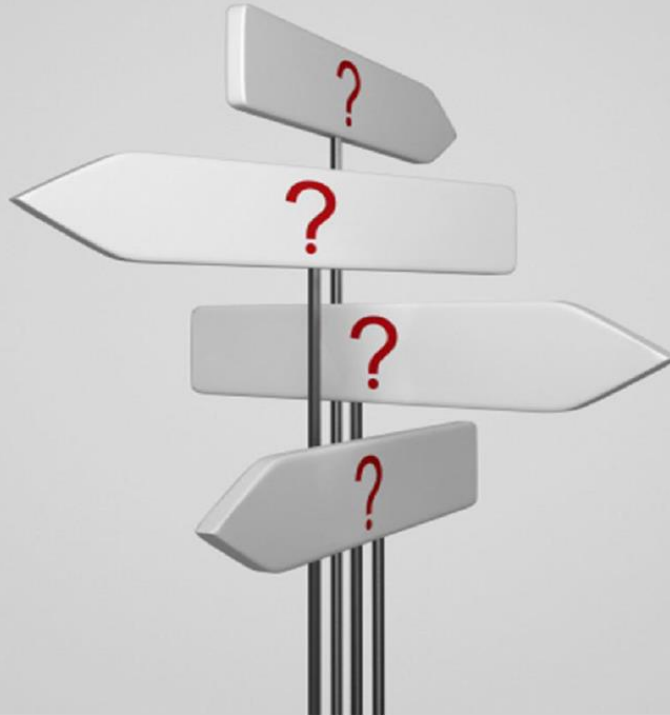
- Review responses from Bidders
- Schedule and Conduct Vendor Evaluation Meetings
- Schedule and Conduct Vendor Demonstration Sessions
- Conduct Vendor Reference Checks
- Conduct Vendor Site Visits
- Select Vendor and Notify Vendor of the Award
- Contract Negotiations with Vendor
- Go through an Independent Review Process
- Judiciary and Vendor Agree on Contract
- Project Execution Begins with Project Kick Off
- Master Plan and Schedule are Developed

# Initiative Timeline





## Questions?

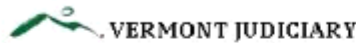


## Attachment B

Email of the invitation to the stakeholder meeting titled, “Judiciary Next Generation Case Management System : Executive Level Overview August 11, 2016 from 2-3 p.m.”.

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**From:** Laferriere, Deb <Deb.Laferriere@vermont.gov>  
**Sent:** Sunday, February 19, 2017 11:00 AM  
**To:** Gabel, Patricia; Loewer, Jeffery  
**Subject:** FW: Judiciary Next Generation Case Management System: Executive Level Overview August 11, 2016 from 2-3p.m.



Deb Laferriere, Program Administrator  
Vermont Supreme Court/Court Administrator's Office  
Vermont Professional Responsibility Program  
109 State Street  
Montpelier, VT 05609-0703  
Tel: 802-828-3204  
Fax: 802-828-3457  
[deb.laferriere@vermont.gov](mailto:deb.laferriere@vermont.gov)  
[www.vermontjudiciary.org](http://www.vermontjudiciary.org)

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**From:** Laferriere, Deb **On Behalf Of** Gabel, Patricia  
**Sent:** Thursday, August 04, 2016 7:04 AM  
**To:** Sorrell, Bill <bill.sorrell@vermont.gov>; Ide, Robert <Robert.Ide@vermont.gov>; Flynn, Keith <Keith.Flynn@vermont.gov>; Campbell, John <John.Campbell@vermont.gov>; Pallito, Andy <Andy.Pallito@vermont.gov>; Valerio, Matthew <Matthew.Valerio@vermont.gov>; Volz, James <James.Volz@vermont.gov>; Menard, Lisa <Lisa.Menard@vermont.gov>; Therese M. Corsones - SOV (tcorsones@vtbar.org) <tcorsones@vtbar.org>; Schatz, Ken <Ken.Schatz@vermont.gov>; Peterson, Mary <Mary.Peterson@vermont.gov>  
**Cc:** Loewer, Jeffery <Jeffery.Loewer@vermont.gov>  
**Subject:** Judiciary Next Generation Case Management System: Executive Level Overview August 11, 2016 from 2-3p.m.

Subject: Judiciary Next Generation Case Management System: Executive Level Overview August 11, 2016 from 2-3p.m.

The Vermont Judiciary has taken its initial steps in a technology transformation that it hopes will improve access to justice for our citizens, strengthen inter-agency communication and enable more efficient court operations through faster court case initiation, more accurate electronic case files, and improved document availability and accessibility. An important element of that process is the engagement of justice partners that may leverage data resulting from, or residing in, the Next Generation Case Management System (NG-CMS). To begin the process of engaging our justice partners, you are invited to attend an information session to participate and learn more about the NG-CMS selection project. We will provide an overview of the scope of the project, the project goals and objectives, project approach, and project accomplishments thus far. Finally, we will provide a timeline and explain what you can expect going forward.

Please join us for an opportunity to share information regarding our transformation and discuss any questions you may have about the initiative or the process, on August 11, 2016 from 2-3 p.m. in the Sunshine Room of the Vermont Supreme Court; 111 State Street, Montpelier, VT 05602.

Thank you, and feel free to direct any questions to me or to our Judiciary CIO, Jeff Loewer, at [Jeffery.loewer@vermont.gov](mailto:Jeffery.loewer@vermont.gov).

Patricia Gabel, Esq., State Court Administrator  
Office of the Court Administrator  
109 State Street  
Montpelier, VT 05609-0701  
802-828-3278  
[www.vermontjudiciary.org](http://www.vermontjudiciary.org)

## **Attachment C**

**Emails following the stakeholder meeting, titled “Action Requested Regarding Judiciary Next Generation Case Management System: Executive Level Overview Held on August 11, 2016”.**

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**From:** Laferriere, Deb <Deb.Laferriere@vermont.gov>  
**Sent:** Sunday, February 19, 2017 10:56 AM  
**To:** Gabel, Patricia; Loewer, Jeffery  
**Subject:** FW: Action Requested Regarding Judiciary Next Generation Case Management System: Executive Level OverviewHeld on August 11, 2016



Deb Laferriere, Program Administrator  
Vermont Supreme Court/Court Administrator's Office  
Vermont Professional Responsibility Program  
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[www.vermontjudiciary.org](http://www.vermontjudiciary.org)

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**From:** Laferriere, Deb **On Behalf Of** Gabel, Patricia  
**Sent:** Friday, September 02, 2016 8:42 AM  
**To:** Schatz, Ken <Ken.Schatz@vermont.gov>  
**Subject:** Action Requested Regarding Judiciary Next Generation Case Management System: Executive Level Overview Held on August 11, 2016

Dear Commissioner Schatz:

Please allow me to extend to you a warm thank you for attending the Vermont Judiciary's Next Generation Case Management System (NG-CMS) Project information session on August 11<sup>th</sup>. It was great to see you there, and we appreciate the time that you invested in attending our session; we hope that you found the meeting informative and worthwhile. The Judiciary's primary goal was to increase your understanding of our technology transformation initiative and introduce you to the project of procuring and implementing a NG-CMS. It is through this initiative that we aspire to achieve the following objectives:

- Transform the Judiciary's case management process:
  - Paper-driven → electronic-focused business model
- Improve access to justice for our citizens
- Strengthen interagency communication
- Enable more efficient court operations through:
  - Standardization of business rules
  - Utilization of electronic workflow
  - Faster court case initiation
  - More accurate electronic case files
  - Improved document availability and accessibility

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- Improve communication with external stakeholders through the use of NIEM-compliant data exchanges
- Conformance to the "CourTools Measures" for Trial Courts as defined by National Center for State Courts

We are in the preliminary stages of acquiring and implementing the NG-CMS. We value your ongoing participation in this transformation, leveraging the lessons learned from your own technology transformations, and collaborating with our team to ensure that the interactions between our agencies are enhanced through technology. There will be opportunities for continued involvement going forward, and we hope you will be willing to partake. As discussed during the information session, we are in the process of collecting contact information for key resources within our justice partner organizations. To that end, please respond to this email with contact information for people in your agency with which we can communicate project updates, and collaborate on systems integration discussions. Useful contact information may include:

- Name
- Agency
- Role in the Agency
- Telephone Number
- Email Address
- Physical Address

Again, thank you for being part of our technology transformation and please don't hesitate to contact us if you have any questions along the way.

Patricia Gabel, Esq., State Court Administrator  
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Montpelier, VT 05609-0701  
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[www.vermontjudiciary.org](http://www.vermontjudiciary.org)

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**From:** Laferriere, Deb <Deb.Laferriere@vermont.gov> on behalf of Gabel, Patricia <Patricia.Gabel@vermont.gov>  
**Sent:** Thursday, October 06, 2016 3:11 PM  
**To:** Flynn-DPS, Keith  
**Cc:** Wallin, Jeffrey  
**Subject:** Action Requested Regarding Judiciary Next Generation Case Management System: Executive Level Overview Held on August 11, 2016  
**Attachments:** VT Judiciary NG-CMS Initiative Stakeholder Presentation - 08112016.pdf

Commissioner Flynn,

We are sorry you were unable to attend the information session on the Vermont Judiciary's Next Generation Case Management System (NG-CMS) initiative. Attendees were given an overview of our technology transformation initiative and were provided with some background of where we have been and where we hope to go regarding the NG-CMS initiative. The attached presentation was used during the information session to provide attendees with an initiative overview. Feel free to view it if you would like to orient yourselves with the project.

We are in the preliminary stages of acquiring and implementing the NG-CMS. We value your Agency's ongoing participation in this transformation, leveraging the lessons learned from your own technology transformations, and collaborating with our team to ensure that the interactions between our agencies are enhanced through technology. There will be opportunities for continued involvement going forward, and we hope you will be willing to partake. As discussed during the information session, we are in the process of collecting contact information for key resources within our justice partner organizations. To that end, please respond to this email with contact information for people in your agency with which we can communicate project updates, and collaborate on systems integration discussions. Useful contact information may include:

- Name
- Agency
- Role in the Agency
- Telephone Number
- Email Address
- Physical Address

We hope to see you at future meetings and we thank you for being part of our technology transformation. Please don't hesitate to contact us if you have any questions along the way.

Patricia Gabel, Esq., State Court Administrator  
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