

**VERMONT JUDICIARY'S  
NEXT GENERATION  
CASE MANAGEMENT SYSTEM (NG-CMS)  
UPDATE TO SENATE COMMITTEE ON INSTITUTIONS  
APRIL 5, 2017**

**Jeff Loewer** Chief Information Officer, Vermont Judiciary



**OUR NEXT GENERATION CASE MANAGEMENT SYSTEM INITIATIVE:**

- The Judiciary's legacy Case Management System (VTADS) is no longer able to support current and future organizational objectives and imperatives
- In 2015, we started a multi-year initiative to select and implement a Next Generation Case Management System (NG-CMS)
- A well-designed, modern CMS will drive and enable the transformation of the Judiciary's case management process from a paper-driven to an electronic-focused business model
- The NG-CMS 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



## **INITIAL FUNDING BY LEGISLATURE**

### **Act 26 2015 (H.492), An act relating to capital construction and State bonding**

- FY2016 Appropriation: \$550,000
- FY2017 Appropriation: \$4,000,000



## **REQUEST FOR INFORMATION (RFI)**

### **Developed and Executed a Request for Information (RFI)**

- Validated assumptions of costs and timeframes
- Started awareness conversations with CMS vendors
- Gathered information for RFP
- Worked with the NCSC, May-July 2015
- Received responses from eight CMS vendors



## PROJECT MANAGEMENT AND GOVERNANCE

### Dedicated Project Manager directly responsible for management of tasks, activities and outcomes

- Issued PM RFP in July 2015, received nine responses
- Executed a contract with BerryDunn of Portland, ME in December, 2015 for PM support of the initiative

### Developed a Governance Committee Charge and Designation

- Three level governance structure (Sponsor, Steering Board, Working Board) supports the initiative with clear, concise roles and responsibilities
- Consulted with the NCSC on governance best practices and confirmed with BerryDunn
- Established the Project Sponsor, Patricia Gabel, as the single point of ultimate accountability for the project's success



## JOINT FISCAL OFFICE (JFO) REVIEW AND PROJECT INITIATION

### Independent Review of State Information Technology Projects and Operations per H.492 Sec.36

- NG-CMS was pilot project evaluated in January 2016
- Updates in June and September 2016

### Project Charter developed and approved

- Charter is a formal mechanism used to define the objectives of the Next Generation Case Management System (NG-CMS) project
  - Includes project scope, initial assumptions, preliminary risks and issues, and high-level costs for the project
- Commits resources to the project
- Developed by the Steering Board and approved by the Sponsor



## BUILD VS BUY ANALYSIS

- Use to inform contents and messaging of RFP

Option Strengths and Weaknesses			
Characteristic	Option 1: Upgrade the Existing VTADS	Option 2: Replace the Existing VTADS with a COTS	Option 3: Replace the Existing VTADS with a Hybrid Platform System
Estimated implementation period	5 years	5 years	5 years
Proven industry solution	No	Yes	No
Potential for useful functionality being included that is not planned for	Low	High	Low
Potential to leverage the experience and knowledge of other state users	Low	High	Medium-High
Potential for continuous development of leading edge technologies	Low	Medium	High
Potential for project success	Low	High	Medium
Software procurement and maintenance contract that keeps a vendor accountable	Low	High	High
Total estimated acquisition cost with five years of Operations and Maintenance Support (with variance)	\$15,470,000	\$6,173,000 - \$16,125,000	\$6,266,973 - \$20,573,543



## PROJECT PLANNING AND SOLUTION PROCUREMENT

### Project Management Plan and Schedule developed

- Outlines how the initiative will be managed, executed and controlled
- Includes management plans for scope, resources, communications, risks, issues, quality, cost, and change
- Baseline project schedule with preliminary timelines

### Request for Proposals (RFP) development

- Review of our current systems and documentation
- Survey to all Judiciary staff
  - Evaluate current state
  - Identify areas for process improvement
  - Gather desired future capabilities
- **Conduct fact finding and business process work sessions**
  - Review, evaluate and document barriers and constraints imposed by existing systems and processes



## PROJECT PLANNING AND SOLUTION PROCUREMENT (2)

9

### Request for Proposals (RFP) development

- Developed preliminary functional and technical requirements
  - Based on Judiciary input AND review of other states and market
- Reviewed requirements by business process area
- Drafted RFP and developed evaluation process

### RFP issued in July 2016

- Three proposals received
- Initial review resulted in selected vendors invited to demonstrate on-site in Vermont
- Two days each with prescribed agenda and predetermined scenarios



## PROJECT PLANNING AND SOLUTION PROCUREMENT (3)

10

### RFP evaluation and scoring

- **Round 1**
  - Minimum requirements met
  - Level of fit for technical and functional requirements
  - Individual review by team members
- **Round 2**
  - Adjusted prior scores based on demonstrations
- **Round 3**
  - Cost proposals taken into account
- **Scoring, together with cost proposals and requests for clarifying information, resulted in recommendation of lead candidate to Project Sponsor**



## INDEPENDENT REVIEW AND SITE VISITS

### Judiciary issued a SOW/RFP for an Independent Review (IR) on December 9th, 2016.

- The IR included an acquisition cost assessment, technology architecture review, implementation plan assessment, cost analysis and model for benefit analysis, and an impact analysis on net operating costs for the Judiciary and an evaluation of the selected vendor's draft contract.
- Results were presented on 3/16. Overall, the report concluded that the project is on a path for successful completion.

### Collaboration with the Maine Judicial Branch

- Lessons learned about contract process and project management

### Visited the Rhode Island Judiciary on January 27.

- Rhode Island started their project in 2013 and is in the final stages of their statewide implementation
- Team saw Traffic, Family, District Courts; discussed e-filing, document management, workflow, business processes and financials



## CONTRACT NEGOTIATIONS AND PROCUREMENT

### Two main components to contract

- Statement of work (SOW)
- Terms and conditions

### Utilizing support of outside resources

- BerryDunn for SOW
- Verrill Dana of Portland, ME for T&C and overall agreement
  - Intellectual Property & Technology specialists

**Draft are currently under review with target for contract completion on 4/28.**



## PROJECTED ACQUISITION COSTS

*Estimate as of 2/15/17 pending negotiation with Vendor including Scope of Work*

**Total ESTIMATED 5-Year acquisition costs:**

- Hardware costs: \$2.2M
- Vendor software costs: \$1.9M
- Vendor Implementation services: \$4.4M
- Project management - Professional services: \$800K
- Staffing backfill: \$1.6M
- Change Management and supporting software: \$800k
- Total ESTIMATE: \$11.7M

**Total Sources of Funds:**

- FY16/FY17 Capital Bill: \$4.55M
- Judiciary Court Technology Fund reserves: \$1.6M
- Remaining Final legislative funding payment: \$5.6M
  - (versus \$5.8M JUD December estimate for capital request)

