Judicial Branch
PROCUREMENT OPPORTUNITY

TO: Bid/Proposal Manager

FROM: Supreme Court of Illinois / Administrative Office of the Illinois Courts

DATE: April 2012

SUBJECT: Request for Information – Reviewing Courts' Case Management Systems
       _ ☑ _ Request for Information (RFI)

The Supreme Court of Illinois is requesting vendor responses to this Request for Information (RFI) that will be used to rewrite and expand the capabilities of the Reviewing Courts' case management systems (CMS). The purpose of this RFI is to gather information from responsible and experienced vendors to partner with the Court to deploy a fully functional CMS. Interested companies that are able to meet these requirements in a timely manner are encouraged to respond.

The Supreme Court of Illinois, the highest tribunal in Illinois, is comprised of seven justices from five Illinois districts. The Supreme Court hears appeals from lower courts and may exercise original jurisdiction in cases relating to revenue, mandamus, prohibition or habeas corpus. Appointed by the Supreme Court, the Clerk of the Supreme Court is the Court's principal case processing and records manager who operates the office through a staff of specialized deputies, and by planning, developing, and implementing policies and procedures necessary to execute the responsibilities of the office.

In its case management capacity, the Supreme Court Clerk's Office initiates cases for the Court's consideration, executing all associated processes to ensure compliance with Supreme Court Rules and to ensure that cases are effectively monitored and scheduled, from initiation to issuance of mandates and final orders, as appropriate.

The Appellate Court is organized into five districts, with each district having one or more divisions. The First District, which meets in Chicago, has six divisions with the remaining districts each having one division. The Second District has a courthouse in Elgin, the Third District has a courthouse in Ottawa, the Fourth District meets in Springfield, and the Fifth District meets in their courthouse in Mt. Vernon. The Appellate Court currently consists of fifty-four judgeships. An Appellate Court Clerk is appointed in each district and responsible for the records management in their respective Appellate Court District.

Brief Description:
On behalf of the Illinois Supreme Court, the AOIC is seeking to contract with a third-party partner to assist with the design and development of a Reviewing Courts' case management systems (CMS). The CMS is expected to leverage the existing Oracle hardware and software platform, be written using existing development and reporting tools, and operate using the existing Oracle RAC enterprise database and corresponding middleware. The selected vendor will work with the Supreme Court and Appellate Court Clerks' offices and the AOIC's JMIS Division to define the requirements of a new CMS to be used in the Supreme Court and each Appellate Court District. The vendor is to deliver a rapid development project plan, timeline, and costs to implement a fully functional CMS and related applications that are populated with past court data and meet the specifications stated during this project. The new CMS will incorporate the functionality of the current case management systems and be designed to include new capabilities that support the workflow of the Supreme Court and each Appellate Court District.

In addition to case management and record keeping functions, the project is to include the development of related applications such as a judicial case / document warehouse (e-Access), electronic filing component (e-Filing), a flexible adhoc reporting system, and integration of a document imaging system with the CMS (e-Record). The new CMS and related applications are to be developed in a uniform manner that supports Court

rules while allowing for differences in record keeping practices and reporting needs between districts of the Appellate Court and the Supreme Court. The development methodology should use future-proofing practices that allow the Clerks to customize their work flows by using codes and user-defined fields to add flexibility to record keeping and the processing of court records. The selected vendor is to produce end user documentation and train users on the use and operation of the new CMS. The selected vendor will also provide technical documentation and knowledge transfer to technical staff sufficient to allow the support of the new CMS.

Case Management System

The Reviewing Courts' CMS is intended for use by the Supreme and Appellate Court Districts in Illinois, providing a record keeping function for the Clerks to manage their respective court cases. In addition to court records management, the new CMS should manage the receipt of fees, reconcile and produce reports on a Clerk's accounts receivable, produce numerous online and printed reports and letters, maintain an electronic court record, and organize court records and case information for long-term and permanent storage. The new CMS is to implement a robust security system that protects the integrity of the court's records and manages access to records, case information, and documents by using security groups and roles to authorize access to components of the CMS. A critical component of the new CMS is the ability to exchange information with other court applications and stand-alone systems, such as a judicial case / document warehouse system, an electronic filing system, and imaging systems that digitize paper records for inclusion in the CMS.

In order to support archival standards, the Reviewing Courts' CMS is to provide data base redundancy. As case information is prepared and electronic documents are compiled into the CMS / recordkeeping system, the documents, case record, and metadata are to be preserved into both a 'Preservation' and 'Production' copy of the database. The Preservation copy is to include the original electronic documents (scanned or system generated), case information and records (and metadata) which, once compiled, are locked and not used. A Production copy of the documents and case records then become the primary copy of the electronic record used in the CMS.

The selected vendor will work with the court to develop a judicial case / document warehouse system, separate from the CMS, that contains a 'copy' of the production case files and court records from the Supreme Court and each Appellate Court District. This system is intended to provide access to court records and documents that have been authorized for review by the Clerk's office to judicial employees in each respective district and registered parties to a case. Query and searching capabilities are critical for inclusion in the CMS to efficiently retrieve case records, court information, and individual court documents. The CMS is to have a mechanism for court documents and records to be marked for exchange with the judicial case / document warehouse system such that confidential information, sealed records, or redacted data are protected. The vendor's proposal is to identify how the CMS and judicial case / document warehouse system are to exchange information and a security system is used to manage and protect access to information.

The selected vendor will work with the court to integrate scanning and imaging solutions into the CMS. Third-party scanning and imaging software may be used to digitize paper documents for insertion into the CMS as a part of the case record. In addition to the scanned document, information captured by the imaging software about the scanned document is important to retain and should be transmitted to the CMS with the digital document. The CMS should accept standard document formats, including searchable PDF, PDF/A and TIF documents.

The Supreme and Appellate Court District's current case management system is an in-house developed client server application written in the Progress relational database language. In 2010, there were approximately 5,925 case filings in the Supreme Court. The Supreme Court CMS consists of the following modules and capabilities:
- Record Keeping and archival of more than 54,000 cases and 44,650 attorneys
- Supreme Court Receipt / Fees, including reconciliation of receivables
- Processing of petitions for leave to appeal
- Supreme Court Corporate Filing and Registrations – approximately 11,000 corporations
- Law Class / Law Licenses
- Declaration of Economic Interest
- Numerous reports - merge letters, court documents, mailing labels, etc.
- Quarterly/Annual Statistical Reporting

Although there is one case management application for use by all Appellate Court Districts, there are differences in record keeping and the processing of cases / court documents in each Appellate Court District. The Appellate Court CMS consists of the following modules and capabilities that are separate for each district:

- Case management and record keeping – 171,000 cases for all five districts
- Case assignment / processing within each Appellate District
- Fees and receipts processing
- Accounts receivable reconciliation and reporting
- Quarterly / Annual statistical reporting
- Numerous reports - merge letters, mailing labels, court documents, etc.

Appellate District	2010 Cases	Attorneys
First District	3,852	12,200
Second District	1,334	17,800
Third District	973	13,270
Fourth District	1,053	6,580
Fifth District	624	5,320
Approximate Total	7,836	55,170

Electronic Filing Option

As a separate itemized option for this project, the vendor's proposal is to include the development of a stand-alone electronic filing (e-Filing) system for use in the Reviewing Courts. The e-Filing system is to facilitate the delivery of digital documents and related information for new and existing cases to the Clerk of the Court where the document is to be filed. General features and functions of an e-Filing system may be found in the Supreme Court's Order authorizing an Electronic Filing Pilot Project in the Supreme Court (M.R. 18368), http://www.state.il.us/court/SupremeCourt/Announce/2012/011212.pdf. The e-Filing system is to leverage the Court's existing Oracle database environment and be capable of exchanging information with the Reviewing Courts' new CMS (as well as other CMS). The e-Filing system is to accept electronically filed documents (i.e., searchable PDF documents) from authorized attorneys and pro se litigants to the specified Reviewing Court Clerk using their respective rules and filing procedures.

The e-Filing system should be independent of the CMS such that the tables and structure of the e-Filing application are not in common with those used in the CMS, thus ensuring a stand-alone system. If the option to develop an e-Filing module is authorized, the selected vendor will work with the Court to further design and implement the e-Filing system and the exchange of information with the Court's CMS.

Notable functions of the e-Filing system include the following:

- The e-Filing system shall be capable of exchanging information with the CMS, such that the Clerk's office does not have to enter or rekey information generated or gathered during the e-Filing process.
- The e-Filing system shall be provided at no cost to the filer.
- The e-Filing system shall be able to compute, process, record, and collect statutory docket fees using standard credit card processing services or direct electronic transfer of funds.
- Users of the e-Filing system will be required to provide specific contact information registering with the respective Reviewing Clerks' office for access to electronically file documents with the court. If authorized by the Clerk's office, the registered user will be provided a username / password for access to the e-Filing system. Potential users include attorneys in good standing with the Court and pro se litigants.
- The Clerk's office will need to maintain specific information about registered users of the e-Filing system for their respective court. This information includes contact information and e-Mail addresses for each registered users. Registered users will need the ability to update their respective information through the e-Filing system.
- The e-Filing system is to accept text-searchable PDF documents that meet the requirements specified by the Supreme Court of Illinois. The e-Filer is to provide additional information with each filing, including the type of document being e-Filed, the name of the filing party, the case title, and the appellate court and trial court case number, if applicable.
- The e-Filing system shall generate a transaction number, logs, and other auditable information with each e-Filed document, providing the transaction number and related information as verification to

the filer of an e-Filed document that has having been submitted to the Clerk.

- The e-Filing system shall provide a means of electronic service on registered participants.
- A Clerk Review module is a key component of the e-Filing system and should provide:
  - A real time dashboard of electronically filed documents (pending, approved, and rejected) to each Clerk's office.
  - An efficient review workflow where the Clerk's office can review electronically filed documents indicating their acceptance or rejection. Should documents be rejected, the reason and related information are to be documented in the CMS and notification sent to the e-Filing party.
  - Accepted documents are to be logged and the Clerk's file stamp(s), and the date/time of filing are to be affixed to the e-Filed document, which should be included as a part of the CMS record.
  - The Clerk requires the ability to track information with each electronic filing to make sure a party has submitted the original documents and the number of paper copies required by Supreme Court Rules has been met. A daily exception screen is to display information about each case, its status, and the Clerk's action required.

Judicial Case / Document Warehouse - E-Access to Court Records

The vendor's proposal is to include the development of a judicial case / document warehouse which would provide electronic access to court records authorized for review by judicial employees, attorneys and pro se litigants that are parties to a specific case. The judicial document warehouse should provide a flexible search mechanism to access official court records from the Supreme and Appellate Court, statistical analysis of court case information, and a security mechanism to restrict access (by user groups/roles) to specific information and documents within the warehouse.

The judicial case / document warehouse is to be the repository for court records. Although the CMS will contain the original records associated with a case file, this system is intended for use by non-Clerk staff so that case information can be made available to judicial staff and parties without compromising the official case record or record keeping processes in the CMS.

The new CMS should include a streamlined process to populate the document warehouse where only authorized court records are transferred to the document warehouse. The Clerks' office is to manage access and the documents / information available for transfer to the judicial case / document warehouse using security roles and access policies that protect sealed and redacted information for individual users and groups of users.

Document Imaging

The Reviewing Court Clerks may implement scanners and imaging systems to digitize paper documents, scanning them for insertion into the case record. The CMS should be able to accept and insert as a part of the case record scanned documents (searchable PDF, PDF/A, or other standard document formats) and metadata from the imaging system as a part of a case. The document imaging system may assign unique document identifiers, identify document types, collect information about the document or mark a document or text in the document for possible redaction. All such information should be accepted by the CMS and inserted as a part of the case record.

The selected vendor is expected to review the procedures in the Clerk's office and incorporate an efficient work flow that allows scanned documents and their metadata to be inserted into the CMS. Critical specifications of the document imaging system and its integration with the CMS include the following:

- Direct integration of a networked scanner and imaging software with the CMS application, providing the ability to generate an index of a court record.
- An Image reviewing function with the ability to review and process scanned documents as they are inserted into the document storage system / CMS.
- Record and log information about all documents / pages that are scanned, retaining the metadata with the digitized document in the CMS / case record.
- The ability to denote and differentiate a digital document from the original paper document.
- Document recognition feature to automate the identification of document types, collect information about each document, and relate it to a specific case record (grouping function).
- Ability to create indexes that group documents together in an electronic case record such that individual documents can be retrieved as well as a complete indexed electronic court record.
- Highly efficient search mechanism to find and retrieve individual documents and related documents in

- a court record.
- A record management / document approval workflow to determine where the scanned documents are to be stored, user security access roles, and definition of the confidential nature of the scanned document(s) (for expunged / sealed documents) within the case record.
- Ability to produce and archive in the document storage system / CMS a searchable PDF or PDF/A document and .tif image of court records for long-term storage or microfilming.

Project Plan / Process:
This project will include two general phases to deliver a fully functional Reviewing Courts' CMS. The vendor's proposal is to include a detailed project plan, time line, and cost for the Requirements Gathering phase and a budgetary estimate for the Development / Implementation phase. The deliverables of the Requirements Gathering phase will allow the selected vendor to refine the project plan, timeline and costs for the Development / Implementation phase. This will also allow the Court to determine its priorities and authorize the direction of the Development / Implementation phase.

Requirements Gathering Phase
The first phase of this project is a Requirements Gathering phase where the selected vendor will work with the Supreme and Appellate Court Clerks' offices and JMIS to define the specifications of the new CMS and other described applications. A requirements document, timeline and cost for the CMS and each application is to be delivered and will serve as a guide for the Development / Implementation Phase. The requirements document will include a detailed description of the work flow and business processes, sample screen layouts, reporting capabilities, parameters, and sample reports for the CMS and other applications. The requirements document is to detail all software, hardware, and implementation costs to support this project based upon its requirements. The vendor's proposal is to include a detailed project plan to implement the CMS and other applications.

The Requirements Gathering phase will include a review of the existing Progress-based case management systems as well as identifying specifications for new functionality and work flow components. The Requirements Gathering phase will also include an assessment and detailed plan to migrate the existing case data from the current CMS to the new CMS, as well as any database schema / table specifications, system administration, and security requirements for the new CMS. System administration tasks are to be included in the Requirements Gathering phase to describe and define such functions as security and networking (all levels), disaster recovery, database backup, disk sizing, and performance tuning tasks.

The Requirements Gathering phase is to produce a specification/requirements document detailing the functionality of the new CMS and each application, a specific timeline and cost structure to complete and implement the new CMS. Upon review of the requirements document, authorization and directive will be provided to the selected vendor in how the Court will proceed with the project.

Because of the urgency of this project, the timeline for the Requirements Gathering phase is not expected to take longer than 60 days. The information in a vendor's proposal will be used in a contract with the selected vendor for the Requirements Gathering phase. The vendor is expected to have available resources to begin this project upon the execution of a contract with the AOIC.

Deliverables from the Requirements Gathering Phase:
- Requirements document detailing the capabilities and specifications of the CMS and related modules.
- Detailed project plan for the development, implementation/migration, training, and technical components (including time line and all costs).

Development / Implementation Phase
The Development / Implementation phase will include the programming, testing, and implementation of the new CMS and other applications approved by the Court. The development of the CMS is to be an iterative process where components of the CMS program are to be developed and delivered for review by court staff until each module meets the user's requirements. Although it is acceptable that the development of the CMS occur offsite, the CMS program modules are to be installed and tested on the Court's database platform. This will allow end users to review and test the new CMS on the Court's database platform and computing environment, indicating changes to the functions, screens, and reports of the new CMS as they are developed.

The Court's database environment includes an independent development database, test database, and production database. The implementation of the new CMS will deploy all functions of the CMS (applications) in the development and test databases, with approved modules being transferred (including any data) to the production database where a parallel testing period can be scheduled. The implementation of the new CMS includes activation of all administrative and system functions, such as disaster recovery and backups, compilation processes, source code management, system security / roles, and user account administration. Data from the existing Progress-based CMS is to be migrated iteratively to the new development, test, and production environments to assist with the testing and Go-Live implementation. All system administration functions are to be implemented before a Go-Live date, including daily and disaster recovery backups, Data Guard redundant platforms, and system security functions.

The Go-Live date of a fully functional CMS will be identified and approved by the Court and respective Clerks' office. Once a Go-Live date has been specified, the selected vendor is expected to be onsite and address all issues with the CMS at that time. As well, it is expected that this project includes a 90-day support period following the Go-Live date, where the selected vendor will promptly address issues and further changes to the CMA / applications following the Go-Live date. It is also expected that the selected vendor delivers all end-user and technical documentation for the CMS and other applications.

Confidentiality:
All information, procedures, hardware and software configurations, and customized work product used in this project are considered confidential, belong to the Court, and are not to be reproduced, replicated, or disseminated. This includes, but is not limited to, the source code, data, customized user and system documentation, configuration of hardware and software systems, technical specifications, and network parameters. All material gathered by the vendor is to be destroyed following the completion of this project.

Vendor Proposals:
Vendor proposals are to include the following information.

- Company Information
  A description of the organization, its history, primary business and area of expertise, references, and experience related to the requirements in this RFI. Information should also be included about all entities that the company is planning to subcontract with and their respective experiences.

  Note that any individual, business, or entity, including subcontractors, that are currently not licensed or registered to conduct business in the State if Illinois or is revoked or suspended from conducting business in the State of Illinois for any reason is ineligible to submit a proposal.

- Project Costs
  The proposal is to itemize the costs associated with this project, including the rate of compensation for professional staff used during the various phases of this project. The proposal should include specific costs for the Requirements Gathering phase. The proposal should also include a budgetary estimate of the Development / Implementation phase, including the development, implementation, documentation, and training of the new CMS and the related components.

- Timeline and Deliverables
  The proposal is to include time lines for the Requirements Gathering and Development / Implementation phases, and confirm the deliverables and timing in each phase.

- Project Plan and Approach
  The proposal is to include a detailed project plan for both phases, including plans for staffing (and the use of subcontractor(s)), which will provide the necessary resources to complete this project in a timely manner. It is expected that the selected vendor will dedicate the resources to complete this entire project in timely manner meeting the requirements of these systems. As a guide, the Requirements Gathering phase is expected to take approximately 6-8 weeks to understand the

existing functionality and define new capabilities of the CMS and related modules described in this RFI.

- Technical Information
The vendor's proposal is to identify and detail all hardware, software, and licensing costs and required components necessary for their solution. The solution is to include a disaster recovery component, which provides redundancy and backup solutions to restore operation to this mission critical application in the event of a disaster.

Due Date:
No later than May 18, 2012, please submit one paper copy and an electronic copy (via e-Mail) of your proposal to the address listed below. All questions are to be directed to Skip Robertson at srobertson@court.state.il.us. Questions will be compiled and posted on the Supreme Court website in the Procurement section. No bidder's conference is anticipated for this RFI.

> Administrative Office of the Illinois Courts
> JMIS Division – CMS Project
> 3101 Old Jacksonville Road
> Springfield, IL 62704
> Attn: Skip Robertson

Oracle Database Platform - Existing
The current Oracle database architecture includes a development / test database environment and a production database environment.
- Oracle Database Enterprise Edition, 11g Rel. 2, 64-bit
  - Oracle RAC
  - Oracle Enterprise Management Suite
  - Grid Control
- Oracle Weblogic Server 11g Rel. 1
  - Oracle Forms and Reports Builder 11.1
  - SQL Developer
  - Oracle HTTP Server
- Oracle Application Express 4.0
- Backup Environment
  - Oracle RMan
  - Near-line and Tape (Storix)

Technical Components considered for the new CMS
Below are some general components and requirements to be considered for inclusion in the new CMS.

- I. CMS Functionality
  - a. Easy to navigate menus, screens, and reports that support an efficient workflow for the Supreme Court and Appellate Court Clerk's office and other judicial stakeholders.
  - b. Dashboard / inquiry screens, designed for user groups, are to present case information in aggregate with the ability to 'zoom' to detailed case information, including access to individual documents or case records with a minimum number of steps.
    - i. Inquiry screens should be easily accessible and available for each role/end-user that has authorized access, such as judges, clerks, other judicial stakeholder, etc.
    - ii. A Case Record Dashboard should allow for an online review of case records / documents with the ability to print, as needed. Dashboard screens should be updated as cases are processed. The dashboard screen reports should be responsive and presented in a user-friendly format with the ability to save the report and/or print to a file or printer in a standard format (PDF).
  - c. Dashboard screens are to provide statistical summaries on Supreme Court and Appellate Court case records with the ability to 'zoom', filter, and sort information online. For example, a statistical

summary of cases filed, pending, disposed with the ability to quickly filter and sort information for additional detail. The CMS should also include pre-formatted reports.

   i. Parameter-based reports should allow end-users to query information from case records by entering parameters that display a pre-formatted screen report, with the ability to save the report and/or print (PDF), as needed.
   ii. Mail-merge reports are also critical where the Clerk's office can send mass-mailings using data from the CMS merged with templates and preformatted letters, labels, and reports.

II. An Electronic filing module should be included as a deliverable with the Requirements Gathering phase, describing a system for attorneys and public to e-Filing documents to the Court. This requirement should be presented as an option, not impacting the deliverables of the new CMS, describing the requirements of such a system, a time line to deliver the e-Filing module, and cost.
   a. In general, the e-Filing module should include:
      i. An attorney registration / review module
      ii. Electronic filing of documents (new and existing cases)
      iii. Clerk review module (of e-Filed documents)
      iv. Attorney / stakeholder access to authorized court information
      v. An interface to transfer the e-Filed documents to the CMS without rekeying information
      vi. Electronic service on registered participants

III. Security / Technical
   a. A robust application security system is necessary to manage access to court information, blocking all unauthorized access, including search results and queries.
   b. The vendor's proposal is to describe a security system that will manage users via groups and roles for access to the new CMS application and, optionally, the e-Filing system.
   c. The proposal should include a workflow to create/modify users and assign security settings.
   d. Technical and operational knowledge transfer:
      i. The design, configuration, programming and technical aspects of the new CMS, related modules, and their respective database environment are a part of the deliverables of this project.
      ii. Training and documentation on database administration, enterprise management, Data Guard, Grid Control, and Diagnostic tools are to be included.
      iii. System Administration such as backups, maintenance, physical and logical space allocation are expected.