STATE OF NORTH CAROLINA
ADMINISTRATIVE OFFICE OF THE COURTS
REQUEST FOR INFORMATION

RFI #02-17074

TITLE: Integrated Case Management

USER: NC Administrative Office of the Courts

Issue Date: June 30, 2017

Issuing Agency: Administrative Office of the Courts
Trina Fisher, Procurement Services
PO Box 2448
Raleigh NC 27607

The North Carolina Administrative Office of the Courts is currently researching the services indicated herein. We request that all interested parties respond to the inquiries contained within this RFI by submitting a response package no later than **2:00pm (EST), July 31, 2017,** to the Issuing Agency address indicated above.

Hand delivered proposals, or proposals forwarded by means OTHER than the U.S. Post Office should be delivered to the address indicated below.

THE BID OPENING WILL BE HELD AT: Administrative Office of the Courts
North Carolina Judicial Center
Trina Fisher, Procurement Services
901 Corporate Center Drive
Raleigh, North Carolina   27607

IMPORTANT NOTE**:** Proposals should indicate the Request for Information number on the outside of the shipping envelope.

Direct all inquiries to: Trina Fisher via e-mail at trina.fisher@nccourts.org.

No verbal questions will be accepted for this solicitation. **The deadline for accepting questions is 5:00pm (EST), July 17, 2017.**

VENDOR REGISTRATION AND SOLICITATION NOTIFICATION SYSTEM: Vendor Link NC allows vendors to electronically register free with the State to receive electronic notification of current procurement opportunities for goods and services available on the Interactive Purchasing System. Online registration and other purchasing information are available at the following site: https://vendor.ncgov.com/

ADDENDA: Any changes to the requirements of this Request for Information must be confirmed by written addendum (issued by NCAOC) before it can be considered to be part of this document. Offeror offering otherwise does so at own risk. It is the sole responsibility of the Offeror to obtain any addenda posted to this solicitation from the Interactive Purchasing System (https://www.ips.state.nc.us/ips/) and to assure that all addenda have been reviewed and, if required, signed and returned.

TABULATIONS: Telephone, electronic and written requests for detailed or written tabulations and abstracts of offers shall not be honored. The Interactive Purchasing System (IPS) allows the public to retrieve bid tabulations electronically from the following site: https://www.ips.state.nc.us/ips/. Tabulations will normally be available at this website not later than one working day after opening. Lengthy tabulations may not be available on the Internet, and requests for these verbally or in writing cannot be honored.

NOTE: This is only a Request for Information (RFI) issued solely for gathering information and planning purposes. Because the information requested herein will be used for planning future directions, and because there is no potential contract to be awarded, NCAOC will only post a list of respondents at the same web site where this document is posted. Responses to this RFP will not be considered by the NCAOC as offers to enter a contract. No cost information which may be received by NCAOC will be posted or considered public record.

PURPOSE OF REQUEST FOR INFORMATION

The purpose of this RFI is to assess the current integrated case management systems in the market place that will best fit the existing and future needs of the NCAOC. Additional information about the NCAOC can be viewed at its web site www.nccourts.org.

The information gathered from this RFI will be used to identify vendors that can provide the systems needed to meet the needs of the Technology Services Division's technical and infrastructure requirements.

NCAOC will not assume responsibility for any costs incurred by any vendor as a result of submitting a response to this inquiry.

1. Background

As part of the long-term eCourts vision, The North Carolina Administrative Office of the Courts (NCAOC) is researching software to support implementation of statewide Integrated Case Management (ICM). We request that all interested parties respond to the inquiries contained within this RFI by submitting a response by **July 31, 2017**, to the Issuing Agency address indicated above.

2. eCourts Vision

It is the mission of NCAOC's Technology Services Division (TSD) to use information technology to improve the delivery of services to the public and to provide greater and more convenient access to court personnel.

This eCourts vision includes the automation of all court processes to provide:

- Virtual courthouses,
- Electronic filing, retrieval, and processing of documents,
- Convenient access to services and information for the public, and
- Advanced reporting and analytical capabilities.

The embodiment of this vision and constant focus on this ideal is expressed internally using the maxim: "The right information, at the right time, right where you are."

3. North Carolina Geography and Demographics

North Carolina's population is approximately 10 million people, which puts it at the 10th largest state in population. The people of North Carolina are scattered unevenly across the state in 100 counties, ranging from Mecklenburg County, with a population now over a million, to Tyrrell County, with less than 4,200. The great range in county populations significantly influences both the availability of local technically savvy resources as well as the need for sophisticated technology systems. Counties with small populations typically have lower transaction volumes and require less automation than those with large populations. The conundrum that faces the NCAOC is that the information systems it provides need to accommodate both small and large counties. This often creates mismatches in the amount of automation provided in judicial information systems with that needed in jurisdictions of various sizes and levels of technology sophistication.

In addition, North Carolina covers nearly 49,000 square miles in area. Since the NCAOC personnel provides assistance to court officials in all 100 counties, they have to cover a lot of miles. The driving distance between Manteo (east) and Murphy (west) is 545 miles (about 10 hours), farther than the drive from Raleigh to New York City (504 miles). In addition, some of North Carolina's terrain is challenging and hard to reach, such as the Outer Banks, the Tidewater areas around Pasquotank County, and some of the mountain counties, such as Cherokee and Swain.

The NCAOC needs to manage a delicate balance between providing effective and timely onsite technology support with providing systems that allow local personnel to operate confidently and self-sufficiently.

As North Carolina becomes more urbanized, nearly all of the state's population growth since 2010 has occurred in urban areas. From 2000 to 2010, North Carolina's population grew by 18.5%, the sixth fastest growth rate among all the states. While this growth rate is projected to slow, according to the

UNC Carolina Population Center, "the state as a whole is projected to gain roughly one million residents each decade through 2040 and to rise from being the 10th most populous state to 8th by 2040."

4. Business Environment

The Judicial Branch has 533 elected officials, including 389 judges and justices, 100 clerks of court, and 44 district attorneys. Another 696 are appointed court officials, including special superior court judges and magistrates. Including these officials and other Judicial Branch employees, the NCAOC supports approximately 6,500 staff with all their technology needs. Despite the process continuity and simplicity that the tenants of the state's unified court system seek to achieve, the demands placed on elected officials by their constituencies often require, sometimes subtle and sometimes dramatic, departures from standard processes. These differences create additional complexity in statewide information systems, processes, and applications.

In addition, more than 33,000 law enforcement officers depend on applications created and supported by the NCAOC. Furthermore, the NCAOC's strategic IT vision includes establishing an electronic case filing system that private attorneys will utilize. Although it is unclear how many attorneys will become system users, the population could be as many as 20,000 across the state. Similarly, North Carolina's citizens often interact with the court system through software applications created by the NCAOC although the number is unknown.

NCAOC technology is also influenced by a very dynamic statutory, procedural, and case law environment. Each session the General Assembly passes new legislation and courts decide cases that have intended or unintended impacts on NCAOC's resources, systems, and workload. These add to the challenges of meeting the information technology needs of all stakeholders in a timely and effective manner.

These, together with variations in local practices and processes within the counties and districts, the close interrelationships with and expectations of local law enforcement, and the many data interfaces with external federal, state, and local agencies and businesses, make for a very dynamic business and technical environment in which the NCAOC operates.

5. Technical Environment

Supporting thousands of Judicial Branch employees over nearly 49,000 square miles requires thousands of IT components and much coordination. In the 260 physical sites in the 100 counties, NCAOC supports over 25,000 computer components including:
- 9,500+ PCs monitors, mice, etc.
- 9,300+ telephones
- 4,900+ printers
- 100+ local servers
- 260 network circuits
- 420+ public access terminals
- Many faxes, routers, switches, copiers, scanners, etc.

This distributed network and datacenter are available around the clock. With NCAOC's enterprise servers, 99.7% of court technology system applications are available 24/7. NCAOC's Network

Operations Center monitors this network 24 hours a day to ensure systems are available and running smoothly.

In addition to the infrastructure on which the information technology (IT) network is built, NCAOC supports more than 50 enterprise software applications that enable court officials, law enforcement, and Judicial Branch employees to do their jobs more efficiently and effectively. These applications run on the agency's two mainframe computers (enterprise servers). NCAOC also supports over 200 additional minor or internal applications. These applications have been built on a variety of platforms over more than 30 years. Some applications are considered "legacy" applications, while others are modern and web-based.

6. Transaction Throughput and Trends

With the NCAOC's many applications; millions of cases, processes, and transactions flow through the NCAOC's information systems. Below is a list of transaction volumes for several statewide systems, as of June 30, 2016:

- North Carolina Automated Warrant Repository (NCAWARE)
  - Over 11 million processes (served and unserved)
  - 1,337,000+ processes/year
  - 45,000+ court and law enforcement users
- Automated Criminal/Infractions System (ACIS)
  - 2.1 million cases filed (FY 2015 – 16)
  - 2.3 million case dispositions (FY 2015 – 16)
  - 1.1 million transactions/day
  - 30,000+ users
- Criminal Court Information System – Clerk Component (CCIS-CC)
  - 1.9 million cases processed/year (FY 2015 – 16)
  - 8.6 million actions taken
  - 39,000+ record corrections automatically fed to DMV systems
- Criminal Court Information System – District Attorney (CCIS-DA)
  - 400,000+ active cases
  - Over 7.9 million cases closed
  - 1,400+ users
- Discovery Automation System (DAS)
  - Over 1.5 million documents under management
  - Over 277 million pages
  - More than 6,300 users
  - Multimedia files (audio/video)
- eCITATION
  - 11.7 million ecitations processed since inception (1999)
  - 85% of all non-arrestable citations statewide
  - Used by over 21,500+ officers in over 420 law enforcement agencies

7. Business challenges

As noted above, the NCAOC provides a lot of technology infrastructure, systems, and applications used by court officials, citizens and other stakeholders to conduct the daily business of the Judicial

Branch. Over the course of many years, these systems have become highly customized, extended, enhanced, and modified with the ongoing attempt to keep pace with the increasing demand for more functionality as well as the with the expectations brought about by continual forward and upward march of technological innovations. NCAOC technical staff continue to extend the life of existing systems while, at the same time, deliver new functionality through sophisticated application programming interfaces, web-services, and other integration methods. Nevertheless, NCAOC finds itself at a crossroad. NCAOC has decided to take a step back and re-evaluate its strategy for integrated case management before proceeding.

Fundamentally, the NCAOC is considering the traditional build versus buy decision with the high likelihood that the ultimate solution may be a hybrid approach. As such, this RFI is meant to explore all options that may be used to address the business challenges presented below. While the issues outlined below should be considered within the context of a court case management system solution, they are generally stated so that all possible alternatives can be considered including: vendor provided court case management systems and vendor provided development platforms. It should also be noted that, given the breadth of the user community that the NCAOC serves, there will be other systems that will be required to integrate or interface with the case management solution.

The business challenges the NCAOC wishes to address include:

a. Heavy dependence on paper/forms-based processes.
b. Heavy reliance on manual work flows - no automated work flows.
c. Many and disparate data stores across current and legacy systems make systems integration and management reporting overly complex, time consuming, and less flexible.
d. Disparate applications/solutions built on a wide variety of platforms, using a variety of frameworks, languages, and technologies, implemented over a 30 year period.
e. Business rules that are difficult to manage and change because they are embedded in customized code.
f. Increasingly time consuming and complex data entry in existing systems, particularly in a fast-paced courtroom setting, leading to entry errors, omissions, and backlogged data entry processes.
g. Creating, updating, and distributing court calendar information is cumbersome and time consuming and often requires dual entry and manual processes.
h. Case management is delivered through a variety of disparate solutions to various Judicial Branch roles causing redundant data entry, data synchronization issues, inconsistent user interfaces, and multiple logins.
i. Technology and business solutions are frequently impacted by changes to legislation leading to time consuming programming modifications, accumulating technical debt, and inefficient workarounds.
j. The inability to provide anywhere, anytime, on any device access to existing case management applications, court documents, videos, digital voice recording, and other digital materials.
k. The desire to promote business process uniformity across the state's 100 counties, 530+ elected judicial officials, and over 540 courtrooms.
l. Complex identity and access management rules that are needed to control user access to systems, functions, and data elements.
m. The desire to improve case processing, process uniformity, and case outcomes using process/performance metrics, data analysis, workflow analysis, and predictive analytics.
n. The desire to provide public access to a wider range of services and information.
o. The need to integrate with other systems through the use of APIs and web services.

8. Courtroom of the future

In addition to providing information about how your solution can address the business challenges noted above, the NCAOC would also like to hear about how your solution can accommodate the "courtroom of the future." Aside from the typical case management functionality commonly found in such systems, what new features and innovations are included in your product? For example, what other ways can your solution help improve efficiency, reduce the need for keyboard data entry, expedite case preparation for judges, eliminate the need for paper, etc.? Said another way, tell us some of the leading edge capabilities that we don't know about. We are looking for transformational change.