

**Request for Information
(RFI)**

For

**Appellate Courts
Case Management System**

June 4, 2019

**Respond to:
Supreme Court of Alabama
Attn: Stephen Mitchell
Heflin-Torbert Judicial Building
300 Dexter Avenue
Montgomery, Alabama 36104**

Issued: June 4, 2019

Response Deadline: 5:00 PM, CT, July 12, 2019

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1 Introduction

This is a Request for Information (“RFI”) issued by the Supreme Court of Alabama (hereafter referred to as “SCA”) to solicit information from potential Respondents providing innovative solutions for an Appellate Court Case Management System (“CMS”).

Through this RFI, SCA desires to gain insight into CMS solutions that have been or are being implemented by other appellate courts. At the same time, SCA encourages Respondents who may only have experience in particular segments of the products or services described herein to consolidate responses with other Respondents, thereby providing a complete spectrum of the products and services available. It is the intent of SCA to solicit responses to this RFI in accordance with specifications contained in this document. The issuance of this RFI does not obligate SCA in any way to issue a Request for Proposal (“RFP”) or Invitation to Bid (“ITB”) for the solution, materials, and services described herein.

1.1 Background

SCA currently uses multiple in-house developed systems as the source of its CMS, both web-based and client-based applications. Third-party applications tie in to the CMS for scanning and uploading of documents, indexing and searching functionalities of case documents, and word processing. All case information maintained in these systems is used by the SCA, the Alabama Court of Criminal Appeals, the Alabama Court of Civil Appeals, the clerk’s offices for each of the three appellate courts, the Appellate Mediation Office, and the Reporter of Decisions. SCA also uses the CMS to handle the decision-making process (i.e. voting on, circulation of, and making recommendations in cases). A separate public facing web-based application also exists allowing attorney access for e-filing, subscription services to receive notifications, and the purchase of authorized case-related documents.

1.2 Objective

Through this RFI, SCA seeks to gain insight into CMS solutions that have been implemented or are being developed that support appellate courts. Specific areas of interest include:

- Consolidated/relational database.
- Interfacing with other CMS systems utilized by other Alabama courts.
- Document management.
- Security: user roles, case criteria/category, accessibility (external and internal).
- Dynamic data sharing extracting into multiple formats and compatibility into other systems
- Electronic filing.
- A workflow system for all judicial matters of the courts, including processes that handle judicial voting and the compiling of reports regarding various sets of data including summaries of case status, assigned case-loads, the collection of fees, and other court functions.

SCA is seeking responses to the requests in this RFI. SCA is open to different approaches and solutions regarding how a Respondent’s recommended solution would meet SCA’s needs, should SCA decide to procure a new CMS.

The objectives of this RFI are to:

- Collect information that SCA can use to develop a conceptual approach to addressing its functional and analytical needs.
- Identify approaches and tools that have been successfully used to address similar functional and analytical needs of other appellate courts.
- Accumulate criteria to distinguish best practices of CMS for appellate courts.
- Understand how Respondents have addressed the requirements stated herein.

It is important that potential Respondents understand that SCA is seeking information from entities that have direct experience with appellate court data and workflow processes.

2 Request for Information Procedure

This request requires any Respondent wishing to submit information to respond to this RFI by 5:00 pm CT, July 12, 2019. SCA will accept a formal written response and any additional materials the Respondent would like to attach to highlight their service or product offerings, such as:

- Marketing brochures and materials.
- List of appellate or other courts Respondents have serviced.
- Videos.
- Website links.
- Webinars.
- Time limited access privileges to content or systems.

2.1 Relevant Dates

<u>Event</u>	<u>Due Date</u>
Issue RFI	June 4, 2019
Question Period	June 4 – June 11, 2019
Deadline of Submission	July 12, 2019

2.2 RFI Coordinator

Stephen Mitchell
CMS RFI Coordinator
IT Director
Supreme Court of Alabama
300 Dexter Avenue
Montgomery, Alabama 36104
Stephen.Mitchell@ALAppeals.gov

2.3 Questions

Any technical or procedural questions regarding this RFI must be submitted to the RFI Coordinator via email. Responses to questions will be posted to the SCA website.

2.4 Response Format

Vendors must submit a softcopy of the response on CD or jump drive to SCA. The softcopy CD or jump drive must contain the following:

- 2.4.1 One (1) complete copy of the Response in searchable Adobe Acrobat PDF format.
- 2.4.2 One (1) complete copy of the Response in Microsoft Word 2007 or later format.
- 2.4.3 One (1) redacted copy of the Response in searchable Adobe Acrobat PDF format with confidential information removed.

The RFI response must be submitted in a sealed envelope or package with the RFI name (“Appellate Courts Case Management System”) and the Respondent’s name and address clearly indicated on the envelope or package.

2.5 Submission

Responses to the RFI on CD or jump drive may be hand-delivered or mailed to the RFI Coordinator. Responses will not be accepted over the phone. All responses must be received before the Deadline of Submission as stated in Section 2.1.

Entities responding to this RFI will not be precluded from bidding on any future SCA procurements regarding a CMS.

2.6 Review of RFI Responses

Issuance of this RFI in no way constitutes a commitment by SCA to award any contract. This RFI is designed to provide Respondents with the information necessary for the preparation of informative responses. This RFI process is for SCA’s informational benefit. The RFI is not intended to be comprehensive, and each Respondent is responsible for determining all factors necessary for submission of a comprehensive response.

The RFI response will not be subject to an RFP type evaluation but only to a review of Respondent’s suggested solution, approach to addressing the CMS, and ability to perform services that may be of use to SCA.

2.7 Oral Presentations for Clarifications

The Procurement Coordinator may convene oral presentations for clarification to responses. If oral presentations are deemed necessary, invitations will be extended only to respondents to the RFI who the SCA determine submitted a meritorious response.

2.8 No Obligation to Issue RFP or ITB

This RFI is an inquiry only and no contract or agreement will be entered into solely as a result of this process. By responding to this document or otherwise participating in this process, no contract or agreement will be formed and no legal obligation between SCA and any Respondent will arise. Individual firms or teams that have not responded to this RFI shall not be precluded from participating in any future solicitation processes in relation to the project. The issuance of this RFI does not obligate SCA in any way to issue an RFP or any other procurement for the solution, materials, and services described in this RFI.

2.9 Disclosure of RFI Contents

Respondents should be aware that any information in a response may be subject to disclosure and/or reproduction under Alabama law. Designation as proprietary or confidential might not protect any materials included within the response from disclosure if required by law. Respondents should mark or otherwise designate any material that it feels is proprietary or otherwise confidential by labeling the page as "CONFIDENTIAL" on the bottom of the page. Respondents should also state any legal authority as to why that material should not be subject to public disclosure under Alabama open records laws and why it is marked as Proprietary Information. By way of illustration but not limitation, "Proprietary Information" includes trade secrets, inventions, mask works, ideas, processes, formulas, source and object codes, data, programs, other works of authorship, know-how, improvements, discoveries, developments, designs and techniques.

It is the sole responsibility of the Respondents to indicate information that is to remain confidential. SCA assumes no liability for the disclosure of information not identified by the Respondents as confidential.

2.10 Copyright Permission

By submitting a response, the Respondent agrees that SCA may copy the response for purposes of facilitating an internal analysis of the response or to respond to requests for public records. By submitting a response, the Respondent consents to such copying and declares such copying will not violate the rights of any third party.

2.11 Cost and Expenses

Each Respondent is responsible for its own costs and expenses related to this process, including cost and expenses associated with preparing and submitting a response to this RFI, participating in the process, the provision of any additional information, or attendance at meetings/interviews. No costs related to this RFI will be reimbursable from SCA.

3 RFI Requirements

3.1 Executive Summary

Respondents should prepare a summary of their response to the requirements described in 3.3 Solution below. The Executive Summary should condense and highlight the contents of the requirements in such a way as to provide a concise understanding of the entire information response.

3.2 Company Background

Respondents should respond to this section with a brief description of their company or organization, relevant products and services, history, names of appellate or other courts the Respondent has assisted in the design and/or implementation of similar CMS solutions, and any other information deemed relevant.

3.3 Solution

In this Section, the Respondent should provide a high-level description of how their CMS solution addresses SCA's requirements listed in this RFI.

The description should include but is not limited to how Respondent proposes to:

- 3.3.1 Meet objectives and areas of interest. See Section 1.2 above.
- 3.3.2 Implement a relational data model.
- 3.3.3 Permit data sharing between SCA and cohort entities.
- 3.3.4 Deliver an architecture that allows for ad hoc query and report development.
- 3.3.5 Create a turn-key CMS.
- 3.3.6 Implement an architecture that allows for redaction/data cleansing of case documents and a mechanism to safeguard Public Identifiable Information.
- 3.3.7 Implement a data security architecture that permits data access at the individual user level and embodies confidentiality mechanisms.
- 3.3.8 Manage issues relating to data stewardship, multiple user perspectives, etc.
- 3.3.9 Migrate existing data to a new system.
- 3.3.10 Archive historical data for retrieval into a new system.
- 3.3.11 Protect confidential data and information from disclosure while the CMS is being programmed and tested.

Additionally, with respect to Respondent's capabilities to assist in designing and developing a comprehensive CMS, SCA requests feedback on how Respondent would:

3.3.12 Provide technical consulting and assistance for technical issues, including:

- Hardware infrastructure, design, purchase, installation, and management.
- Cloud solution options and support.
- System implementation and/or database design, development, and migration of existing data.
- Extract, Transform, Load process design and development
- Staff support and training of staff.

3.3.13 Provide CMS consulting and assistance for technical issues, including:

- Design and development of (or use of existing proprietary) reports for analysis to support user needs.

3.3.14 Provide consulting and assistance for CMS issues, including:

- Training and support for how to use data to support policy decisions
- Assistance prioritizing data projects.

Respondents would need to anticipate that SCA currently uses data from several sources and multiple data types, understanding that more sources or types may be added. Among the current data sources and types are:

Types:

- Non-Relational database files.
- Spreadsheets.

Sources

- Various sources, comprising an array of categories of data, including but not limited to:
 - Cases, Actions, Calendar, Circulations, Document Links, Events, Judge Information, Votes, Receipts, Attorney Information, etc.
 - Vital Statistics, Time Standards.

3.4 Cost Structure

Respondents may submit information about cost components, cost models, or costing methods that have been applied to similar products and services delivered in the past. For instance, for applicable software licensing, Respondent may provide information such as “per seat” or “concurrent user” licensing. If applicable, methods of delivery such as “software as a service” or “on-site licensing” may be included in the response, as well as costing factors applicable to maintenance and support activities. Also, to the extent that professional services would be applicable, typical cost ranges for various categories of implementation services may be provided. Finally, Respondent may submit a brief description of available flat fee cost approaches.