

# Questions for Judiciary of Guam RFI # 10-01

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## 1 Case Management System (CMS)

- 1.1 Has the budget for the project been approved?  
Yes.
- 1.2 Are the Public Defender and Alternate Public Defender separate entities?  
Yes, they are separate entities. They both use AbacusLaw, but their case data reside in separate databases.
  - 1.2.1 Are the Alternate Public Defenders equivalent to court appointed attorneys?  
Yes. The Alternate Public Defender is “conflict counsel” for co-defendants.
  - 1.2.2 In Section 3.4.2 it states “PD and APD will continue to use AbacusLaw.” Would there be an interest in the PD and APDs adopting the new system?  
The PD and APD are not part of the judiciary and are considered stakeholders in this project. They will have public user access to data in the CMS, and will participate in electronic filing.
- 1.3 What is the process for scheduling hearing resources, e.g. police officers, experts, interpreters?  
Police officers and experts are subpoenaed to testify in court through a paper process.  
Users flag cases requiring interpreters in the system. The court relies on contract interpreters and a process of notifying them when persons requiring interpretation are needed in court.
- 1.4 Is the development of the CJIS Exchange Broker part of the project?  
This is to be determined. The Judiciary is currently working with Datamaxx to implement a message switch and exchange broker which will provide for federal reporting of criminal history data and for real-time compilation of local criminal history reports. The NCSC is investigating whether this effort can be leveraged to accommodate the Judiciary’s data exchange needs, or whether a separate

broker will be needed. If a separate broker is needed, a procurement strategy will be determined.

- 1.4.1 If the CJIS Exchange Broker is not part of the project; who is the developer and what is the underlying technology?

The CJIS RFP titled “Furnish, Deliver and Install a National Crime Information Center (NCIC) Communications Message Processor (CMP) System/Computerized Criminal History Records Application (CCH) for the Judiciary of Guam” is available at the Judiciary Procurement website

[www.guamcourts.org/Information/proc.html](http://www.guamcourts.org/Information/proc.html)

Datamaxx was awarded the contract, and they are using Microsoft BizTalk Server.

- 1.5 Are the Trust Accounting and Bill Payment applications for the Office of the Public Guardian part of the CMS or part of the ERP Financial Management Services?

The Office of the Public Guardian has financial management responsibilities for persons in need of guardianship services, more similar to ERP functionality of receiving and paying bills; and also case management responsibilities for third-party guardians (tracking activities and receiving period reports).

The Judiciary’s preferred approach will be set forth in the RFP. If both kinds of functions cannot be performed in the CMS, they may be split between the two. The CMS should be able to handle trust account activities, but what additional functionality will be needed for the Public Guardian has not been determined yet.

- 1.6 Section 4 lists the devices to be supported, what modules will the devices be used with?

Document scanner	CMS/ERP/Jury Mgt
Interactive voice response (IVR)	CMS/ERP/Jury Mgt
Web payment	CMS/ERP/ECM/Jury Mgt/E-filing
Cash register (point of sale system)	CMS/ERP
Fingerprint reader	CMS
Bar code reader (to support scanning)	CMS/ERP/Jury Mgt
Signature pad	CMS/ERP
Electronic information display (in hallway)	CMS

- 1.6.1 What is the anticipated application for the bar code reader?

Bar codes may be used in scanning in several ways (though the method will be the choice of the vendor):

- The bar code can be a check and balance to separate multi-page documents during scanning, and count the number of documents scanned in a batch;
- The bar code can be generated to contain case information when creating a “shell case,” facilitating scanning the documents later;
- When a bar code is printed on a document expected to be returned to the clerk, such as a return of service or served warrant, the bar code can be scanned to take the user to the place in the system to update the case record.

1.6.2 What is the application for the signature pad?

Signature pads may be used in several ways.

In case management, a defendant could sign a document at the clerk’s counter, probation intake, or in a courtroom, and the signature would be made part of the document (without scanning the document after signature).

In financial management, a party paying or receiving money could sign to acknowledge payment or receipt.

1.7 What financial applications will be associated with the CMS, and what applications will be associated with the ERP?

All case-related financial functions, and court-related functions like document copies and background check fees, will be in the CMS.

The ERP will handle at least the following functions for operation of the Judiciary (additional requirements may be identified in the RFP):

- 1.1 Prepare checks for pass-through payments from conduit accounts
- 1.2 Record the receipt of invoices for goods and services posted in the purchase module
- 1.3 Record payment transactions not previously recorded in the purchase module
- 1.4 Create a voucher register
- 1.5 Consolidate transactions by vendor
- 1.6 Prepare checks for disbursement to vendors
- 1.7 Prepare cash disbursements register
- 1.8 Handle voided checks and purchase returns
- 1.9 Post cash disbursement transactions to the general ledger
- 1.10 Provide bank reconciliation module
- 1.11 Prepare 1099 forms for unincorporated vendor whose yearly payments are greater than an amount which is determined by the internal revenue service
- 1.12 Prepare and process payments to court-appointed counsel

Volume 1 of Guam's financial automation functional requirements are located in Chapter 14, "Financial Management" at <http://contentdm.ncsconline.org/cgi-bin/showfile.exe?CISOROOT=/tech&CISOPTR=311>

References to other requirements documents are below under "ERP."

- 1.8 Within the diagram on page 15 it notes that the Public Guardian, Bar Ethics Prosecutor and Client Service and Family Counseling need to be secure. What are the security requirements, and how do they differ from the other security requirements in the CMS?

Records of these Judiciary units need to be secure, but not different from other types of Judiciary cases containing confidential information, such as juvenile cases. Access to confidential information will be role based or document based.

- 1.9 Section 5, item number 7 requests information on component integration. What are the components?

Vendors are requested to provide information about how their products are integrated internally and externally:

- Internally – are modules in-house developed or third party (e.g., accounting, document management, internet payment)
- Externally (what APIs are available for importing data, how imported data is validated)

- 1.10 If the vendor would like to have the proprietary information provided kept confidential and the reasons for it, where would this information be put in the response to the RFI? What section?

Proprietary information should be isolated in an appendix with page headers stating its proprietary nature, with references in the text to this information.

- 1.11 In section 5.3 of the vendor response, the RFI requests experience with similar projects. Would the Judiciary of Guam like references and description of the products purchased?

Generally, yes. We won't be checking references until vendors submit proposals under the RFP.

- 1.12 In section 5.11 of the vendor response, can you elaborate on what you mean by proposal teams and models?

We are still considering the best approach: a prime contractor who forms a team of subcontractors, or individual vendors who submit proposals for just their own products. Vendors are requested to state their preferred approach, including their experience with the team approach.

- 1.13 In section 5.12 of the vendor response, the RFI requests an outline of the proposed participation in the project in one of two ways. Does the vendor pick

one of them and describe which product they are proposing? Do you want us to elaborate? If so, how?

See previous question.

- 1.14 In section 5.13 of the vendor response it states the Judiciary would like “examples of costs.” Can the vendor provide a cost proposal for all of the products and services being offered?

Vendors can provide cost information about all products they offer, but separated by product to provide transparency into what they are offering. For example, if a vendor offers both CMS and jury management, it is better to separate the costs of those products.

- 1.15 Does the Judiciary of Guam have an Enterprise Architecture standard? If not, what is the required or desired architecture for the solution e.g. Web-based, client/server, etc?

Generally the Judiciary is a Microsoft shop, operating MS SQL Server databases, Microsoft Outlook and Office.

The preferred application architecture is browser-based.

- 1.16 Has anyone at Judiciary of Guam been given a presentation or demo of a CMS in the past year? If so by which vendor?

A team from the Judiciary attended the Court Technology Conference in Denver in September and talked to several vendors. No other presentations or demonstrations have been provided.

- 1.17 What is the implementation priority or sequence for example first CMS, then ERP, or concurrent with?

Concurrent to the extent possible, since the current custom-built system provides both functions, and the goal is to decommission it.

- 1.18 Section 3.4 – Planned Technology Environment – The RFI states that vendors must be NIEM compliant. Is this just as it relates to NIEM architecture, or does it also include the requirement for the vendor to lead a Judiciary of Guam’s IT team in the development of Information Exchange Package Documentations (IEPDs) for information exchanges specific to Guam’s data requirements? Can we get an official definition of what Guam means by “NIEM Compliant”?

The goal is to become NIEM-compliant when other justice partners can exchange data using NIEM standards. Developing Information Exchange Package Documentations (IEPDs) is not part of the current system acquisition.

1.19 Section 3.4.1 – There is reference to a Public Access System as a part of the CCMS. Under Project Description, bullet 3 says that the Superior Court Case Management System also includes Adult and Juvenile Drug Courts, Domestic Violence Court and Mental Health Court. Are these courts also to be included in the Public Access component? Is the information from the auxiliary court systems (drug, domestic violence, etc. –i.e., the systems containing extensive amount of confidential data) going to be accessible via the Public Access System?

Most of the data concerning Adult and Juvenile Drug Courts, Domestic Violence Court and Mental Health Court is confidential. This can be managed by user roles access.

1.20 Section 4 – Project Description of the Superior Court case management system includes “Marshal”. Our understanding is that the Marshal provides courtroom security and handles service of process. Is a staff scheduling component a requirement for the Marshal functionality? Can you please describe the functionality included in the Marshal component?

The Marshal needs either a staff scheduling or an assignment process to distribute the work of serving papers – this will be determined before the RFP goes out. The other main kinds of tasks are completing returns of service, and conducting sheriff’s sales (seized and foreclosed properties – essentially like scheduling and noticing a hearing).

1.21 Section 4 – Is the Probation Case Management system under Project description intended to house information separately from the Superior Court system regarding the various courts, such as Adult and Juvenile Drug Courts – or can it be part of the Superior Court CMS with different security rights for certain modules?

The preference is for a single repository of data for court and probation cases, with security rights appropriate to role in the cases. Superior Court and Probation Division work together on drug court and other treatment court cases. If a separate probation CMS is acquired, there would have to be adequate data exchange.

1.22 What type of services does Guam expect will be available using the IVR technology? Credit card payment processing? Court information?

Yes. The Judiciary is interested in seeing how IVR can be applied.

## **2 Jury Management**

2.1 In section 4 on page 14 (Project Description), it states that the Judiciary is interested in a new Jury Management System. Can the Judiciary of Guam elaborate on what that entails? Are there any mandatory aspects to the desired JMS platform? (Imaging, IVR, web enabled, summons printing, etc.)

Volume 1 of Guam's automation requirements contains a section on jury management in Chapter 10. It is located at <http://contentdm.ncsconline.org/cgi-bin/showfile.exe?CISOROOT=/tech&CISOPTR=311>

The jury commissioner uses IVR and wants to eliminate paper by providing a web-based qualification form. Some imaging may be needed to handle jurors without internet access.

2.2 What type of jury qualification process is used by the Court, one or two step?

2.2.1 If 2 step, how many questionnaires are issued annually?

The jury commissioner sends a qualification form annually, and then summons about 300 jurors each month.

2.2.2 If 1 step, how many summons are issued annually? See above

2.3 How many Court locations do you have in your jurisdiction?

There is a North Satellite Court that handles traffic violations, but the only court location that has jury trials is the Guam Judicial Center.

2.4 Do you provide any jury management assistance to other courts in your jurisdiction?

No.

2.5 How many total users will be using the jury management?

The jury commissioner supervises a staff of two.

2.6 Does the Jury Management system require the ability to electronically generate the entire pool of eligible jurors to draw from or is that list prepared elsewhere? (Combination of voter registration and driver's license, for example).

The Judiciary's MIS Division prepares the pool of jurors from voter registration and driver's license lists. The jury management system will not be required to perform this task.

2.7 Will the new Jury Management system be required to produce reports (for juror qualification) as to the randomness of the jury pool? Is it your intention that the Jury Management System will not include a payment module? We ask because jury is referenced in the ERP system description. Will the Jury System be required to include a notification module that will allow jurors to call in to find out if they need to report?

The Judiciary would like the new jury management system to perform functions that are currently done manually, and generate reports to aid in utilizing jurors and monitoring the process. An output interface to the ERP will

accommodate paying jurors. It is desirable for juror qualification and monitoring whether jurors need to report to be an online function.

### **3 Enterprise Resource Management (ERP)**

#### **3.1 What ERP functions does the Judiciary require?**

Volume 1 of Guam's ERP functional requirements are located in Chapter 13, "General Administration," and Chapter 14, "Financial Management" at <http://contentdm.ncsconline.org/cgi-bin/showfile.exe?CISOROOT=/tech&CISOPTR=311>

Volume 2 of Guam's ERP functional checklists are located in Chapter 11, "General Administration," and Chapter 12, "Financial Management" at <http://contentdm.ncsconline.org/cgi-bin/showfile.exe?CISOROOT=/tech&CISOPTR=312>

Volume 3 of Guam's ERP data element dictionary are located in Chapter 9, "General Administration," and Chapter 10, "Financial Management" at <http://contentdm.ncsconline.org/cgi-bin/showfile.exe?CISOROOT=/tech&CISOPTR=313>

### **4 E-filing**

#### **4.1 Is e-filing project considered to be a part of another project or is an independent component?**

Once the court CMS is implemented, e-filing will follow. Whether this is another project or a phase of the first one is a matter of definition.

#### **4.2 Is there funding and budget for e-filing project?**

There is funding, and the Judiciary is not releasing estimated budgets.