District of Columbia Court System

Office of Contracts and Procurement

**REQUEST FOR INFORMATION (RFI) NO.
DCSC-21-RFI-1
APPELLATE PETITIONS AND MOTIONS
VOTING SYSTEM**

Date Issued: **February 23, 2021**

**Closing Date
& Time:**   **March 16, 2021, no later than 2:00 P.M.**

Any prospective vendor desiring an explanation or interpretation of this RFI must request it by **email** to Maribel Torres, Senior Contract Specialist at maribel.torres@dccsystem.gov no later than 2:00 P.M. on March 4, 2021.

The Courts will post all amendments and responses to offerors questions in the DC Courts Website at https://www.dccourts.gov/about/procurement-contracts-branch.

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1.0 Introduction

The District of Columbia Courts (DCC), a unified judicial system, is seeking information for the District of Columbia Court of Appeals (DCCA) from manufacturers/developers (hereafter "vendors") for an appellate petitions and motions voting system. This system will be used to track petitions for rehearing/rehearing *en banc* and motions filed in certain phases of appellate cases.

This is only a Request for Information (RFI) issued solely for information, planning purposes, and market research. By issuing this RFI, the DCC does not express an intent, commitment, or promise to purchase a CMS from respondents nor to issue a Request for Proposals (RFP) in the future to procure a CMS for such purposes. Responses to this RFI will not be considered by the DCC as offers to enter a contract.

Vendors that respond to this RFI are expected to provide information including, but not limited to, the technology and software options they offer for an appellate motions voting system.

2.0 Terms and Conditions

1. The DCC will not become obligated as the result of this RFI.
2. Information submitted in response to this RFI will become the property of the DCC.
3. Confidential information must be marked as follow:
    a) Vendors who include in their RFI data that they do not want disclosed to the public or used by the DCC except for use in the procurement process shall mark the title page of the RFI documents with the following legend: **"This RFI includes data that shall not be duplicated, used or disclosed in whole or in part for any purpose except for use in the procurement process".**
    b) The specific information within the RFI which the vendor is making subject to the restriction announced on the title page must be noted on the individual pages which contain it. The vendor shall mark each page containing confidential information or data it wishes to restrict with the following text: **"Use or disclosure of data contained on this page is subject to the restriction on title page of this proposal".**

    Note that the DCC shall have the right to duplicate, use, or disclose the data to the extent consistent with the DCC's internal needs in the procurement process. The DCC may, without permission of the vendor, use without restriction, information contained in this RFI package if it is obtained from another source.
4. The DCC will not be liable for the intentional or unintentional release of any confidential information intermingled whether or not it is labeled as confidential.
5. The DCC will not pay for any information herein requested nor is it liable for any costs incurred by the vendor.

6. Vendors may be invited to provide a demonstration of their software. If required, demonstrations will be scheduled at a specified time and place. Please indicate your ability to fulfill this requirement if requested.
7. Provide general cost estimates, including your general pricing structure with a breakdown of normal initial costs, contractual hourly rates, and optional service/maintenance costs. The figures provided by the vendor are good-faith estimates and, although not contractually binding, should be realistically formulated.

3.0 Purpose and Objectives of the RFI

The purpose of this RFI is to assess the current appellate voting systems existing in the marketplace that will best fit the existing and future needs of the DCC, specifically the DCCA.

This RFI is issued solely for information and planning purposes and does NOT constitute a solicitation. Responses to this RFI are not offers and cannot be accepted by the Government in forming a binding contract. The Government will not reimburse companies for any costs associated with the preparation and submission of RFI responses.

The DCC is committed to efficient and effective use of its financial, technology, and staff resources. The DCC is in the process of examining the feasibility of an appellate voting system to track petitions for rehearing/rehearing *en banc* and motions in certain phases of cases.

3.1 Background

DCCA judges vote in two ways: in panels of three (merits panels) or as the full court (the en banc court) which, as discussed below, will be a variable number, but generally amounts to nine judges.   The voting process for each of these compositions is discussed below

Merits Panel voting: Judges, grouped in threes, are randomly assigned to merits panels. These panels may include some combination of active judges (there are nine active judges on the court), senior (semi-retired) judges, and, occasionally, Superior Court judges (who sit by the Chief Judge's designation). One of the three judges on the merits panel will be preassigned as the "writing judge," i.e., the judge presumptively responsible for writing the opinion for the court resolving the appeal. The same merits panel will generally be assigned to hear a trio of cases set for oral argument on the same day or a group of six cases assigned to a summary calendar (meaning that they will be submitted to the panel for decision without oral argument unless oral argument is specially requested). The DCCA's case management system, C-Track (a Thompson Reuter's

product), maintains information regarding the panel assignment for each case, as well as case numbers, docket information, and documents filed in the case.

Parties to a pending appeal (i.e., an appeal that has already been noted in C-track) may file motions requesting that DCCA take a variety of actions in the case. In addition, non-parties may seek to intervene in an appeal or to act as a "friend of the court" (amicus curiae) to provide the court with additional arguments or perspectives useful to the court in resolving the case. Court staff dockets each motion filed with the DCCA, as it is received, and if the motion has been filed in an appeal that has been assigned to a merits panel, the case management system will email each motion to each member of the merits panel. The judges currently vote by email whether to grant the motion, deny the motion, or defer the motion; court staff from the Clerk's Office are generally are copied on these emails. If resolution of the motion requires any substantive analysis, the writing judge will draft the order, obtain approval from the other members of the merits panel, and then ask the court staff in the Clerk's Office to issue the order. If the resolution of the motion merely requires the issuance of a form order, the Clerk's office will draft the order, circulate the draft order to the panel for its approval, and then issue the order.

En Banc voting: After a merits panel issues a final decision in their case from a merits panel (and in a few exceptional cases, beforehand) one or more parties may file a petition for rehearing by the same merits panel or they may seek rehearing *en banc*, i.e., review by all of the active judges who are not recused from the case and any senior judge who may have been on the merits panel that originally decided the case. As in the motions process, court staff dockets the petition and the case management system emails it to the merits panel (petition for rehearing) or all of the active judges plus any senior judge who may have been on the merits panel (petition for rehearing *en banc*).

In response to a petition for rehearing, the merits panel may vote to grant the petition, deny the petition, or request an answer to the petition from the other party (or parties) in the case.

For petitions for rehearing *en banc*, only active judges who are not recused from the case may vote (and a judge may receive and grant a motion to un-recuse during the pendency of a petition for rehearing). Their options are:
- Recuse/Un-recuse
- Vote in favor or against requesting an answer to the petition from the other party (or parties) in the case
  - If one judge from the merits panel calls for an answer, or two judges who were not on the merits panel calls for an answer, voting is suspended until an answer is requested and filed (or, rarely, the deadline for filing the answer has passed without an answer). After the answer is received, the judges will be asked to vote anew (they may indicate they will adhere to their previous vote).
- Vote in favor or against calling for a poll of the active judges.

- o One vote is sufficient to call for a poll; again the judges who have previously voted will be asked to vote anew (they may indicate they will adhere to their previous vote)
- Vote in favor or against grating en banc review.

In some consolidated appeals there may be numerous petitions for rehearing or rehearing en banc. These petitions may raise identical or partially overlapping issues.

Details on the en banc voting process are available in Parts X and XI of the DCCA's Internal Operating Procedures, available online at https://www.dccourts.gov/sites/default/files/matters-docs/DCCA-Appeals-Process_IOP.pdf .

The judges currently vote on pending petitions for rehearing or rehearing en banc by email, copying court staff who draft and issue an order implementing the merits panel or en banc court's decision.

Other motions related to petitions for rehearing or rehearing en banc may be filed during the pendency of the petition, e.g., motions to file an amicus brief, motions for extensions of time, motions to exceed the page limits. These motions are circulated and voted on by the panel or the en banc court.

3.2 Objective for the Voting System

The Appellate Petitions and Motions Voting System ("voting system") will automate the process and provide a dashboard-like interface for judges and staff.

The new system will receive information from the case management system, including the judges assigned to the merits panel for the case in which the motion or petition was filed, case information, and the motion or petition document.

The system will provide a dashboard-like interface where each judge can—
- See all pending motions, petitions for rehearing, and petitions for rehearing *en banc* filed in each case to which that judge is assigned;
- See whether and how the judge and other judges on the panel (or the *en banc* court, for petitions for rehearing *en banc*) have voted (including requesting an answer or a poll of the judges);
- Receive alerts when established deadlines for voting are approaching; and
- Vote on the motion or petition;
- Send messages to other judges or court staff regarding the pending motion or petition.

The system will also provide staff a dashboard-like interface where staff can—
- Monitor voting on motions and petitions under their area of responsibility;
- Receive alerts when votes are past established deadlines;
- Be alerted when the staff member needs to take action to carry out the decision of the court—
    - When an answer has been requested (by one judge in a petition for rehearing or by two judges in a petition for rehearing *en banc*);
    - When time has elapsed for requesting a poll of the judges; or
    - When voting has been completed.
- Send messages to other judges or court staff regarding the pending motion or petition.

The system will also track deadlines and timing of votes and collect relevant data to generate standard and ad hoc reports.

Generally, the voting system will--
- Increase the efficiency of Court staff and judiciary.
- Improve the management of court cases in judicial chambers and the clerk's office.

4.0 Information on the District of Columbia Courts

The DCC, the judicial branch of the District of Columbia government, is comprised of the Court of Appeals (DCCA), the highest court of the District of Columbia; the Superior Court of the District of Columbia (DCSC), a trial court with general jurisdiction over the majority of local legal matters; and the Court System, which provides administrative support functions to both Courts. Its mission is to protect rights and liberties, uphold and interpret the law, and resolve disputes peacefully, fairly and effectively in the nation's capital.

The DCC's mission and its operations rely heavily on information technology (IT), and the organization's dependence on IT will continue into the future. There are approximately 100 end users who will access the Appellate Petition and Motions Voting System, including judges and court staff.

A. Technical Environment

The following table provides an overview of the DCCA's enterprise level technical environment. Please note this overview is not an exhaustive list, as standalone spreadsheets and databases also exist at the division/operational level.

DCC's Technical Environment	
Server/StoragePlatforms	HP servers, NetApp storage (NAS and SAN)
End User Platforms	Dell Workstations, peripherals
Ticketing System	Cherwell, Bomgar
Cloud Platform	Microsoft Azure FedRAMP Government
Operating Systems	Server – Windows 2016 Standard and Data Center Edition Client – Windows 10
Networks	TCP/IP, CISCO routers and switches
Internet Browsers/Version	Explorer 11; Chrome 57; Firefox 52
Authentication	Active Directory Federation Services
Development Environment	J2EE, Oracle Apex
Databases	Oracle 12c, MS-SQL 2008, 2012
Data Warehousing and Business Intelligence	Oracle OBIEE 11g, 12c, Oracle ODI 12c, PowerBI
Application Server	Oracle SOA 12c, Oracle Web Logic 12c
Applications that may interface with voting system	Thomson Reuter's C-Track Case Management System, PowerBI
Security	Network Access control, Watchguard Firewall

The main DCC campus is comprised of 6 separate buildings that are connected by 1GB fiber optic. In addition to these buildings there are 7 satellite field units located throughout the city that are connected to the DCC's local area network (LAN) via 100MB TLS. WIFI capability is offered in all locations throughout the campus buildings.

The majority of DCC statistical and operational reporting requirements are satisfied through the DCC's Business Intelligence (BI) capability. The objective of the DCC BI effort is to provide judicial officers, division directors and senior management with performance measures and caseload measures, ad-hoc reporting, dashboards, KPI's, monthly / yearly trends and scorecards using enterprise data warehouse and reporting tools. The BI system utilizes extract, load and transform (ELT) to transfer data from source databases such as C-Track and loads data into a staging environment, after which it is transformed into dimensions and facts in the warehouse for end user analysis using OBIEE or PowerBI tools.

5.0 Statistical Summary

The Court of Appeals receives approximately 150 – 200 petitions for rehearing/rehearing *en banc* each year and 4,000 motions, although some are processed in a different manner.

The following link will provide a statistical summary of case filings in addition to other pertinent information that provide a more accurate demographic of the DCC case processing volume.
https://www.dccourts.gov/sites/default/files/2019_Statistical_Summary.pdf

Additional relevant information on the DCC can be accessed by the following link.
www.dccourts.gov

6.0 Products and Services of Interest

This RFI includes the following applications and services:

- Appellate Petitions and Motions Voting System
- Cloud Based SaaS, hosted or on-prem COTS solution
- User authentication module is capable of Azure Active Directory authentication (SSO)
- Perhaps an exposed application program interface (API) for data exchange to and from federal, and local government agencies as well as internal DCC applications.

7.0 Information Requested from Vendors

In addition to the information concerning voting system products and capabilities we would also request information concerning the following:
- Provide an estimate of the average number of years your software will be supported before requiring a system replacement and if the replacement/upgraded system will be covered under the annual maintenance & support licensing fees.
- Provide details on all system software warranties including any new system upgrades, enhancements or modifications to the voting system.
- Provide your company's financial condition to show the financial viability of the company (Dun & Bradstreet).

8.0 Functionality of Products

The primary focus of this RFI is to determine the capabilities and services of vendors and the functionality of their voting systems and related products. Appendix A contains a list of capabilities and functionality that the DCC is interested in their search for a voting system. Please address the items listed in Section 3 and in Appendix A. Please identify how the voting system or related products will handle the identified functions.

9.0 General Cost Estimates

The vendor shall provide an estimate of costs associated with their voting system product(s), including product licensing, consulting, and other services require to purchase, configure, implement, and maintain their voting system. These estimated costs should include software modifications, 3rd party interfaces, custom programming, upgrades, and all related costs including hardware, support, maintenance, and training, etc. needed to implement their solution. The vendor should take into account the need to have personnel on site during the implementation of the voting system.

These cost estimates may be included in a confidential document along with any other

confidential or proprietary information submitted for consideration. The vendor will not be held to any cost estimates provided in response to this RFI.

10.00 Explanation to Prospective Vendors

Any prospective vendor desiring an explanation or interpretation of this RFI must request it by **email** to Maribel Torres, Senior Contract Specialist at maribel.torres@dccsystem.gov no later than 2:00 P.M. on March 4, 2021.

11.0 RFI Submission

Each vendor shall submit an electronic PDF file format via email to Maribel Torres at maribel.torres@dccsystem.gov.

12.0 Deadline for Information Requested

RFI Due Date and Time: March 16, 2021 no later than 2:00 P.M

a) Vendors must submit their response PDF file format vie email to Maribel Torres at maribel.torres@dccsystem.gov.

Appendix A

Please adhere to the following guideline structure when providing the information requested. Proprietary information if necessary must be provided in a separate document.

1.0 Overview of Company

a) Company history
b) Corporate capability statement that highlights the company's organizational and functional overview
c) Products currently offered or deployed pertaining to this RFI. Please list all existing court clients where your voting system is installed and operational. It is important to list courts of a similar size, complexity and case volume as DCC.
d) Staffing demographic of your current technical staff that support your voting system. This should include help desk staff, technical staff resources and instructional staffing for training.
e) Strategies for emergent and future technologies

2.0 Business Model

    a) Licensing costs and terms
    b) Support/maintenance
    c) Help desk/issue resolution
    d) Product enhancement/upgrade planning
    e) Product modification, customization, and configuration
    f) Release scheduling and deployment

3.0 Technical Environment

    a) Software development tools/environment (e.g., JAVA, .Net, APEX, WebServices)
    b) Database(s) supported (e.g., Oracle, MSSQL, SQL Server)
    c) Data model
    d) Architecture (e.g., client/server, N-tier, open/closed, cloud hosting)
    e) Standards compliance (e.g., NIEM, SOAP, ECF)
    f) Information exchange tools/methods (e.g., APIs, broker, ESB)
    g) Reporting tools (Oracle BI, PowerBI)
    h) Software configuration management (e.g., error tracking tool, method of release)
    i) ADA Section 508 Amendment compliance stature
    j) PCI compliance (credit card and eCommerce capability)
    k) Optimization for CITRIX
    l) Mobile application compatibility

4.0 Hardware Specifications

(Please detail the hardware and system configurations requirements to successfully implement the proposed)
    a) Server details (processor, memory)
    b) Operating system
    c) Network environment
    d) Virtual environment, redundancy, disaster recovery
    e) Disk usage, storage requirements
    f) Workstation requirements (must support VDI environment)
    g) Printer compatibility
    h) Possible configuration options
    i) Responsibility for hardware and system software maintenance

5.0 Process Methodology/Practices

    a) Contract to delivery
        i) Analysis of Needs/Fit/Suitability
        ii) Identification of gaps/modifications
        iii) Design and development of customizations
        iv)Data conversion/potential current CMS code integration

v) Support for configuration
vi) Testing and deployment
vii) Onsite "Go Live" Assistance

b) Delivery to Maintenance
    i) Help desk
    ii) Client environment replication
    iii) Support for custom coding
    iv) Assistance with new releases
    v) User groups/other Input

c) Governance Stature/System Certification and Accreditation Framework
    i) For example: iTIL (Cherwell), CMMI, PMP, NIST, FISMA, ISO, Six Sigma

6.0 Implementation Methodology

a) What are the Project Management functions and responsibilities of the Implementation process?
    i) Detail project consulting information
    ii) Agile, Waterfall
    iii) Project Management Professional certification

b) What training, instructional requirements and information is part of this implementation?
    Please detail the following areas:
    i) Training methodology
    ii) Training options
    iii) Training requirements
    iv) Syllabus information

c) What timelines are recommended?
    i) Provide a sample implementation Gantt Chart if deemed necessary

d) What do you see as the client's responsibilities? Clarify
    i) What is the DCC responsible for during implementation?
    ii) What services does the Vendor recommend supplying?

7.0 Support

a) What are support options for your product? Please detail the following:
    i) Built-in system help function. Online interactive live chat support
    ii) Toll-free support number
    iii) Client maintained/staffed support desk and times of operational availability. (e.g. 24/7?)
    iv) Online ticketing system and searchable knowledge base
    v) Other options available

b) What are the vendor's support goals? Please detail the following areas:
    i) Response times and resolution times to the following incident levels
        (1) Emergency
        (2) Critical
        (3) Standard help call

(4) Other options
c) What is recommended for problem escalation procedures?
   i) How are incidents tracked and handled?
   ii) What tools do the Vendor Support Staff use?
d) What are the timelines and procedures for system enhancements/updates, etc.?
   i) How are updates managed?
   ii) How often are updates released?
   iii) What is the typical downtime during an update?
   iv) How will the software system be updated to accommodate legal changes and minimize the impact on case processing?
   v) How are enhancements/new feature requests implemented?
   vi) What is the process for a software patch or release implementation? If it is not successful, can it be backed out to the previous version?

8.0 High-Level Automation Capabilities

a) Application/Workflow Configurability
   i) Set up/design custom screens/user interface
   ii) Define role security/data access
   iii) Set up process-based workflow (including business rule triggers)
   iv) Set up ticklers/alerts/notifications
   v) Set up data validations (for data entry)
   vi) Set up document generation/batching
   vii) Set up dashboard (appropriate to role)
   viii) Custom database elements
b) Technical Infrastructure
   i) Infrastructure provides adequate response time and minimizes down time
   ii) Infrastructure accommodates archiving of data and documents based on defined rules
c) System Security
   i) User authentication (integration with Active Directory, single-sign-on)
   ii) Security and integrity of the voting system, its data and documents during normal operations and after a system failure or outage
   iii) Configure and designate confidential data, documents, fields
   iv) Audit trails provided (individual ID level)
   v) Encryption (tables, fields, PII, at rest, in transit)
   vi) Hashing
d) Database Structure

9.0 Voting

a) receipt of information from the case management system, including
   i.   the judges assigned to the merits panel for the case in which the motion or petition was filed,
   ii.   case information, and
   iii. the motion or petition document.

b) judicial dashboard-like interface where each judge will—
 i. See all pending motions, petitions for rehearing, and petitions for rehearing *en banc* filed in each case to which that judge is assigned;
 ii. See whether the judge and other judges on the panel (or the *en banc* court, for petitions for rehearing *en banc*) have voted (including requesting an answer or a poll of the judges);
 iii. See how the other judges have voted;
 iv. Receive alerts when established deadlines for voting are approaching; and
 v. Vote on the motion or petition.
 vi. Send messages to other judges or court staff regarding the pending motion or petition

c) staff dashboard-like interface where staff can—
 i. Monitor voting on motions and petitions under their area of responsibility;
 ii. Receive alerts when votes are past established deadlines;
 iii. Be alerted when the staff member needs to take action to carry out the decision of the court—
  1) When an answer has been requested (by one judge in a petition for rehearing or by two judges in a petition for rehearing *en banc*);
  2) When time has elapsed for requesting a poll of the judges; or
  3) When voting has been completed.

d) track deadlines
e) track timing of votes
f) collect relevant data to generate standard and ad hoc reports.
g) Send messages to other judges or court staff regarding the pending motion or petition

10.0 Utility Functions

a) Ability to search, find, and replace: Enter search criteria
b) Ability to perform mass update: replace a judge in all cases (e.g., a judge retires)
c) Ability to change judge in a single case (e.g. a judge is recused from a single case)
d) Ability to designate what is being voted on

11.0 Ticklers, Alerts, Prompts, Notifications

a) Automatically create ticklers, alerts, prompts, and notifications based on business rules

b) Modify or satisfy ticklers, alerts, prompts, and notifications based on business rules
c) Manually create and maintain ticklers, alerts, prompts, and notifications
d) Automatically close outstanding ticklers, alerts, prompts, and notifications as a result of case disposition

12.0 Data Integrity

a) Integrity
      i) Audit trails
      ii) Error correction, real time edits
      iii) Error messages

13.0 Reporting

a) Business intelligence, dashboard presentations
b) ETL processing, data warehousing for reports
d) User-configurable reports
e) Merge into third party software (Word, Excel, PowerPoint, etc.)

14.0 System Documentation

a. Customizable User Guide
b) System Administration Manual
c) System Application Guide
d) Entity Relationship Diagram
e) Data Dictionary
f) Tool tips Field Help