



APPELLATE CASE MANAGEMENT SYSTEM (CMS)

QUESTIONS AND RESPONSES 2

Posted February 16, 2018



Questions received 2/9/2018

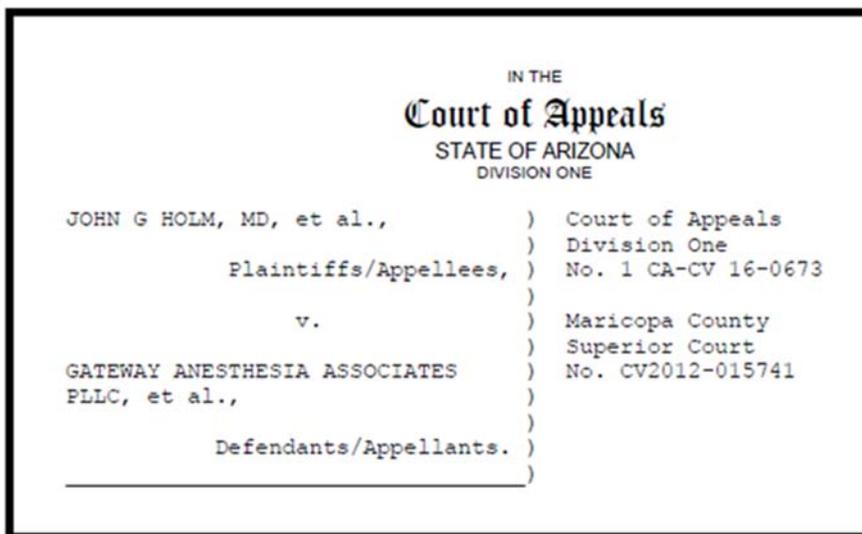
QUESTION	RESPONSE
<i>General</i>	
Can Phase 3 cost be reevaluated after Phase 1 has been completed?	Phase 1 and Phase 3 are expected to be bid as part of the response to this RFP and would form the basis for a contract with the successful vendor. Bid may also indicate expected price increases due to distinctive market increases over scope of contract that may be dependent on the amount of time that elapses between the beginning of phase 1 and the beginning of Phase 3. Costs associated with Phase 2 are expected to be identified during Phase 1 of the project.
With which external systems will the new CMS need to integrate?	<p>There are a number of systems identified in the specifications, and specifically identified in Section 22. In some instances, we have indicated that either the vendor’s system would need to replace functionality or the system would have to integrate with a system that is already in place. The specifications document governs the detail of the integration points and supersedes the answer here. Below is a list of some of the integration points referenced in Section 22 (this list is not meant to be exhaustive).</p> <ul style="list-style-type: none"> • OnBase EDMS • Efiling Manager (EFM) • SharePoint (unless a vendor’s system replaces the functionality) • IBM MQ • C2C (an AOC custom built application which allows an import of the lower court record) • CCI (an AOC custom built centralized index to which information data must be provided) • DocLink (an AOC custom built application currently in test which will allow registered participants of a case to view the court record in order to create links in briefs and to review briefs using links to the record) • Website publication of calendar and case status information • SharePoint • [anticipated] State Bar of Arizona • [anticipated] Westlaw/Lexis
Can we obtain a sample batch of data that will need to be converted?	No. A sample batch of data is not available at this time. The data would be provided to the successful vendor.

Regarding customer references, will the State accept three (3) references? If not, will the State provide a minimum number of required references?	Yes. Per RFP, Section 2, #15, References (page 13); minimum number of required references are not stated or required. Please refer to RFP for the required data for each reference.
As a privately held company we are not required to have audited financial statements; additionally, a private company's financials are not public record. Will the State accept a financial summary statement in lieu of last three years of annual reports and audited financial statements?	Please refer to document RFP 17-03 Amendments for amended required financial documentation.

Addendum A		
1.3. <i>Integrate to financial systems for receipting function if fees required/paid.</i>	Are these external financial systems? What are the integration points?	This requirement is related specifically to Efiling. Currently a third-party vendor processes payments in association with efilings. The courts need the ability to automatically set up obligations for monies received.
1.5. <i>Permit case classification using a three-tiered hierarchy</i>	Can you provide an example?	Case Classification is a compilation of Case Type, optional Case Subtype and optional Case Characteristic. COA1 Example: Accelerated appeal initiated from a family court matter. The three-tier hierarchy that makes up the case classification would be "Civil Case Type, Family Court Subtype and Accelerated would be a special characteristic of this case type and subtype. Example for the Supreme Court: Petitions for Review filed in the Supreme Court. The three-tier hierarchy is: Civil Case Type, Petition for Review Subtype and Appeal is the characteristic.
4.1.1.2.6. <i>Enabling the clerk reviewer to identify parties, attorneys, and other participants identified in the e-filing submission that are not already known to the case in the CMS</i>	What is it meant for the Clerk reviewer to "identify" a party?	The courts want to make things simpler for filers and reduce the amount of data entry for the filer wherever possible. The expectation is that any known parties will be displayed in the eFiler through integration with the courts consolidated case index (CCI). This requirement is meant to identify those parties that are not already known to the CMS. New parties should be flagged as such and available for review in the Clerk Review prior to set up in the CMS.
4.1.1.4.2.3. <i>Provide optional stamping of document renditions</i>	Is Optional stamping the ability to affix an image to a PDF document?	Yes.

<p>4.2.6.3. <i>Provide full text editing capability.</i></p>	<p>Is this meant to read “rich-text formatting?”</p>	<p>No. The intent of this requirement is to allow authorized users the ability to modify all event description text. For example, if the authorized user is creating an entry related to the filing of the Appellant’s Opening Brief, the user should be able to modify any standard text associated with the docket event for that particular document. If the standard text reads “Opening Brief” the authorized user should be able to modify the entry to read “Opening Brief and Appendix of Exhibits.”</p>
<p>4.8.3. <i>Maintain due date deadline date extension history.</i></p>	<p>What is the difference between Due Date and due date deadline date?</p>	<p>Intent of requirement is to allow system to maintain history of due dates and all adjustments/modifications to each due date. If a particular due date is initially established as January 5, 2018 but adjusted to January 20, 2018 (and not counted as an extension), and later adjusted again to be February 20, 2018 (and counted as an extension), the history of these adjustments should be accessible and reflect two adjustments but only one extension to the deadline. The number of extensions is used for reporting and other purposes.</p>
<p>3.16.1. <i>Provide different templates by case type or case classification.</i></p>	<p>How is a template defined? Please give an example.</p>	<p>A template can be defined by case type or case classification. If the case classification is Mental Health Sexual Predator, the case caption template will only include information contained in case side 2 that includes the name of the defendant and will be masked as First Name and Initial of Last Name, e.g. In Re: Donald F.</p>
<p>3.16.2. <i>Provide different styles for different purposes, e.g., order style, opinion/memo decision style.</i></p>	<p>How is style defined? Please give an example.</p>	<p>Style would be specific formatting/appearance of case caption in connection with the courts procedural orders verses that used for case decisions, e.g. memorandum decision or opinion.</p>

STYLE SAMPLES



IN THE
SUPREME COURT OF THE STATE OF ARIZONA

BRENDA D.,
Appellant,

v.

DEPARTMENT OF CHILD SAFETY, Z.D.,
Appellees.

No. CV-17-0136-PR
Filed February 9, 2018

Appeal from the Superior Court in Maricopa County
The Honorable Susanna C. Pineda, Judge
No. JD21476
AFFIRMED

Opinion of the Court of Appeals, Division One
242 Ariz. 150 (App. 2017)
VACATED

IN THE
ARIZONA COURT OF APPEALS
DIVISION ONE

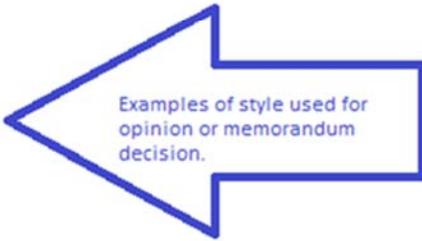
JOHN G. HOLM, MD, et al., *Plaintiffs/Appellees,*

v.

GATEWAY ANESTHESIA ASSOCIATES PLLC, et al.,
Defendants/Appellants.

No. 1 CA-CV 16-0673
FILED 2-8-2018

Appeal from the Superior Court in Maricopa County
No. CV 2012-015741
The Honorable James T. Blomo, Retired Judge
The Honorable Sally Schneider Duncan, Judge



Examples of style used for
opinion or memorandum
decision.

<p>3.18.7. <i>Allow mortality information including date of demise.</i></p>	<p>What information other than date of demise would be included?</p>	<p>Method of demise in death penalty cases, e.g., lethal injection or natural death.</p>
<p>3.18.10. <i>Maintain all organization affiliation(s).</i></p>		<p>The 3.18.10 response box should not have been shaded. Please refer to both, RFP 17-03 Amendments and RFP 17-03 Amended 3.18.10 documents.</p>
<p>3.19. <i>Organization</i></p>	<p>Why are these response boxes shaded?</p>	<p>This item is an organizational item, meant to help categorize the specifications which follow (e.g., 3.19.1, 3.19.2, etc.) for which responses are expected. It is shaded because it is not contemplated that vendors would respond to 3.19, it is not a specification on its own.</p>
<p>3.19.4.2. <i>Retain membership history.</i></p>	<p>Is membership history every activation and deactivation?</p>	<p>Yes, it should include actual activation and deactivation time stamp, and should include optional starting date and required ending date for any person's membership with the organization as well as any specific position within the organization.</p>
<p>3.19.4.3.2. <i>Recognize judicial titles (e.g., Presiding Judge, Associate Presiding Judge, Commissioner, Pro Tempore).</i></p>	<p>Is recognize the same as record?</p>	<p>This requirement refers to the sequencing of the names based on the titles. For instance, the Supreme Court lists the members of the court on the public facing calendar with titles and in order of seniority.</p>
<p>4.18.1.2.1. <i>Establish a case status priority.</i></p>	<p>Could you please explain what you mean by establishing a case status priority? Could you please provide examples of this functionality?</p>	<p>Case status priority refers to a means to establish relative importance of each case status in the context of how they would be viewed collectively on a report or list. Establishing case status priority allows the courts to sort all case statuses that occurred in a particular court case by status priority designator instead of other optional sort preferences such as chronological order or alphabetically by status description.</p> <p>Example: Case CR-17-0011-PR Decision Filed (priority 1) Start Date 3/25/17 – End Date 04/25/2017 Under Advisement (priority 2) Start Date 2/1/17 – End Date 03/5/2017 Case Closed (priority 3) Start Date 4/25/17 – End Date 00/00/0000</p>

<p>5.1.1. <i>Allow a participating court to itemize known or anticipated transcripts from a lineage predecessor case at a prior court.</i></p>	<p>Could you please provide more information about what information is available to the court user and what process is accomplished with that information?</p>	<p>Transcripts are an important part of the record. There is often difficulty obtaining all the transcripts necessary to decide a case. Currently, all transcripts that are needed to decide a case are tracked so that when it is known that all have been received, the case can progress to a panel for decision.</p> <p>Because transcripts can be an issue, the Court also tracks who (which court reporter) is responsible for providing the transcript, the date it is due, and the trial court (lineage predecessor) case it involved since some appellate cases involve multiple trial court cases.</p> <p>Furthermore, the appellate court sometimes needs to track the specific time and/or type of hearing in addition to the hearing date when a particular day of proceedings involves more than one court reporter. In the event that a transcript is not delivered on time, the court reporter may be ordered to show cause at a hearing. The Court of Appeals and the Supreme Court each publish a list of transcripts due with due dates and court reporters responsible to the website so that court reporters can be aware of what the court is expecting from them. This website report is currently generated from the CMS in a nightly batch.</p>
<p>5.2.8.7. <i>Integrate document distribution information with the document distribution function (e.g., allow a document distribution plan to be generated as part of producing a document).</i></p>	<p>Could you please elaborate on what is requested/what actions are desired for this requirement?</p>	<p>Currently each case has a distribution list (list of email and postal addresses for those involved in the case). When a document is produced and/or distributed by the Clerk's Office, there is an expectation that the names of people who will receive the document will appear on the bottom of the document or be appended to the document.</p>
<p>5.4.3.7. <i>Allow the confidentiality of the document to be specified at multiple levels.</i></p>	<p>Could you please explain what you mean by allowing "confidentiality of the document to be specified at multiple levels"? Could you please provide examples of this functionality?</p>	<p>Documents in a sealed case are all confidential as a result of the identification of the case as sealed. Documents in a restricted case type, e.g., juvenile and mental health are confidential due to the case type. Documents that are restricted by document type, e.g., staff attorney memo or an order specifically making a document confidential.</p>

<p>5.4.15.1. <i>Provide convenient and labor-saving features that support the ability to define or specify the capture of document and document copy registration information that is applicable across the batch.</i></p>	<p>Could you please provide an example that illustrates this requirement?</p>	<p>The court currently scans documents in batches and then pulls those batches into the CMS. For example, multiple exhibits in a death penalty case that allows the user to define the date, title, document type code and repository location for the batch of documents so user doesn't have to enter information one document at a time.</p>
<p>7.9. <i>Could you please provide an example that illustrates this requirement?</i></p>	<p>Could you please clarify whether this means that a conflict (recusal?) should be entered automatically when an exact match is found? How does this differ from the requirements in 7.10 and 7.11?</p>	<p>"Conflict" as used in this section does mean a conflict that would lead a judge to recuse him or herself from the case (or would lead another person to remove themselves from being involved in a case). 7.10 and 7.11 contemplate that data in a database may not be exact. For instance, if Judge Smith indicates that she has a conflict with the company "Johnson, Hobbs, LLC", there may be many ways that company would appear in a case such as "Johnson and Hobbs, L.L.C.". These requirements are meant to flag items that are close so that they may be reviewed for inclusion in the conflict list. An exact match (such as any case with "Johnson, Hobbs, LLC" in the example above) should be entered automatically.</p>
<p>7.12. <i>Consider case lineage in conflict searching.</i></p>	<p>Could you please describe a use case where the case lineage would cause a conflict (beyond the example of a case trial court judge is now the appellate judge)?</p>	<p>Yes, there are many situations in which a judge may have a conflict with a lineage judge. Most of these would require the Appellate Judge to identify the lineage judge as a conflict. An Appellate Judge might, for example, identify a lineage judge that he is married to or a lineage judge that is a close personal friend as ongoing conflicts. Additionally, the appellate user (judge or other staff member) might have identified a conflict with a particular case lineage in respect to work they previously performed in the lineage case as an attorney or mediator.</p>
<p>8.5.6. <i>Allow an authorized user to review cases on the at-issue-candidate listing; provide features to access additional case information. relevant to the determination of at-issue status promotion.</i></p>	<p>Could you please provide examples of information relevant to the determination of at-issue status promotion?</p>	<p>Depending on case type, certain factors are considered to determine if a case is ready for promotion to "at issue" status. Factors for a civil case might include 1) checking to ensure all necessary filing fees were paid 2) verifying all expected briefs have been filed. In a criminal post-conviction relief matter, a necessary checkpoint would be to ensure all predecessor case records involved have been filed.</p>

<p>8.6.5. & 9.3.4. <i>Allow the inclusion of DocLink hyperlinks and hyperlinks to other trusted sources (e.g., Westlaw, etc.).</i></p>	<p>Where would you envision these links would appear or be accessed from?</p>	<p>Court rules prohibit providing copies of the record with briefs. Instead the parties are to provide links to the court record documents they are referencing. For example, a hyperlink is imbedded in a brief filed with the court by a party and originates from a case record document such as a trial transcript. DocLink is an AOC custom built application currently in test that will accomplish this and will include verification of user authorization to view the record.</p>
<p>9.5.6. <i>Support non-substantive revisions of decisions previously filed through interlineation.</i></p>	<p>Could you please define interlineation in this context?</p>	<p>As an example, consider Order #1 is filed and contains the sentence “Defendant James Johnson file brief by February 20, 2018.” An error is noted and Order #2 is filed directing the Clerk’s Office to insert the word “must” between “Johnson” and “file” and to add “his” between the word “file” and “brief” through interlineation. The initial order is modified to read “Defendant James Johnson must file his brief before February 20, 2018”. Interlineation which is ordered by the Court allows the modification of a previously filed document to be made rather than filing a new, amended document. The order directing Clerk’s Office to revise by interlineation would be part of the record.</p>
<p>Section 14 Financial Requirements</p>		
<p><i>Could you please explain the business process surrounding Electronic Receipting Books? Is the expectation that Receipts processed in these “books” will be uploaded via integration to the CMS?</i></p>	<p>The electronic receipt book concept is analogous to a paper receipt book. In general, a receipt book is tied to a calendar year. There are rare instances where two receipt books may be open at the same time by virtue of the transition from year to year. Some version of this concept is expected to be present in the vendor solution. No external integration is contemplated.</p>	
<p><i>Could you please explain the expectation from a functionality standpoint for Case Party level receivable accounts?</i></p>	<p>Receivable accounts are necessary at the case level to track payments made as well as payments expected by a person, organization or litigant group in connection with a particular case. Example: Appellant A’s filing fee was deferred by Court Order and payment schedule was set up with \$20.00 to be paid by the 1st of each month. The receivable account would be set up for the full receivable amount due. As each payment of \$20 is made, the court should be able to review the history connected to this particular account such as receivable type associated; current balance, etc.</p>	
<p>14.9.3.2. <i>Only allow removal of distributed funds one time after invalidation of a receipt.</i></p>	<p>Could you please provide an example of when an invalidated receipt would be distributed?</p>	<p>The word “distributed” was used because of a label on current functionality. Please refer to RFP 17-03 Amendments document. This requirement has been altered to indicate that the removal of distributed funds regarding an invalidated receipt only be allowed once.</p>
<p><i>When referring to allocation plan, does that mean the allocation of an individual receipting transaction?</i></p>	<p>Allocation criteria are associated with individual receipts, but the functionality of reviewing allocating monies is part of the deposit and reconciliation process.</p>	

<p><i>Could you please explain if you expect that Cash Repositories (Safe, Lock Box) will be created as Asset Accounts and be manually debited when cash is added and electronically credited to a Disbursement Account when necessary?</i></p>	<p>The expectation is that monies collected over the counter totaling over \$300 (per Minimum Accounting Standards) are only held in the safe for one business day. The Allocation/Disbursement plan and execution occurs the day after monies are received. The deposit occurs that same day (which is the relief of the cash repository).</p>
<p><i>Could you please explain if you expect a mechanism for overpayment candidate clearance other than Overpayment Refund disbursement?</i></p>	<p>Yes, our Minimum Accounting Standards identifies a “cut-off” dollar amount under which refunds are not required. If the overpayment was 0.01, the amount would be marked as an over payment, but the penny would not be refunded. A mechanism for handling this situation is necessary.</p>