

Judicial Branch PROCUREMENT OPPORTUNITY

TO: Bid/Proposal Manager

FROM: Supreme Court of Illinois / Administrative Office of the Illinois Courts

DATE: January 22, 2016

SUBJECT: Request for Information (RFI): Supreme Court of Illinois Statewide e-Filing and Electronic Filing Manager

Brief Description:

On behalf of the Supreme Court of Illinois, the Administrative Office of the Illinois Courts (AOIC) is seeking to contract with a vendor for the implementation of a central electronic filing manager (EFM) service to facilitate statewide e-Filing in the Illinois judiciary. The EFM is to be an online service / portal, hosted and managed by the vendor, which will directly integrate with court case management systems (CMS) and authorized Electronic Filing Service Providers (EFSP) to exchange documents and data from the filer to the court. The EFM is to offer electronic notice to parties, allow party access to court documents, and include the transmission of trial court records on appeal from each county through the EFM to the respective reviewing court and between the reviewing courts.

The experience and scalability of the EFM vendor is critical to the success of this time-sensitive e-Filing initiative. The proposals are to include a project plan, itemized costs, and general integration specifications detailing requirements for web service connectors to be used by EFSP and CMS partners. The EFM vendor is to provide a testing environment and work with EFSP and CMS partners on implementation and testing of electronic filings and the secure exchange of documents and court information. The EFM is to include a secure portal where each court can manage its e-filings, distribute documents, and reconcile the collection of fees and filing data.

The EFM proposals should provide details of the EFM company, its experience and descriptions of existing court EFM services in operation, and details describing the EFM services necessary to successfully implement the Illinois Supreme Court's statewide e-filing initiative. Within thirty-five (35) days of an executed contract, the selected EFM vendor will be allowed revisions to its project plan necessary to meet the Court's time lines and enhance the services offered.

EFM Services - Web-Based Hosting Service

The EFM vendor must provide and maintain a stand-alone online Electronic Filing Manager (EFM) service / portal to facilitate the electronic filing (receipt and distribution) of court documents directly to/from authorized Electronic Filing Service Providers (EFSP) and case management systems (CMS). The EFM service is to facilitate e-filing of new and existing cases, allow filers to identify specific case information (case types, case numbers (existing cases), party information, etc.) and provide notification to the court of the receipt of e-filed documents. The EFM proposal is to describe how automated clearing house (ACH) services will integrate with the e-filing system and EFM to securely process payments, record and log e-filing transactions, and directly exchange information with the CMS. Available ACH services may include any of the following; the Illinois Treasurer's e-Pay service, existing ACH services used with a court's CMS, and third-party ACH services. The EFM is to operate 7 x 24, with hours designated to help desk support for court officials and e-Filing partners (CMS, EFSP, etc.).

The EFM is to provide web service interfaces and connectors for direct integration with EFSP service providers and CMS vendors. The EFM's web services are to support industry standards (i.e., NIEM, ECF 4) and emphasize the secure exchange of information. The EFM proposal is to describe the functionality of the web services and how they support the e-filing system and critical exchanges will be acknowledged and logged. Web service specifications are to be developed as a priority and made available early in the project so that EFSP and CMS partners are able to begin the necessary enhancements to their systems in order to meet the time line of this project. As courts implement e-filing, the EFM service is to scale in capacity, storage, and technical help desk resources.

The EFM vendor is to provide a court-specific portal which segregates e-Filing activity for each trial and reviewing court. The EFM portal is to secure and log activity of e-filed documents and court information so that judges, clerks, and court officials are able to manage e-Filings, access e-Filed documents, and review statistics and volume of filings, fees, and usage. The portal is to provide the ability for parties and court officials to access e-Filed documents and documents / information which might be uploaded by a court / clerk.

The EFM service is to facilitate the receipt and distribution of trial court records on appeal and transfers of electronic records within the reviewing courts. Each local court will be responsible for assembling an electronic record on appeal and transmitting it through the EFM and directly into the respective reviewing courts' case management system. The EFM vendor is to work with the reviewing courts' CMS vendor and trial courts to implement a uniform method for the electronic transfer of the record on appeal. The trial courts / circuit clerks may use the Basic EFSP service provided by the EFM or an EFSP of their choosing to connect with the EFM service in transmitting the record on appeal. The EFM vendor will work with court officials to finalize standards for a uniform transmission of trial court records on appeal.

In addition to a production EFM, the EFM vendor will make available a secure Test environment, replicating the production environment, for free access by courts and partners (CMS vendors and EFSP partners) to test system integration and exchanges through the EFM. The EFM vendor is to provide technical support resources to assist partners with the implementation and enhancements to their respective systems. The EFM vendor is to develop a testing program and certification process to confirm that partners comply with the security and standards defined for web services and the exchange of court documents / information.

EFM Registry / Web Service

The EFM registry is to provide an online, secure e-filing registry for use with all EFSP services to authenticate all users, including attorneys, government entities, and pro se filers, to the Court's e-Filing service. The registry is to allow the self-registration of filers (attorneys, pro se, government entities) but implement a manual process to create profiles and accounts for administrative users such as judges, clerks and court officials. The registry service will encrypt all transmissions, confirm the source of all EFSP requests, and provide status information to/from the EFSP to authenticate access to the e-Filing system.

The EFM registry must have the following security capabilities:

- Upon successful log on / authentication, the EFM registry service should identify whether the attorney-filer is in good standing with the Court.
 - This may require an interface with the Attorney Registration and Disciplinary Commission (ARDC) to the EFM service to track status on Illinois attorneys.
- Authenticate users using a unique user profile.
 - Profile information should include information such as: full name (f,m,l), unique e-mail address, security questions, ARDC number (if licensed attorney).
 - Users should be able to update their profile information (name, e-mail address, password)
 - Security questions and e-mail confirmation should be required for password changes.
- Allow for courts and administrators to manually Disable / Delete user accounts.
 - Also, include automatic deactivation of user accounts following an inactivity period (i.e., 6 mo.)
- Complex Password Policy – for example:
 - Minimum password length = 10 char., complexity required, automatic password changes 120 days.
- Audit Logs – maintain logs with access information and e-Filing activity.

Basic EFSP Service – provided by EFM Vendor

The EFM vendor is to provide, at no cost to the filer, a Basic EFSP service which would provide core functions of an EFSP. For example, using the EFM registry web service, the Basic EFSP would authenticate and be accessible to any filer such as government entities, attorneys, pro se, or indigent filers from public or private computers. The Basic EFSP service would allow filers to submit electronic filings to any court, pay requisite fees, and provide access to e-filed documents / information. The Basic EFSP would be an alternative to facilitate the transmission of records on appeal from the trial courts to the reviewing courts, transfer of electronic records between reviewing courts, and used to facilitate a kiosk e-filing station in a courthouse.

EFM Web Service Interface / Connectors

The EFM vendor is to provide web services and corresponding specifications to integrate or 'directly connect' the EFSP and CMS systems through the EFM. The e-Filing web service connector must be XML-based, support Electronic Case File (ECF) 4 standards, and encrypt the transmission of documents and case information to/from the EFSP through the EFM to a court's CMS.

- The e-Filing web service connector must validate the source of all connections / transmissions, exchange success and error codes with each exchange, and transfer the filed document, case information, and related metadata from the EFSP, through the EFM, and into the CMS.
- The EFM web service must provide messaging capabilities for the EFSP and CMS systems to share and record such information as the success/failure of transactions, acceptance / rejection of filings, record date/time stamps, unique transmissions numbers, and the status of e-Filed documents.
- The EFM vendor is to prepare documentation listing EFM web service requirements and specifications to guide EFSP and CMS vendors in customizing their systems to integrate with the EFM system. The EFM vendor is to provide technical support for courts, EFSP partners and CMS vendors to assist with the successful integration of these

systems.

- The EFM vendor is required to develop a testing and approval process to certify that EFSP and CMS systems comply with the requirements for integrating with the EFM, that e-filed documents and information are accurately and securely exchanged, and the integrity of the statewide e-Filing system is intact. The process should include the initial approval of EFSP and CMS integration with the EFM as well as ongoing confirmation of compliance with EFM web service requirements. The EFM vendor is to monitor industry standards to propose changes in web service specifications and e-filing requirements, which benefit the Court's e-filing system.
- The EFM vendor is required to provide a test environment and develop a testing and certification process where EFSP and CMS vendors can test their systems' compatibility with the EFM requirements to confirm their ability to securely and accurately process transmissions and the exchange of e-filings to the proper court. The EFM vendor is required to work with EFSP and CMS partners to assist and expedite the integration of partner systems with the Court's statewide e-Filing system.

EFM Portal and Court Access to Manage e-Filings

The EFM is to provide a secure portal for each court, which allows clerks to manage their respective e-filings and provides access to all documents and court information. At no additional cost, judges, clerks, and court officials are to have unlimited access to court-specific portals used to upload/download documents and manage their respective electronic filings/submissions.

The EFM portal is to support workflows that direct or guide the operation of the court in managing e-filings. For example, clerk review will occur via the EFM portal where clerk's can access pending filings, categorize filings such as those 'under review', as well as provide functionality to review and audit payment information and associated fees. The EFM portal is to provide a means for the clerk's office to sign or affix a file stamp to approved filings (include information such as date submitted, court name, clerk, case number, date stamp), provide e-mail notice to parties if not provided by the CMS, and allow party access to case documents / information filed or uploaded by the court. The EFM portal should provide reporting capabilities which assist courts, clerks, attorneys and users by listing e-Filed cases with delimiting fields, such as new or existing cases, case types, case numbers (existing), date/time stamps (submitted, approved, rejected, etc.), e-filing status (accepted / rejected), and a history of activity from the clerk's office.

Electronic Notification

Should a CMS not support electronic service / e-notification, the EFM should distribute appropriate notice via e-mail to parties, allowing parties access to the court-stamped e-Filed document(s). Confirmation of e-notifications are to be logged in the EFM and reported to the respective court / CMS.

Online Payment of Court Fees – Clearinghouse Service

The use and integration of an ACH service is a critical component to ensure the accurate payment of fees from the filer for approved e-filings and have those transactions recorded in the court's CMS. The EFM proposal is to describe best practices for integrating ACH services which relates fee payments to the filer, logs payment transactions associated with a filer, e-filing and case, and securely exchange that information through the EFM to a court's CMS. Available ACH services may include any or all of the following; the Illinois Treasurer's e-Pay service, existing ACH services used by a court's CMS, and third-party ACH services.

EFM Reporting

Dashboard reporting is an important component to assist courts in managing e-Filings and related transactions. The EFM reporting system should include various reports that include such details as:

- o Unique and secure dashboards for each court.
 - For example, e-Filing reports might list filings by day/date range. Listing of filings for new and existing cases, including case types, e-filing status, date/time submitted, date accepted/rejected, and document listing.
- o Payment information by case, day/date range, fee paid and aggregated by case and case type.
- o Listing of rejected e-Filings.
- o The EFM vendor will work to provide standard reports to assist courts with managing their filings and payment information.

Trial Court Records on Appeal

The EFM is to facilitate the transmission of trial court records on appeal to the respective reviewing court. As well, the EFM is to facilitate the transfer of electronic records between reviewing courts (Appellate District Court to Supreme Court or Appellate District Court to Appellate District Court).

The EFM vendor is to work with the court to develop a process where the trial courts assemble an electronic record, package the record on appeal in a uniform manner, and transmit it via an EFSP through the EFM to the respective reviewing court's CMS. A secure portal should be available to reviewing court justices, clerks, and officials to access and

download trial court records received by the reviewing court clerk. All electronic case record transmissions require confirmation of receipt and date/time stamp acknowledgement. As an option, the EFM's Basic EFSP service should provide a free means to transmit the trial court record on appeal to the EFM and directly into the reviewing court's CMS. As well, the EFM vendor should develop specifications for third-party EFSP partners to support the transmission of the electronic records on appeal from a trial court.

Additional Supreme Court Processes

The selected EFM vendor is to work with the Supreme Court Clerk to develop workflows which may be needed for the following programs.

Supreme Court – Limited Liability Law Firms and Corporate Filings – Renewals only

Consistent with statute and Supreme Court Rule 721, law firms that operate as a limited liability entity must register with the Supreme Court. The Supreme Court Clerk's office is responsible for managing Corporation Registration and Annual Renewals. The registration and renewal process requires completion or confirmation of information and payment of the appropriate fees.

The EFM is to work with the Supreme Court Clerk's office to develop a portal, present fillable documents, and provide a workflow where law firms are able to complete and transmit applications (annual renewals) and pay the appropriate fee. Using a web service, entity registration and payment information is to be securely transmitted to the Supreme Court Clerks' case management system.

Supreme Court – Law Class Admissions

The Illinois bar exam results in successful candidates being admitted to the Illinois bar. The EFM service is to work with the Supreme Court Clerk's office to develop a portal where information regarding bar ceremonies can be posted and would allow for the payment of Law License fees. A secure web service would be developed to connect with the Court's case management to transmit the applicant and payment information. Payment status and receipt acknowledgement would be returned to the applicant.

Supreme Court – Certificate of Good Standing

The Supreme Court issues approximately 10,000 certificates of good standing per year. The Clerk's office verifies the attorney's good standing using a data feed from the Attorney Registration and Disciplinary Commission (ARDC).

The EFM may facilitate an individual's ability to request copies of the certificates and pay the appropriate fee. Payment confirmation would be provided to the requestor and payment information securely transmitted to the Clerks' case management system.

Training

The EFM vendor is to describe and implement a training program used to transition each court and partner (CMS and EFSP provider) to the e-Filing system. The training program should provide an overview and video/documentation clearly describing the process and requirements to implement e-Filing. The training program should include details required to integrate a court's CMS, the web service requirements for EFSP service providers, and the ability to test these services / systems. The proposal should outline a test / certification plan to develop and manage the requirements for partners and courts to prepare and implement their e-Filing components and ensure security and accuracy in the exchange of court documents and information.

Support

The EFM vendor is to provide personnel and systems which support the EFM service, its integration with partner systems, and each court on the use of the e-filing system. Support by the EFM vendor should include:

- Help Desk support via phone, e-mail, and online IM during weekdays.
- Illinois court officials, clerks, and technology professionals access to experts and technicians to answer questions, assist with implementations, and resolve issues.
- Documentation – system, user reference, quick reference guides (video and print).
- The EFM vendor will provide Help Desk statistics indicating such information as call volumes, issues and resolutions, down time, registry statistics, and fee statistics.

Mandatory e-Filing Scope and Time line

The central Electronic Filing Manager (EFM) is to be directly integrated with each court's case management system and EFSP services and fully operational under the following timeline:

July 1, 2017 E-Filing of civil cases in the Illinois Supreme Court and the Illinois Appellate Court.

All trial court records on appeal shall be standardized and transmitted using the central EFM service

from each county to the respective reviewing court.

January 1, 2018

E-Filing of civil cases in Illinois Circuit Courts which are not currently operating an approved local e-Filing program (apprx. 87 counties)

After January 1, 2018, an evaluation will be completed of the implementation and operation of the central EFM. The Supreme Court may designate a date certain at which time all remaining Circuit Courts shall transition to the Court's central EFM for civil case e-Filing.

Counties currently operating approved e-Filing systems: Clinton, Cook, DeKalb, DuPage, Kendall, Lake, Madison, Marion, McHenry, Montgomery, Moultrie, Sangamon, St. Clair, Will, Winnebago

Pricing Proposal (under separate cover)

The term of the contract is anticipated to extend through June 30, 2019, with invoices being accepted for agreed upon milestones / deliverables identified in the project plan. The pricing proposals should itemize the costs for the EFM services, support and training, and the implementation of the statewide e-filing system which meets the Court's objectives and time line.

Upon selection of an EFM service partner, the AOIC anticipates proceeding immediately to execute a contract for the agreed upon services. To expedite that review, a copy of the AOIC's Standard Vendor Agreement for Professional Services, Bid Certification, and other documents are available on the Court's website.

Electronic Filing Manager Proposals:

- 1) Proposals are due March 11, 2016. Given the time line associated with the mandatory e-Filing dates, extensions will not be favored.
- 2) Proposals are to include:
 - a. The information identified in this RFI, including a project plan and time line to implement e-Filing in the reviewing courts, trial courts, and include records on appeal.
 - b. Itemized costs (under separate cover).
 - c. AOIC Vendor Bid Certification
- 3) The proposals are to describe the EFM services /portal functions described in this RFI and necessary for:
 - a. Reviewing Court e-Filing and additional Supreme Court processes
 - b. Electronic transmission of court records on appeal (trial court and reviewing courts).
 - c. Circuit Court e-Filing
- 4) Web services and integration plan.
 - a. The proposal is to describe a plan to facilitate the development of web service connectors and technical support provided in working with partners to streamline the implementation and integration of CMS and EFSP services.
 - b. The proposal is to describe the support and training plan for court, EFSP and CMS partners. This includes a framework for the testing and certification of web services and integration of partner systems.
- 5) Description of the vendor's experience in statewide e-filing implementations.
 - a. Background of company and its experience in enterprise e-filing services and projects.
 - b. Examples of existing EFSP service providers which integrate with EFM service in other states / courts.
 - c. Examples of existing court CMS systems which have integrated with EFM service in other states / courts.
- 6) Following vendor selection and execution of a contract, the selected EFM vendor will have 35 days to revise the project plan, services, and costs to meet the needs defined at the outset of the project.