

Vermont Judiciary
Next Generation Case Management System
(NG-CMS)

Project Charter

Version 1.0

Table 1: Revision History

Date	Version	Description	Author
1/25/2016	0.1	Draft created.	Kate Lawrence
2/1/2016	0.2	Updated to remove Appendix A and references to it.	Doug Rowe
2/8/2016	0.3	Updated to include information provided by the Vermont Judiciary during discussion.	Kate Lawrence
2/15/2016	0.4	Updated to include results of the visioning workshop conducted on 2/4/2016.	Kate Lawrence Doug Rowe Andy Flewelling
2/23/2016	0.5	Updated based on 2/19/2016 review and feedback from the VT Judiciary.	Doug Rowe
3/23/2016	0.6	Updated to reflect feedback from VT Judiciary review.	Andy Flewelling
3/31/2016	0.7	Minor edits, Sponsor feedback, cleanup, marked all other comments done.	Sean Thomson
3/31/2016	1.0	Comments removed, tracked changes incorporated and accepted.	Jeffery Loewer and Sean Thomson

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Executive Summary

The Project Charter is a formal mechanism used to define the objectives of the Next Generation Case Management System (NG-CMS) project, including project scope, initial assumptions, preliminary risks and issues, and high-level costs for the project. The Charter also defines the model by which the project will be governed, including an approach for making decisions throughout the project and definitions of project roles. The Project Charter commits resources (human and funding) to the NG-CMS project and must be approved by the project sponsor.

It is important to keep in mind that the NG-CMS is the cornerstone of a larger portfolio of business process improvement initiatives intended to provide the Vermont Judiciary with an operating platform that will carry it well into this century.

Project Charter Organization

The Project Charter is organized into the following sections and subsections:

Executive Summary – This section includes a brief description of the Project Charter, including a subsection describing how the Charter is organized.

Section 1: Project Background and Overview – This section describes the background of the NG-CMS project and the VT Judiciary's vision for its impact.

Section 2: Project Objectives – This section describes the expected outcomes of the project including a list of key performance measures to be taken prior to system implementation. The same measures will be taken at multiple points following implementation to assist in gauging project success.

Section 3: Project Scope – This section describes the scope of the NG-CMS project, including elements that are intended to be impacted by the NG-CMS implementation ("In Scope") and those that are not intended to be impacted ("Out of Scope"). Also included in this section is a list of internal and external stakeholder groups that are likely to be impacted in some manner by the implementation of the NG-CMS.

Section 4: Project Approach and Estimated Cost and Schedule – This section describes the approach that will be taken to plan for and execute the NG-CMS project. It includes an estimate of costs and a high-level schedule of activities.

Section 5: Initial Project Assumptions and Constraints – This section describes a preliminary set of assumptions and constraints that may impact the NG-CMS project. The project is based on the assumptions listed in this section; if any are proven to be false, the project may require adjustments. Identified constraints should be managed with a goal of minimizing their impact on the project.

Section 6: Preliminary Project Risks and Issues – As with the Project Assumptions and Constraints section, a list of preliminary project risks and issues are defined and listed in this section, along with initial mitigation strategies for each to minimize their

impact on the project. Project risks and issues will be actively identified and managed throughout the lifecycle of the project.

Section 7: Project Organization and Governance – This section describes the project governance structure as defined and approved by the Judiciary.

Appendix A: NG-CMS Project Stakeholder Diagram – This appendix includes a diagram that graphically depicts the expected relationship between the NG-CMS and internal and external stakeholders.

Section 1: Project Background and Overview

Background

The Vermont Judiciary is exploring available options for a next generation case management system (NG-CMS). Currently, the Judiciary operates using independent docket management systems in each county. These docket management systems are based on the Vermont Automated Docketing System (VTADS) and were implemented in 1990; VTADS has been maintained and enhanced by the Judiciary's Research & Information Services Division (RIS) since then. VTADS has worked well for 25 years, but the inherent limitations of this legacy system mean that the Vermont Judiciary is unable to utilize the features and functionality that a modern, next generation case management system could provide. Some of the limitations of the VTADS system include: inability to view data statewide; inability to easily and conveniently produce statistics and create reports; and, inability to thoroughly integrate with and make use of the Judiciary's data warehouse. In addition, the current case management process is paper-based. Moving from a paper-based system to a digital business model will increase efficiency, improve access to justice for Vermonters, enhance communication with other agencies, and decrease the amount of storage space needed for physical files.

In 2000–2001, the Judiciary implemented a data warehouse to combine data from its varied systems in order to support statistic generation, data access, and sharing among the courts and state agencies. Currently the data warehouse aggregates data from six of the seven VTADS servers housing sixteen of the eighteen VTADS databases. Two web-based applications called Vermont Case Access System (VCAS) and VT Courts Online allow end-users to search for court case information on a statewide basis. Additionally a web server houses and publishes the report-based online calendars. While the data warehouse has provided improved functionality in some areas, the underlying case management system continues to limit the ability of the Judiciary to move ahead with the flexibility inherent with today's technologies.

In 2009–2012, the Judiciary embarked on a project to replace VTADS and implement an electronic case file system. This project was halted by mutual consent with the vendor over serious concerns about whether the project objectives could be achieved within the original project parameters.

By continuing with its current 25-year-old case management system, the Judiciary is at risk of failure regarding its primary record-keeping source of information. The least desirable option related to the application would be to simply do nothing. Implementing a single, modern, NG-CMS is expected to yield improvements in the usability of the Judiciary systems in virtually every major functional area. Reliance on an outdated application with no external support as the backbone of court operation poses increasing risks to courts and to the public. System failure would be a catastrophe from which the Judiciary would not easily recover.

Vision

The Judiciary continues to be under great pressure to become more efficient with fewer operational resources. VTADS and the processes required to support its operation, including paper-based records, entry of data that resides elsewhere in electronic form, and multiple disparate data sources, hinder business process improvement efforts. The 2010 court restructuring, with its promise to increase management flexibility and operational efficiency, has been hindered and its benefits have not been fully realized, due to a lack of enabling technology. The transformation to an electronic-focused business model will give the Judiciary the flexibility to utilize available resources to accomplish needed work without the constraints of geography, place, and physical files. Leveraging these technologies with automated case data intake, processing, and electronic records storage will free Judiciary resources from tedious clerical work by directing many filing and initiation tasks appropriately into the hands of the filers and into automated workflows.

An NG-CMS will enable users to more easily accomplish the work of the Judiciary with an architecture that encompasses Web and mobile-based user interfaces, flexible workflow, comprehensive definitions of business rules, and robust security features. The system will feature tight integration with electronic filing, and data and document management. The system will specifically target the Judiciary's strategic goals as follows:

- Increased access to effective judicial process for citizens by:
 - Standardizing practices and procedures
 - Ensuring that all files, documents, and other case materials are readily accessible unless prohibited by policy or statute
 - Enabling the Judiciary to be open and accessible to Justice Partners, the Media, and the Public, in both policy and practice.
- Improved justice for citizens. Enabling electronic filing, electronic forms, and data and document management functionality will enhance interaction with the courts for all stakeholders and allow for:
 - Faster justice
 - Efficient justice
 - Effective and informed justice
 - Greater access to accurate and timely judicial information and improved interagency communication
- Automation and integration of Judiciary business processes will lead to:
 - Reduced clerical work performed by staff
 - Increased time for value-add work to be performed by staff
 - Diminished data entry by staff with no duplicative data entry
 - Maximization of data import
 - Maximization of automated decision making
 - Improved functionality, accuracy, and reporting for financial systems

- Data transition from a paper-based system to an electronic system will mean:
 - Geography is irrelevant to court administration
 - The barriers of the physical case file and location will be removed
 - The system will be data-driven, not document-driven
 - Extensive reporting will be possible
 - Users will have the ability to better conduct impact analysis for decision makers and other branches of government
- Enhanced technology:
 - Flexible/expandable to accommodate all future growth for the planned life of the system while allowing for business process reengineering without reliance on external resource (vendor) for reprogramming
 - Device independent

The Judiciary, the State of Vermont, and the Federal government all share the goal of improving the timeliness and effectiveness of interagency communication through the increased use of standards. The NG-CMS will enhance the Judiciary's role as a hub of information for over 20 separate entities. As an information hub, the NG-CMS will have tightly integrated processes and data, inbound and outbound data interfaces, regular outputs to inform consumers, and ad-hoc information portals. These capabilities will strengthen the entire justice system through better, faster, and more accurate communication and tighter data integration.

Section 2: Project Objectives

Selection and implementation of an NG-CMS is expected to meet the following objectives for the Vermont Judiciary:

- Improved access to an effective judicial process through implementation of electronic filing, electronic forms, a data and document management system, electronic case file management, and the digital exchange of information between the courts and external stakeholders
- Improved interagency communication enabled through a single CMS with a single database used by all the courts (rather than a separate CMS at each court location)
- Improved communication with external stakeholders through the use of NIEM-compliant data exchanges
- Conformance to any or all of the following “CourTools Measures” for Trial Courts as defined by the National Center for State Courts (NCSC)¹ and as directed by the Supreme Court:
 - **Access and Fairness:** Ratings of court users on the court's accessibility and its treatment of customers in terms of fairness, equality, and respect.
 - **Clearance Rates:** The number of outgoing cases as a percentage of the number of incoming cases.
 - **Time to Disposition:** The percentage of cases disposed or otherwise resolved within established time frames.
 - **Age of Active Pending Caseload:** The age of the active cases pending before the court, measured as the number of days from filing until the time of measurement.
 - **Trial Date Certainty:** The number of times cases disposed by trial are scheduled for trial.
 - **Reliability and Integrity of Case Files:** The percentage of files that can be retrieved within established time standards and that meet established standards for completeness and accuracy of contents (e.g. *Reduction of case management application data entry errors by xx%; improved data quality by xx% through a reduction of duplicate data entry; a reduction of data entry errors; increased data completeness; a reduction in submission of incomplete forms; conformance with national data requirements*).
 - **Collection of Monetary Penalties:** Payments collected and distributed within established timelines, expressed as a percentage of total monetary penalties ordered in specific cases (e.g. *Improved tracking of all financial collections and*

¹ <http://www.courtools.org/~media/Microsites/Files/CourTools/CourToolsOnline-Final.ashx>

disbursements through the reduction of data entry errors by xx%; reduction in clerk time entering financial transaction data by xx%).

- **Effective Use of Jurors:** Juror Yield is the number of citizens selected for jury duty who are qualified and report to serve, expressed as a percentage of the total number of prospective jurors available. Juror Utilization is the rate at which prospective jurors are used at least once in trial or voir dire.
- **Court Employee Satisfaction:** Ratings of court employees assessing the quality of the work environment and relations between staff and management.
- **Cost Per Case:** The average cost of processing a single case, by case type as determined by the application of total court expenditures, case dispositions (or filings) by major case type, and inventory of all judicial officers and court staff.

In addition to the objectives described above, the Vermont Judiciary expects that the NG-CMS project will be managed on time and within budget. The Judiciary further anticipates standardization of business processes and business rules and practices through business process workflow that will simultaneously leverage the efficiency of automation and ensure adherence to best practices. Increased use of standard practices should result in decrease in the percentage of cases that are resolved outside disposition guidelines.

Increased self-sufficiency is a key goal of the NG-CMS project, for both internal and external stakeholders. This capability includes receiving and processing files electronically from all parties and thereby significantly reducing the number of disparate legacy systems maintained by RIS while increasing functionality, usability, and accessibility. Additionally, implementing case and workflow management tools, leveraging automation, and creating user-centric views into the cases and case data will reduce the Judiciary's reliance on the RIS department to develop and produce reports as the primary case management tools.

As a mechanism for determining progress made against these objectives the Judiciary will conduct an exercise to develop baseline metrics for each of these areas prior to the implementation of the selected NG-CMS. A maturity model will be developed that defines "levels of operational maturity" as internal and external stakeholders utilize the operational NG-CMS.

Mechanisms for developing baseline metrics may include but not be limited to:

- Vermont Weighted Caseload Study of Judicial Officers and Court Staff (January, 2016)
- Vermont Judiciary Annual Statistical Report for FY 2015
- Vermont Judicial Branch Overview – 2014 Legislative Session – Courts, Judiciary Programs, and Performance Measures (Spring, 2014)
 - Timeliness of Case Processing
 - Access and Fairness Survey of Court Users
 - Employee Satisfaction Survey Results

Section 3: Project Scope

The scope of this project includes and excludes the following items:

In Scope

- Electronic filing (e-filing), electronic forms, case management, and data and document management for the Vermont Judiciary, which includes the Supreme Court, the Superior Court, the Judicial Bureau, Attorney Regulation, and the Court Administrator's Office
- Automation of business processes
- Standardization and documentation of all business processes of the judiciary
- Digital interfaces/data exchanges within the court system and between the court system and external stakeholders (to be determined during the NG-CMS project), including transactional and informational capabilities.
- Robust reporting and data retrieval functions for the Judiciary, including:
 - The capability for data extraction
 - The ability to perform ad-hoc reporting
- Training for all users
- Jury Management System (integration with Jury+ or replacement as a core component of the NG-CMS)
- Electronic records management, including:
 - Storage
 - Schedules
 - Archiving
 - Disposal
 - Expungement/sealing
- A Judicial Workbench, including:
 - The ability to manage and display courtroom content and exhibits in addition to the private screen of the judicial officer.
- Management of Financial Systems, including:
 - Accounting
 - Reporting
 - Vendor Payments (jury and bail)
 - Billing
 - Payment Methods
 - e-Payments
 - Point of Sale
- Migration / Conversion of legacy data (to be determined during the NG-CMS project)
- Board of Bar Examiners (BBE)
 - Bar Exam Facilitation and Tracking
- Attorney Licensing (Atty Lic)
 - Fees

- Correspondence
- Continued Education Credits (CLEs)
- Professional Responsibility Board (PRB)
 - This is the Board in Vermont that handles allegations of attorney misconduct

Table 2 depicts the Functional Areas and Business Processes that are within the scope of this project.

Table 2: Functional Areas and Related Business Processes

Functional Area	
1	<p>Case Management</p> <ul style="list-style-type: none"> ● Judge Assignments ● Case Initiation/Intake <ul style="list-style-type: none"> ○ Criminal ("e-Charging," "e-Citations") ○ "e-Filing" ○ Proposed Orders ● Hearings Management ● Scheduling including calendar conflict checking ● Disposition Management ● Case Closure ● Jury Management
2	<p>e-Bench ("Judicial Workbench")</p> <ul style="list-style-type: none"> ● Include Sentence Calculation
3	<p>Financials</p> <ul style="list-style-type: none"> ● Financial Accounting, Receivables, General Ledger ● Payment Methods <ul style="list-style-type: none"> ○ e-Payments ○ Point of Sale ● Financial Reporting ● GAAP Compliance ● Interface to Vermont Finance System (VISION)
4	<p>Courtroom Management</p> <ul style="list-style-type: none"> ● In-court record management including access, case file linking, and display ● Evidence, File Display ● In-Court Data and Docket Entry
5	<p>Docketing, Scheduling, and Calendaring</p>

6	<p><i>Reporting</i></p> <ul style="list-style-type: none"> • Standard Reports • Ad-hoc Reports • Management and Statistical Reporting • NCSC “Courtools” Capabilities
7	<p><i>Case File Features (“Non-Functional”)</i></p> <ul style="list-style-type: none"> • Data and Document Management <ul style="list-style-type: none"> ◦ Document Template Management ◦ Document Management ◦ Redaction ◦ Batch Processing (Letters) • Electronic Media Management • Records Management (retention and archiving) • Electronic signature and electronic certification and notarization • Workflow • Bar Code Scanning
8	<p><i>Data, Usability and Interoperability (“Non-Functional”)</i></p> <ul style="list-style-type: none"> • Grouped Data Processing (multi-case case data, e.g. Juvenile/family) • User Interface (e.g. “Web”) • Mobility • Expunge / Seal Capabilities • Security • Integration of Cases across courts • Electronic Data Exchanges <ul style="list-style-type: none"> ◦ Electronic notifications ◦ Policy automation ◦ Public Access Portals and other means of self-service ◦ NIEM-compliant Exchanges with Internal and External Systems Partners (need to provide a list at some point: Current; Required, Optional) • Standards Compliance <ul style="list-style-type: none"> ◦ COSCA ◦ NACM ◦ NCSC

Out of Scope

- An NG-CMS implementation/system improvement for external agencies in order to allow them to interface with the NG-CMS
- An information website (VermontJudiciary.org portions not related to case management transactions)

- Furniture, Furnishings, and Physical plant adjustments

Stakeholders Affected or Impacted

The impact of this project on all project stakeholders needs to be determined to ensure that the right people and functional areas are involved and communication is directed appropriately. A detailed stakeholder analysis will be conducted during the development of the Project Work Plan (which will include a comprehensive Communication Plan). The purpose of the stakeholder analysis is to ensure that all stakeholders' needs are considered, and that appropriate engagement of the stakeholders is undertaken during the execution of the project.

A preliminary list of project stakeholders is provided below in alphabetical sequence:

- Advocates
 - General and Special Interest
 - Victim Advocates (Department of Corrections)
 - Center for Crime Victim Services (CCVS)
 - Victim Advocates (Attorney General's Office)
 - Victim Advocates (State's Attorney's Offices)
 - Domestic Violence/Sexual Assault
- Alternative Justice Programs
 - Community Justice Centers Community Justice Boards
 - Diversion Programs
 - Pretrial Services
- Assistant Judges
- Collections Agencies
- Community, State, and National Justice Research Organizations
 - National Center for State Courts (NCSC)
 - Vermont Crime Research Group (CRG)
- Congressional Delegation
- Court Administrator's Offices
 - Finance and Administration
 - Operations
 - Planning and Court Services
 - RIS
 - Attorney Regulation Staff
 - Supreme Court Staff
- Federal Agencies and systems, including but not limited to:
 - Federal Bureau of Investigation (FBI)
 - National Crime Information Center (NCIC)
 - National Law Enforcement Telecommunications System (NLETS) Interstate Compact Offender Tracking System (ICOTS)
- Governor and Governor's Office

- Grant Agencies
- Judiciary and State Programs and Task Forces
 - Guardians ad Litem
 - Judicial Conduct Board
 - Justice for Children Task Force
 - Juvenile Justice Programs
 - Professional Responsibility Board
 - Licensing and Transportation Boards
- Justice Partners
- Litigants
 - Attorneys/Members of the Bar
 - Self-represented Litigants (SRLs)
- Local Government and Law Enforcement Entities
 - County Systems/Officials/Local Clerks
 - Police Departments
 - Municipalities
 - Sheriffs
- Media
- Other States
- Probate Judges
- Secretary of State
- Staff and Management of the Court
- Supreme Court
- Tax Payers
- Trial Judges
- Unions
 - Vermont State Employees Association (VSEA)
- U.S. Senators/Member of Congress
- Vermont Agency for Human Services, including but not limited to:
 - Department for Children and Families (DCF)
 - Office of Child Support
 - Department of Corrections (DOC)
 - Pretrial Services (including pre-charge services)
 - Probation and Parole
 - Department of Health
- Vermont Agency of Administration
 - Department of Finance and Management
 - Department of Information and Innovation
- Vermont Agency of Natural Resources
 - Natural Resources Board

- Vermont Agency of Transportation
 - Governor's Highway Safety Program
- Vermont Association of Court Diversion Programs (VACDP)
- Vermont Bar Association
- Vermont Bar Foundation
- Vermont Center for Crime Victim Services
 - State of Vermont Restitution Unit
 - Victims Compensation Program
- Vermont Department of Education
 - Schools/Educators
- Vermont Department of Labor
- Vermont Department of Motor Vehicles
- Vermont Department of Public Safety, including but not limited to:
 - Criminal Justice Services
 - Emergency Management and Homeland Security
 - State Police
 - Vermont Crime Information Center
- Vermont Department of Taxes
- Vermont Legislature
- Vermont Office of the Attorney General
 - Attorneys
- Vermont Office of the Defender General
 - Attorneys
- Vermont Public (including all people in Vermont, regardless of taxation or citizenship status)
- Vermont Public Service Board
- Vermont Public Service Department
- Vermont State Auditor
- Vermont State's Attorneys
- Victims of Crime

Appendix A includes a diagram that depicts the expected relationship between the NG-CMS and stakeholders.

Section 4: Project Approach and Estimated Cost and Schedule

There are five discrete phases planned for the NG-CMS project:

- Exploration
- Initiation
- Planning
- Execution
- Close

Summary Project Schedule

The NG-CMS project began in December 2014 with exploration of the solution landscape, including research into current court case management systems and discussions with states who have recently adopted a court case management system. Upon completing the Exploration phase, the Vermont Judiciary sought an independent consulting firm to help it define case management requirements, develop an RFP for a case management system, assist with procurement, and provide project management support for the implementation. This phase (Initiation) began in October 2015 and is considered complete once a formal NG-CMS project charter (this document) has been developed and approved by the NG-CMS project sponsor.

The Planning phase succeeds the Initiation phase. Within it, the project team will define system requirements, develop the RFP, and manage the procurement process through selection of a vendor and contract negotiation. This process is expected to be completed in spring 2017. As part of the larger initiative, and in parallel with the NG-CMS project, the Judiciary may review and revise selected current business processes in anticipation of the implementation of the replacement system.

In the Execution phase, the system is installed and configured by the selected vendor. Customization of (or coding within) the system is kept to a minimum. However, configuration of workflows arising from business process redesign efforts during the vendor's analysis and design phase are incorporated here. These are not customizations but, rather, are creations and configurations within existing workflow capabilities. The resulting system will be tested, staff will be trained, and the system is anticipated to become operational by mid- to late-2020.

The projects formal completion arises in the Close phase where the NG-CMS is transitioned from "project" status to "operational" status. The specifics regarding the implementation strategy for the NG-CMS will be developed collaboratively between the Vermont Judiciary and the selected NG-CMS vendor. As such, interim (or "phased") deployment of operational functionality is not known at the time of the ratification of the project charter.

Table 2 on the following page provides a summary of the high-level activities planned for each phase, their estimated duration, phase status, and approximate cost. The costs provided in this

table do not include the cost of internal (Vermont Judiciary) resources participating in the project.

Table 3: Summary NG-CMS Project Phases

Project Phase	Planned High-level Activities	Start	End	Status(*)	Estimated Cost
Exploration	<ul style="list-style-type: none"> • Market research • RFI development and issuance 	December 2014	September 2015	Complete	\$25,000
Initiation	<ul style="list-style-type: none"> • Development of a Project Charter 	October 2015	November 2015	In progress	\$20,682
Planning	<ul style="list-style-type: none"> • Identification of NG-CMS Requirements • Development of a NG-CMS RFP • Selection and contract negotiation for an NG-CMS • Site visits to view systems in use 	December 2015	March 2017	In progress	\$323,642
Execution	<ul style="list-style-type: none"> • Installation of selected NG-CMS • Gap Analysis • Configuration and customization of the selected NG-CMS • Testing • Training • Deployment 	March 2017	June 2020	Not started	\$7,500,000 – \$10,000,000 (includes \$441,299 of Project Management Consulting)
Close	<ul style="list-style-type: none"> • Complete Final Deliverable Sign-offs • Document existing solution deficiencies • Conduct an After Action Review • Transition to operational mode for the NG-CMS • Conduct project closeout presentation 	June 2020	June 2020	Not started	\$3,046

(*) As of March 31, 2016

Note - in the above table, total project cost does not include the following:

- Life-Cycle maintenance and refresh
- Selected business process re-engineering, efforts that may run in parallel with the NG-CMS acquisition and implementation project
- Cost for physical plant changes, etc.

Section 5: Initial Project Assumptions and Constraints

Project Assumptions

Certain assumptions need to be made and constraints need to be considered to identify and estimate the required tasks and timing for the project. Based on the current knowledge today, the project assumptions are listed below. If an assumption is invalidated at a later date, then the activities and estimates in the project plan should be adjusted accordingly.

- Commitment to funding from Legislature will continue to be sufficient, including initial \$4.5M appropriation
- Vermont Department of Information and Innovation (DII) infrastructure is available and has sufficient capacity to support the NG-CMS
- A private cloud option will be available for the NG-CMS (The NG-CMS will successfully integrate JUDCloud, the private cloud infrastructure established by the Vermont Judiciary in partnership with DII.)
- The NG-CMS will include replication, backup, and recovery
- The current fully unified Court System in Vermont will not be eroded or reverted to the previous system
- External stakeholders will be able to interface with, and successfully utilize, the Judiciary's NG-CMS
- The Vermont Judiciary has decision autonomy and is self-governing
- Adoption of technology will continue to advance in society and resources will become more receptive to technology
- The Vermont Judiciary has sufficient internal staffing capacity including sufficient resources to backfill personnel committed to project
- Judicial funding will not be reduced (this is separate from project-specific funding)
- The vendor community will be able to support the NG-CMS needs
- The Supreme Court will continue to support the project
- The implementation of the NG-CMS will be completed within five years

Project Constraints

Constraints are limitations placed upon the project that the project manager and team must work within.

- Limited availability of Judicial resources
- Competing projects and priorities
 - Impact on staff, timeline, and money
- Regional labor pool and salary structure
- The Vermont Judiciary is inclined toward "decision by committee"
- Limited funding and resources available for expertise in the field of "best practice" process re-engineering.
- The Judiciary is inclined to be risk-averse

-
- Abilities and capabilities of Justice Partners
 - Abilities and capabilities of current Judiciary resources and systems
 - Budget limitations

Section 6: Preliminary Project Risks and Issues

Project risks are characteristics, circumstances, or features of the project environment that may have an adverse effect on the project or the quality of its deliverables. Known risks identified with this project have been included below. A plan will be put into place to minimize or eliminate the impact of each risk to the project.

Table 4: Preliminary Risks and Issues

Risk and Issue Description	Preliminary High-level Risk and Issue Mitigation Strategy
Project Risks	
1. Key external stakeholders may not be able to interface with the NG-CMS due to older legacy systems	<p>Include a requirement in the resulting NG-CMS RFP for all interfaces to be NIEM compliant.</p> <p>Conduct a stakeholder analysis to determine the needs of internal and external stakeholders.</p> <p>Develop and implement a detailed Communication Plan to ensure that all project stakeholders clearly understand project progress and expectations.</p>
2. Potential shortage of Judicial resources (technical, functional, and project management)	<p>Develop and implement a detailed Resource Plan that describes the resource allocation methodology and, when possible, commits Judicial resources to the project as close to full-time as possible without interrupting operational activities. The Resource Plan will include estimates and projections for Judicial resources required during the project, including backfilling resources as needed.</p>
3. End-user resistance to change	<p>Develop and implement a detailed Communication Plan to ensure that all project stakeholders clearly understand project progress and expectations.</p>
4. Inadequate funding	<p>Ensure the NG-CMS project sponsor has appropriate authority to commit needed funds for the project, including additional back-fill staff. Ensure that funding sources and Legislative appropriations continue at adequate levels.</p>
5. Staff Attrition	<p>To be addressed during the execution of the NG-CMS project.</p>
6. Independence of Trial Judges (may not be in compliance with NG-CMS implementation)	<p>To be addressed during the execution of the NG-CMS project.</p>

Risk and Issue Description	Preliminary High-level Risk and Issue Mitigation Strategy
Project Risks	
7. Political opposition and possible fear	To be addressed during the execution of the NG-CMS project.
8. Possible bias to a specific solution	To be addressed during the execution of the NG-CMS project.
9. Project manager and/or vendor failure	To be addressed during the execution of the NG-CMS project.
10. Failure to follow approved governance model	To be addressed during the execution of the NG-CMS project.
11. Reversion to "decision by committee" in the Judiciary	To be addressed during the execution of the NG-CMS project.
12. Loss of Joint Fiscal Office (JFO) support and confidence	To be addressed during the execution of the NG-CMS project.
13. State procurement process is a risk to the NG-CMS schedule	To be addressed during the execution of the NG-CMS project.
14. Business Process Reengineering activities may not be adequately planned or executed.	Ensure that new and ongoing business process reengineering efforts prepare Judiciary for NG-CMS as opposed to causing redundancy of effort.
Project Issues	
1. Resistance to centralization and standardization	To be addressed during the execution of the NG-CMS project.
2. Differing Judiciary "stovepipe" competing agendas	To be addressed during the execution of the NG-CMS project.
3. Current Customized Business Processes and Local Practices do not currently support best practices and are barriers to the advancement of VT Judiciary vision and goals.	To be addressed during the execution of the NG-CMS project.

Section 7: Project Organization and Governance

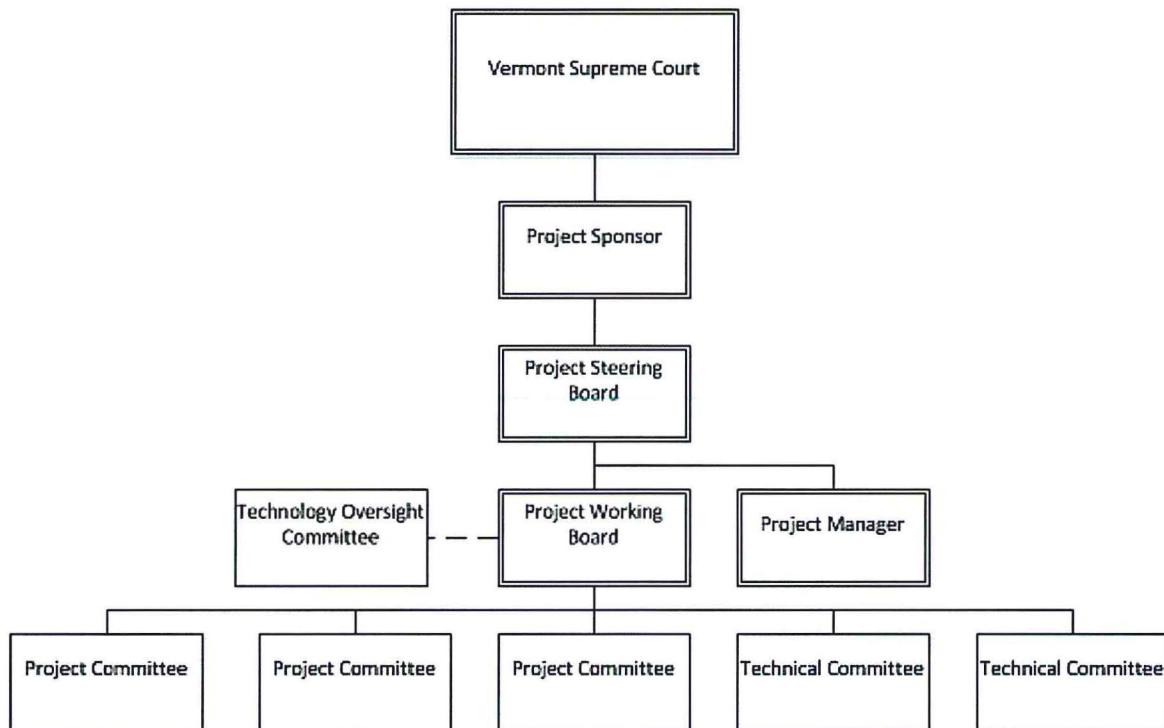
A formal project governance model has been ratified by the Vermont Judiciary leadership. The approved NG-CMS Initiative Governance Committees Charge and Designation document can be found [here](#). The governance structure is comprised of Project Leadership, a Project Steering Board, a Project Working Board, and a set of Project Technical Committees. These are defined in detail within the NG-CMS Initiative Governance Committees Charge and Designation document and are summarized in the table below:

Table 5: Project Roles

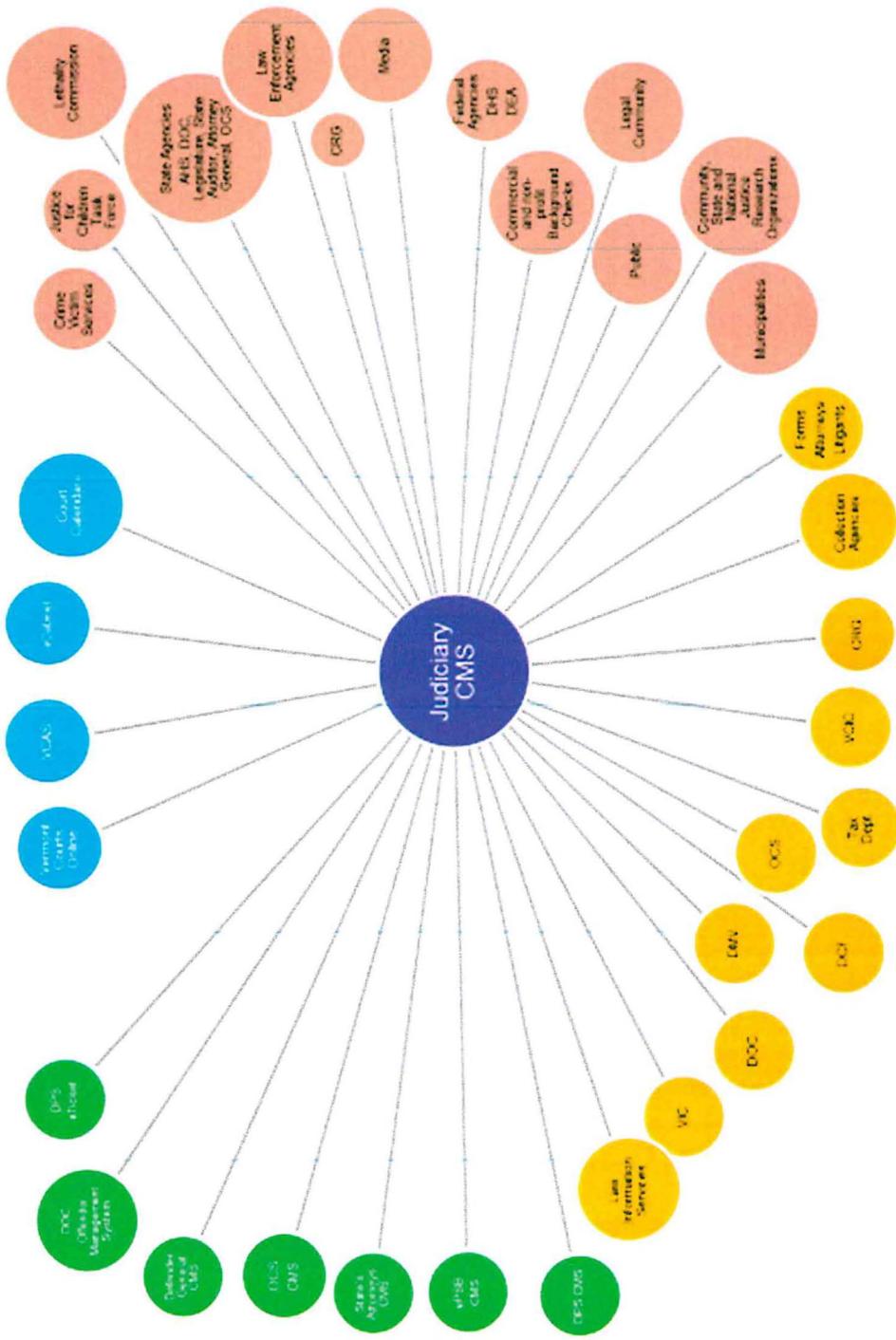
Role	Current Membership
Project Leadership	
Project Sponsor	State Court Administrator
RIS Management	Judiciary Chief Information Officer Manager of Applications
Project Manager	BerryDunn
Project Steering Board	
Patricia Gabel, Esq.	Project Sponsor; State Court Administrator
Jeff Loewer	Chief Information Officer
Matt Riven	Chief of Finance and Administration
Tari Scott	Chief of Trial Court Operations
Honorable Brian Grearson	Chief Superior Judge
Honorable Kate Hayes	Superior Judge
Teri Corsones	Superior Court Clerk
Honorable John A. Dooley	Supreme Court Associate Justice
Honorable Beth Robinson	Supreme Court Associate Justice
Project Working Board	
Sean Thomson	Manager of Applications
Honorable Thomas Durkin	Judge
Honorable Kathleen Manley	Judge
Gabrielle Lapointe	Statewide Court Clerk
Christine Brock	Superior Court Clerk
(Currently vacant)	Court Operations Manager

Kelly Carbo	Finance
Chasity Stoots-Fonberg	Trial Court Operations Program Manager
Project Technical Committees	
Membership to be determined based on project necessity	

Project Governance Chart



Appendix A: NG-CMS Project Stakeholder Diagram



Approvals

Table 6: Project Charter Approvals

Role	Name and Title	Signature	Date
Project Sponsor	Patricia Gabel, Esq.		3/31/16