

# Request for Proposals



Department of Executive Services  
Finance and Business Operations Division  
**Procurement and Contract Services Section**  
206-263-9400 TTY Relay: 711

**ADVERTISED DATE: MARCH 12, 2015**

Request for Proposal (RFP) Title: **Unified Case Management System for King County District Court (KCDC)**

RFP Number: **1009-15-PCR**

Due Date: **April 23, 2015 - 2:00 p.m. PST**

Buyer: Paul Russell, [paul.russell@kingcounty.gov](mailto:paul.russell@kingcounty.gov) 206-245-9798

Alternate Buyer: Amon Billups, [amon.billups@kingcounty.gov](mailto:amon.billups@kingcounty.gov) , 206-263-9306

**Pre-proposal Conference:**

A conference to discuss questions related to this RFP will be held,  
**March 23, 2015 at 1:00 p.m. PST**  
King County Chinook Building,  
401 Fifth Avenue, 1<sup>st</sup> Floor - Room  
126, Seattle, WA, 98104  
Dial-in number is 206-263-8114,  
Conference ID 802017

Sealed Proposals are hereby solicited and will **only** be received by:

King County Procurement Services Section  
Chinook Building, 3rd Floor  
401 Fifth Avenue  
Seattle, WA 98104

Office Hours: 8:00 a.m. – 5:00 p.m. PST  
Monday - Friday

**We acknowledge that all Addenda issued for this RFP have been examined as part of the proposal documents.**

Company Name

Address

City/State /Postal Code

Signature

Authorized Representative / Title

Email

Phone

Fax

Contact Name:

Phone

Email

Prime Proposer SCS Certification number (if applicable)

Sub-Consultant SCS Certification number (if applicable)

Upon request, this Request for Proposals will be provided in alternative formats such as Braille, large print, audiocassette or computer disk for individuals with disabilities.

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## **DEFINITION OF WORDS AND TERMS APPLICABLE ONLY TO INSTRUCTION OF THE RFP**

Words and terms shall be given their ordinary and usual meanings. Where used in the Contract documents, the following words and terms shall have the meanings indicated. The meanings shall be applicable to the singular, plural, masculine, feminine and neuter of the words and terms.

**Addendum/Addenda:** Written additions, deletions, clarification, interpretations, modifications or corrections to the solicitation documents issued by the County during the Proposal period and prior to contract award.

**Best and Final Offer:** Best and Final Offer shall consist of the Proposer's revised proposal and any supplemental information requested during the evaluation of Proposals. In the event of any conflict or inconsistency in the items submitted by the Proposer, the items submitted last govern.

**Competitive Range:** The Competitive Range consists of the Proposers that have a reasonable chance of selection for contract award. The Proposal Evaluators (PE) shall conduct the initial evaluation of the proposals considering price and Evaluation Factors established in the RFP. The Buyer and Project Manager/PE together shall compare the evaluations and determine the Competitive Range. The Competitive Range may be reduced after the evaluation of additional information, Best and Final Offers and negotiations.

**Criteria, Evaluation Criteria or Evaluation Factors:** The elements cited in the RFP that the County shall examine to determine the Proposers understanding of the requirements; technical, business and management approach; key personnel; qualification and experience of the Proposer; potential for successfully accomplishing the Contract; risk allocation and the probable cost to the County.

**Days:** Calendar days.

**Proposal Evaluators (PE):** Team of people appointed by the County to evaluate the proposals, conduct discussions, call for Best and Final Offers, score the proposals and make recommendations.

**Proposer:** Individual, association, partnership, firm, company, corporation or a combination thereof, including joint ventures, submitting a proposal to perform the Work.

**RFP:** Request for Proposals, also known as the solicitation document.

**Reference Documents:** Reports, Specifications, and drawings which are available to Proposers for information and reference in preparing proposals but not as part of this Contract.

## SECTION 1 PROPOSAL PREPARATION

### 1.1 Proposal Submission

Proposers are encouraged to use recycled paper in the preparation of additional documents submitted with this solicitation, and shall use both sides of paper sheets where practicable.

Sealed proposals shall contain all required attachments and information and be submitted to King County (hereinafter "County") no later than the date, time and place stated on the front of this RFP or as amended. The proposals shall show the title and number, the due date specified, and the name and address of the Proposer on the face of the envelope. Proposers are cautioned that failure to comply may result in non-acceptance of the proposal. The Proposer accepts all risks of late delivery of mailed proposals or of misdelivery regardless of fault. Proposals properly and timely submitted will be publicly opened.

Proposals will only be accepted from Contractors able to complete the delivery of goods or services described in the specifications. Joint ventures shall submit one proposal for the team, with accompanying proof of the joint venture agreement.

If a company chooses not to submit a proposal, the County requests the company advise the Buyer by email if they desire to remain listed for the subject of this RFP and state the reason they did not submit a proposal.

### 1.2 Electronic Commerce and Correspondence

King County is committed to reducing costs and facilitating quicker communication to the community by using electronic means to convey information. As such, most Invitations to Bid, Requests for Proposal, and Requests for Qualifications as well as related exhibits, appendices, and issued addenda can be found on the King County Internet Web Site, located at <http://www.kingcounty.gov/procurement>. Current bidding opportunities and information are available by accessing the "**Solicitations**" tab in the left hand column.

King County Procurement Services features an **Online Vendor Registration (OVR)** program that permits vendors, consultants and contractors to register their business with the County. This OVR system allows interested parties to either directly register their firm by creating a unique user ID, or to visit the website as a guest. Information regarding bid documents will be available to all users; however, site visitors accessing the site as a guest will not be able to document their interest in a project or add their name to the document holder's list. They will receive no automatic notification of issued addenda. As such, the County encourages full registration in order to directly communicate with document holders regarding any issued addenda or other important information concerning the solicitation.

After submittals have been opened in public, the County will post a listing of the businesses submitting proposals, and later, any final award determination.

Full information on vendor registration is available at the website.

Note - the following Attachments and Exhibits, along with the electronic version of this RFP, are available at the Procurement website (<http://www.kingcounty.gov/procurement>):

Attachment <b>A</b>	Pricing Questions
Attachment <b>A1</b>	COTS Pricing
Attachment <b>A2</b>	SaaS Pricing
Attachment <b>A3</b>	Canned Reports

Attachment <b>A4</b>	System-Generated Forms
Attachment <b>A5</b>	Interface Pricing
Attachment <b>B</b>	Company Information
Attachment <b>C</b>	Functional Requirements
Attachment <b>D</b>	Non-Functional Requirements
Attachment <b>E</b>	Technical Requirements
Attachment <b>F</b>	Delivery and Project Schedule
Exhibit <b>1</b>	Current Computerized Processes
Exhibit <b>2</b>	Vision For a New UCMS
Exhibit <b>3</b>	Interfaces and Data Exchanges
Exhibit <b>3a</b>	AOC Screen Scraping
Exhibit <b>3b</b>	JIS Data Standards
Exhibit <b>4</b>	Data to be Converted
Exhibit <b>5</b>	King County Supported Technologies
Exhibit <b>6a</b>	Password Management Policy
Exhibit <b>6b</b>	Encryption Standards
Exhibit <b>6c</b>	Protected Electronic Information Policy
Exhibit <b>7a</b>	Contract (COTS)
Exhibit <b>7a-1</b>	Software License Agreement (COTS)
Exhibit <b>7a-2</b>	Software Maintenance Agreement (COTS)
Exhibit <b>7b</b>	Contract (SaaS)
Exhibit <b>7b-1</b>	Performance Requirement (SaaS)
Exhibit <b>7c</b>	Source Code Escrow Agreement
Exhibit <b>8</b>	Detailed Project Timeline
Exhibit <b>9</b>	Implementation Logistics
Exhibit <b>10</b>	Financial Law Table Examples
Exhibit <b>11</b>	Sample Financial Reports

### **1.3 Late Proposals**

Proposals, modifications of proposals, received at the office designated in the solicitation after the exact hour and date specified for receipt will not be considered.

### **1.4 Cancellation of RFP or Postponement of Proposal Opening**

The County reserves the right to cancel this RFP at any time. The County may change the date and time for submitting proposals prior to the date and time established for submittal.

## 1.5 Proposal Signature

Each proposal shall include a completed Proposal response form, the first page of this document, signed by an authorized representative of the Proposer.

## 1.6 Addenda

If at any time, the County changes, revises, deletes, clarifies, increases, or otherwise modifies the RFP, the County will issue a written Addendum to the RFP.

## 1.7 Questions and Interpretation of the RFP

No oral interpretations of the RFP will be made to any Proposer. All questions and any explanations must be requested in writing and directed to the Buyer no later than **five (5)** Days prior to the due date specified in the solicitation. Oral explanations or instructions are not binding. Communications concerning this RFP with other than the listed Buyer or Procurement staff may cause the Proposer to be disqualified. Any information modifying a solicitation will be furnished to all Proposers by addendum.

## 1.8 Schedule

<u>Month/Day/Year</u>	<u>Event</u>
See cover	Public announcement of Request for Proposals
March 18, 2015	Pre-proposal questions due, in writing
See cover	Pre-proposal conference
See cover	Proposals due no later than 2:00 p.m. PST
May 4, 2015	*Begin Evaluation of Proposals
June 1, 2015	*Begin Interviews/Demonstrations/conduct Site Visits if applicable
July 1, 2015	*Begin Negotiations
July – August 2015	*Execute Contract

\*NOTE: Events preceded by an asterisk are estimated dates. Estimated dates are for informational purposes only.

## 1.9 Pre-Proposal Conference

A pre-proposal conference will be held at the time, date and location indicated on the cover page of the RFP. All prospective Proposers are strongly encouraged to attend. The intent of the pre-proposal conference is to assist the Proposers to more fully understand the requirements of this RFP. Proposers are encouraged to submit questions in advance to enable the County to prepare responses; these questions should be E-mailed to the Buyer. Questions will be encouraged during the pre-proposal conference also. You may attend in person or call in to the phone # on the Cover.

## 1.10 Examination of Proposal and Contract Documents

The submission of a proposal shall constitute an acknowledgement upon which the County may rely that the Proposer has thoroughly examined and is familiar with all requirements and documents pursuant with the RFP, including any addenda and has reviewed and inspected all applicable statutes, regulations, and ordinances addressing or relating to the goods or services to be provided hereunder.

The failure of a Proposer to comply with the above requirement shall in no way relieve the Proposer from any obligations with respect to its proposal or to any Contract awarded pursuant to this RFP. No claim for additional compensation shall be allowed which is based upon a lack of knowledge or misunderstanding of this RFP.

#### **1.11 Cost of Proposals and Samples**

The County is not liable for any costs incurred by Proposer in the preparation and evaluation of proposals submitted. Samples of items required must be submitted to the location and at time specified. Unless otherwise specified, samples shall be submitted with no expense to the County. If not destroyed by testing, samples may be returned at the Proposer's request and expense unless otherwise specified.

#### **1.12 Modifications of Proposal or Withdrawal of Proposal Prior to Proposal Due Date**

At any time before the time and date set for submittal of proposals, a Proposer may submit a modification of a proposal previously submitted to the County. All proposal modifications shall be made in writing, executed and submitted in the same form and manner as the original proposal.

Proposals may be withdrawn by written notice received prior to the exact hour and date specified for receipt of proposals. A proposal also may be withdrawn in person by a Proposer or authorized representative provided their identity is made known and they sign a receipt for the proposal, but only if the withdrawal is made prior to the exact hour and date set for receipt of proposals. All requests for modification or withdrawal of proposals, whether in person or written, shall not reveal the amount of the original proposal.

#### **1.13 Proposal Withdrawal After Public Opening**

Except for claims of error granted by the County, no Proposer may withdraw a proposal after the date and time established for submitting proposals, or before the award and execution of a Contract pursuant to this RFP, unless the award is delayed for a period exceeding the period for proposal effectiveness.

Requests to withdraw a proposal due to error must be submitted in writing along with supporting evidence for such claim for review by the County. Evidence must be delivered to the County within two (2) Days after request to withdraw. The County reserves the right to require additional records or information to evaluate the request. Any review by the County of a proposal and/or any review of such a claim of error, including supporting evidence, creates no duty or liability on the County to discover any other proposal error or mistake, and the sole liability for any proposal error or mistake rests with the Proposer.

#### **1.14 Error and Administrative Corrections**

The County shall not be responsible for any errors in proposals. Proposers shall only be allowed to alter proposals after the submittal deadline in response to requests for clarifications or Best and Final Offers by the County.

The County reserves the rights to allow corrections or amendments to be made that are due to minor administrative errors or irregularities, such as errors in typing, transposition or similar administrative errors.



## 1.15 Proposal Content Requirements

A. The proposal shall contain the following items and follow the sequence outlined below:

### Sec. 1 & 2 – Instructions and Information about the RFP Process

Cover sheet with Proposer's Signature

Compliance Forms:

- Equal Benefit Worksheet and Declaration
- [Internal Revenue Service Form W-9 \\*](#)

\*If not on file with the County within the past two years.

Compliance forms are available for download at

<http://www.kingcounty.gov/procurement/forms>, Goods and Services web page.

### Sec. 3 – Scope of Work and Proposal Requirements

Executive Summary or Overview of Proposal – three pages maximum

Proposer's Response to RFP Questions

Price Proposal in Attachment A, A1, A2 (if applicable) A3, A4 and A5

If applicable, Small Contractors and Suppliers (SCS) participation Information requested in Section 2.2

B. Letters of Acceptance

1. Letter of Acceptance – Compliance with RFP Scope of Work, Attachment A and any Addenda change

Refer to Subsection 1.16.

Identify any exceptions to with a letter signed by Proposer's attorney or authorized representative.

2. Letter of Acceptance - Exhibit 7a or 7b –Contract and any Addenda change

Refer to Subsection 1.17.

Identify any exceptions to with a letter signed by Proposer's attorney or authorized representative.

C. Submit per instructions in Section 3 Submittal Checklist

## 1.16 Compliance with RFP Terms, Attachments and Addenda

A. The County intends to award a Contract based on the terms, conditions, attachments and addenda contained in this RFP. Proposers shall submit proposals, which respond to the requirements of the RFP.

B. Proposers are strongly advised to not take exceptions to the terms, conditions, attachments and addenda. Exceptions may result in rejection of the proposal. An exception is not a response to a proposal requirement. If an exception is taken, a 'Notice of Exception' must be submitted with the proposal. The 'Notice of Exception' must identify the specific point or points of exception and provide an alternative.

- C. The County reserves the right to reject any proposal for any reason including, but not limited to, the following –
- Any proposal which is incomplete, obscure, irregular or lacking necessary detail and specificity;
  - Any proposal that has any qualification, limitation, exception or provision attached to the proposal;
  - Any proposal from Proposers who (in the sole judgment of the County) lack the qualifications or responsibility necessary to perform the Work;
  - Any proposal submitted by a Proposer which is not registered or licensed as may be required by the laws of the state of Washington or local government agencies;
  - Any proposal from Proposers who are not approved as being compliant with the requirements for equal employment opportunity; and
  - Any proposal for which a Proposer fails or neglects to complete and submit any qualifications information within the time specified by the County.
- D. The County may, at its sole discretion, determine that a proposal with a ‘Notice of Exception’ merits evaluation. A proposal with a ‘Notice of Exception’ not immediately rejected may be evaluated, but its competitive scoring shall be reduced to reflect the importance of the exception. Evaluation and negotiation shall only continue with the Proposer if the County determines that the proposal continues to be advantageous to the County.
- E. In consideration for the County’s review and evaluation of its proposal, the Proposer waives and releases any claims against the County arising from any rejection of any or all proposals, including any claim for costs incurred by Proposers in the preparation and presentation of proposals submitted in response to this RFP.
- F. Proposals shall address all requirements identified in this RFP. In addition, the County may consider proposal alternatives submitted by Proposers that provide cost savings or enhancements beyond the RFP requirements. Proposal alternatives may be considered if deemed to be in the County’s best interests. Proposal alternatives shall be clearly identified.

### **1.17 Acceptance of Contract, Attachments and Addenda**

Proposer(s) shall review Exhibits 7a and 7b “Contracts”, and all of the respective attachments, and submit a signed letter by their attorney or authorized legal representative stating they intend to comply with all the terms and conditions. The signed letter shall be submitted with the proposal.

If there are exceptions taken to the terms and conditions in the Contract and/or any of the attachments, the Proposer’s attorney or authorized legal representative shall sign an exception letter describing reasoning for the exceptions and include the exception letter and the Contract as an attachment to the proposal, identifying the exceptions and proposed changes. All proposed changes shall be tracked in Exhibits 7a and 7b Contract using the tracking changes feature in Microsoft Word®.

The project schedule is such that it requires a very efficient proposal review and negotiation period. It is very important that any possible exceptions the Proposer may have with the

terms and conditions are identified during the proposal process and resolved determining if a proposal is within the competitive range.

### **1.18 Forms Required before Contract Signing**

The Proposer shall submit, within five (5) Days of notification by the County, the insurance certificate and endorsement meeting the levels of coverage set forth in this RFP.

### **1.19 Collusion**

If the County determines that collusion has occurred among Proposers, none of the proposals from the participants in such collusion shall be considered. The County's determination shall be final.

### **1.20 Proposal Price and Effective Date**

- A. The proposal price shall include everything necessary for the execution and completion of Work under the Contract including but not limited to furnishing all materials, equipment, supplies, tools, plant and other facilities and all management, supervision, labor and service, except as may be provided otherwise in this RFP. Proposed Prices shall include all freight charges, FOB to the designated delivery point. Washington State sales/use taxes and Federal excise taxes shall not be included in the proposal price. The County shall pay any Washington State sales/use taxes applicable to the Contract price or tender an appropriate amount to the Contractor for payment to Washington State. The County is exempt from Federal excise taxes. All other government taxes, duties, fees, royalties, assessments and charges shall be included in the Proposal price.
- B. In the event of a discrepancy between the unit price and the extended amount for a proposal item, the County reserves the right to clarify the Proposal.
- C. The proposal shall remain in effect for **180** Days after the proposal due date, unless extended by agreement.

### **1.21 Procedure When Only One Proposal Is Received**

If the County receives a single responsive, responsible proposal, the County may request an extension of the proposal acceptance period and/or conduct a price or cost analysis on such proposal. The Proposer shall promptly provide all cost or pricing data, documentation and explanation requested by the County to assist in such analysis. By conducting such analysis, the County shall not be obligated to accept the single proposal; the County reserves the right to reject such proposal or any portion thereof.

### **1.22 Protest Procedures**

King County has a process in place for receiving protests based upon the RFP or contract awards. The protest procedures are available at <http://www.kingcounty.gov/procurement/faq>, Suppliers web page.

### **1.23 Supported Employment Program**

The County encourages the creation of supported employment programs for developmentally and/or severely disabled individuals. The County itself has such a program and is actively seeking to do business with those Contractors and Consultants that share this employment approach. If your firm has such a program, or intends to develop such a program during the life of this Contract, please submit Documentation supporting this claim

with your proposal. If you have questions, or need additional information, please contact the Community and Human Services Division, Developmental Disabilities Division, 206-296-5268.

#### **1.24 Funding**

Funding for any contract, which may be awarded under this RFP, has not been fully appropriated. Any contract may be executed in advance of a full appropriation. A Notice to Proceed (NTP) will not be issued until after funding has been obtained. Until this condition is met and a written Notice to Proceed is issued by King County, King County will not be liable for any payments, fees, expenses, compensation or other costs under the contract.

## **SECTION 2 PROPOSAL EVALUATION AND CONTRACT AWARD**

### **2.1 Proposal Evaluation**

- A. The County will evaluate proposals using the criteria set forth in this RFP. If deemed necessary, written and/or oral discussions, site visits or any other type of clarification of proposal information may be conducted with those Proposers whose proposals are found to be within the Competitive Range. Identified deficiencies, technical requirements, terms and conditions of the RFP, costs or prices, and clarifications may be included among the items for discussion. The discussions are intended to give Proposers a reasonable opportunity to resolve deficiencies, uncertainties and clarifications as requested by the County and to make the cost, pricing or technical revisions required by the resulting changes. In addition, the County may request additional business and administrative information.
- B. The County may find that a Proposer appears fully qualified to perform the Contract or it may require additional information or actions from a Proposer. In the event the County determines that the proposal is not within the Competitive Range the County shall eliminate the proposal from further consideration.
- C. The evaluation of Proposers' proposals and additional information may result in successive reductions of the number of proposals that remain in the Competitive Range. If applicable to the procurement, the firms remaining in the Competitive Range may be invited to continue in the proposal evaluation process, and negotiations.
- D. Upon completion of discussions, the County may issue to all remaining potentially acceptable Proposers within the Competitive Range a request for Best and Final Offers. The request shall include notice that discussions are concluded, an invitation to submit a revised proposal with a Best and Final Offer, and a new submittal date and time.
- E. The County may enter negotiations with one or more Proposers to finalize Contract terms and conditions. Negotiation of a Contract shall be in conformance with applicable federal, state and local laws, regulations and procedures. The objective of the negotiations shall be to reach agreement on all provisions of the proposed Contract. In the event negotiations are not successful, the County may reject proposals.
- F. The County reserves the right to make a Contract award without written and/or oral discussions with the Proposers and without an opportunity to submit Best and Final Offers when deemed to be in the County's best interests. Contract award, if any, shall be made by the County to the responsible Proposer whose proposal best meets the requirements of the RFP, and is most advantageous to the County, taking into consideration price and the other established evaluation factors. The County is not required to award a Contract to the Proposer offering the lowest price. The County shall have no obligations until a Contract is signed between the Proposer and the County. The County reserves the right to award one or more contracts as it determines to be in its best interest.

### **2.2 King County Contracting Opportunities Program**

The purpose of the King County Contracting Opportunities Program is to maximize the participation of Small Contractors and Suppliers (SCS) through the use of rating points in

the award of King County competitively solicited contracts for the acquisition of technical services. The program is open to all firms that are certified as an SCS by King County’s Business Development and Contract Compliance Office.

A “Small Contractors and Suppliers” (SCS) means that a business and the person or persons who own and control it are in a financial condition, which puts the business at a substantial disadvantage in attempting to compete for public contracts. The relevant financial condition for eligibility under the Program is available online at [www.kingcounty.gov/scscertification](http://www.kingcounty.gov/scscertification).

A “Certified Firm” means a business that has applied for participation in King County’s Contracting Opportunities Program, and has been certified as an SCS by the King County Business Development and Contract Compliance (BDCC) office. Information about becoming a Certified Firm, as well as a list of Certified Firms, may be obtained by visiting the King County’s Contracting Opportunities Program Website address: <http://www.kingcounty.gov/exec/BusinessDev/contractingopps.aspx> or contacting the BDCC office at 206-263 9731.

In the evaluation of proposals, 100 points will be allotted for SCS participation. King County will count only the participation of SCSs that are certified by King County at the date and time of proposal submittal. After tabulation of the selection criteria points of all prime submitters, 100 points shall be added to the score of all proposals that meet at least one of the two following sub-criterion:

1. If the Prime submitter who is an SCS firm and includes the SCS certification number on page one of this submittal is eligible to receive the maximum points for this criterion.
2. If the Prime submitter is not an SCS but will use SCSs for at least 10% of the total contract labor hours in the work to be performed in this contract, and who complete the following table and include it in their proposal submission:

<b>SCS Certification Number</b>	<b>Sub-Consultant Name</b>	<b>Contact Name / Phone</b>	<b>Work to be performed</b>	<b>Percentage of Total Hours</b>

SCS participation shall be counted only for SCSs performing a commercially useful function according to custom and practice in the industry. A commercially useful function is defined as a specific scope of work for which the SCS has the management and technical expertise to perform using its own workforce and resources.

### **2.3 Responsive and Responsible**

#### **Responsive**

The County will consider all the material submitted by the Proposer, and other evidence it may obtain otherwise, to determine whether the Proposer is in compliance with the terms and conditions set forth in this RFP.

## **Responsible**

In determining the responsibility of the Proposer, the County may consider:

- The ability, capacity and skill to perform the Contract and provide the service required;
- The character, integrity, reputation, judgment and efficiency;
- Financial resources to perform the Contract properly and within the times proposed. The quality and timeliness of performance on previous contracts with the County and other agencies, including, but not limited to, the effort necessarily expended by the County and other agencies in securing satisfactory performance and resolving claims;
- Compliance with federal, state and local laws and ordinances relating to public contracts;
- Other information having a bearing on the decision to award the Contract.

Failure of a Proposer to be deemed responsible or responsive may result in the rejection of a proposal.

### **2.4 Financial Resources and Auditing**

Using Attachment B, Part 6, the Proposer shall submit proof of adequate financial resources that would be available to the Proposer for the execution and completion of the work as required. Required financial information may include, but not be limited to, the following:

- A. Audited financial statements (balance sheets, statements of income and stockholders' equity, and statements of cash flows) for each of the most recently completed three fiscal years, including notes to financial statements, independent auditors' reports, annual reports to stockholders, and SEC Form 10K reports (for publicly held corporations).
- B. Certification by the chief financial officer or the Proposer's independent auditor stating that the Proposer has adequate financial resources for the prosecution and completion of the work called for hereunder.
- C. The names, addresses, e-mail addresses, telephone and fax numbers of at least one contact person from the Proposer's principal financial or banking organization and the Proposer's independent auditor. The contact persons shall be duly authorized by the Proposer to provide information and discuss the adequacy of the Proposer's financial resources. Upon the County's request, the Proposer shall provide written authorization permitting the County or its designee access to information documenting the adequacy of the Proposer's financial resources.
- D. A current copy of the Proposer's Dun and Bradstreet report(s), if requested by the County. King County reserves the right to audit the Contractor throughout the term of this contract to assure the Contractor's financial fitness to perform and comply with all terms and conditions contained within this contract. King County will be the sole judge in determining the Contractor's financial fitness in carrying out the terms of this contract.

## 2.5 Evaluation Criteria and Proposal Scoring

Each proposal has a total possible score of 1,000/1,300 points with the points assigned as follows:

	<b>Proposal Evaluation Criteria</b>	<b>Points</b>
<b>Pricing</b> Attachment A Attachment A1 Attachment A2 Attachment A3 Attachment A4 Attachment A5	Proposal Price, Refer to Criteria in Attachment A Optional Proposers may be requested to submit revised pricing information	200
<b>Requirements</b> Attachment A3 Attachment A4 Attachment A5 Attachment C Attachment D Attachment E	<ul style="list-style-type: none"> <li>• Ability to meet technical requirements</li> <li>• Quality and Performance of system</li> <li>• Additional System Capabilities</li> <li>• System Design, Integration and Training</li> <li>• Unified Case Management System Detail</li> <li>• Support and Maintenance</li> </ul>	400
<b>Management</b> Attachment B Attachment F	<ul style="list-style-type: none"> <li>• Proposer Qualifications</li> <li>• Financial Stability</li> <li>• Site Visits to Customers of Proposer</li> <li>• Overview and Project Methodology</li> <li>• Company Information</li> <li>• Proposer Delivery and Project Schedule</li> </ul>	200
<b>Terms And Conditions</b>	Compliance with Contract Terms and Conditions	100
<b>SCS</b>	Small Contractors and Supplier Certification/Participation	100
	<b>Total possible Written</b>	<b>1,000</b>
<b>Demonstration and Reference Checks</b> Attachment B	Demonstration and Interview, if conducted Customer References, if reviewed	300
	<b>Total Evaluation</b>	<b>1,300</b>

Note: there are both Pricing elements and Requirement elements in Attachments A3, A4, and A5; therefore the respective information is scored separately under Pricing and under Requirements.

## 2.6 Public Disclosure of Proposals

This procurement is subject to the Washington Public Records Act, RCW (Revised Code of Washington) Chapter 42.56 RCW. Proposals submitted under this RFP shall be considered public documents unless the documents are exempt under the public disclosure laws. After



a decision to award the contract has been made, the proposals shall be available for inspection and copying by the public.

If a Proposer considers any portion of its proposal to be protected under the law, the Proposer shall clearly identify each such portion with words such as "CONFIDENTIAL," "PROPRIETARY" or "BUSINESS SECRET." If the County determines that the material is not exempt from public disclosure law, the County will notify the Proposer of the request and allow the Proposer ten (10) Days to take whatever action it deems necessary to protect its interests. If the Proposer does not take such action within said period, the County will release the portions of the proposal deemed subject to disclosure. By submitting a proposal, the Proposer assents to the procedure outlined in this subsection and shall have no claim against the County on account taken under such procedure.


### **SECTION 3 Submittal Checklist**

1. One (1) unbound original signed submittal response marked "Original".
2. Nine (9) copies of entire submittal response.
  - Per order in Subsection 1.15
  - Include all pricing in Attachment A, A1 and/or A2
  - Include all pricing and all responses to Canned Reports in Attachment A3
  - Include all pricing and all responses to System-Generated Forms in Attachment A4
  - Include all pricing for Interfaces in Attachment A5
  - Include all responses to Company Information in Attachment B
  - Include all responses to Functional Requirements in Attachment C
  - Include all responses to Non-Functional Requirements in Attachment D
  - Include all responses to Technical Requirements in Attachment E
  - Include Delivery and Project Schedule in Attachment F
  - Include signed Letters of Acceptance (or Exception if applicable) as to Compliance with RFP Scope of Work, Attachment A and any Addenda change from Subsection 1.16,
  - Include signed Letter of Acceptance (or Exception if applicable) as to Contract and Attachments from Subsection 1.17
  - Provide a Letter from your insurance broker that your firm can meet the insurance requirements listed in Exhibit 7a Section 3 and/ or Exhibit 7b Section 3
3. Two (2) CD-ROMs or Flash drive, including BOTH
  - a native version in Word of submittal response and also in PDF
  - a native version in Excel of Attachment A-Price A1 COTS Price and/or A2 SaaS Price (if applicable) and also in PDF.

If you have samples or attachments to your submittal, please include them also on the CD-ROM. (label your CD or Flash drive with company's name and contents)
4. Complete the Proposal Identification Label following (or reasonable facsimile) and attach it to a prominent place on the exterior of the submission envelope, box, etc.

**PROPOSAL LABEL**

Complete the form below (or reasonable facsimile) and affix to the exterior lower left hand corner of the submission envelope(s), box (es), etc.

<b>URGENT – SEALED PROPOSAL ENCLOSED</b> <b>Do Not Delay – Deliver Immediately</b>	
<b>U R G E N T</b>	 <b>King County</b> <b>King County Procurement &amp; Contract Services Section Chinook Building, 3<sup>rd</sup> FL CNK-ES-0340 401 Fifth Avenue Seattle, WA 98104</b>
	<b>Proposal Number.</b> <b>1009-15-PCR</b>
	<b>Proposal Title</b> <b>Unified Case Management System for King County District Court</b>
	<b>Opening Date</b>
	<b>Firm Name</b>
<b>U R G E N T</b>	

## SECTION 4 SCOPE OF WORK

### 4.1 Glossary of Terms

The Glossary of Terms provides operational definitions of business specific terms used in requirements.

Term	Definition
ABT	Accountable Business Transformation
A/P or AP	Accounts Payable
API	Application Programming Interface
A/R or AR	Accounts Receivable
AOC	Washington State Administrative Office of the Courts
Authorized User	User granted access and rights in the system based on profile. This could be an internal user such as a judge or clerk or could be a partner user such as a prosecutor
BAC	Blood Alcohol Content
BARS Code	Budgeting, Accounting and Reporting Systems (BARS) Codes are controlled by the Washington State Auditor's office. BARS Codes are assigned to all fees, fines and assessments based on RCW and remittance function. They reflect source and determine destination of revenue. <a href="http://www.sao.wa.gov/local/Pages/BARS-New-User-Information.aspx">http://www.sao.wa.gov/local/Pages/BARS-New-User-Information.aspx</a>
BOXI	Ad Hoc Reporting application for JIS provided by the State
Case Party	Party named in action; Plaintiff, Defendant, Petitioner, Respondent, etc.
Case Participant	Person linked to a case but is not a named party; LEA Officer, Probation Officer, Judge, Witness, Victim
CDL	Commercial Driver License
CLJ	Court of Limited Jurisdiction (King County District Court is a CLJ).
CMS	Case Management System
Conformed Copy	A copy of a document filed with the court that includes a date stamp and electronic signatures which show it is an identical copy to that which is in the court file. Conformed copies of new filings will also include the court-assigned case number.
COTS	Commercial-Off-the-Shelf
DAJD	Department of Adult and Juvenile Detention
DCoR/ ECR	See ECR
DES	Department of Enterprise Services
DL	Driver License

Term	Definition
Docket/Register of Action	Official Court Record per AOC. A list of the appearances, clerk notes, and actions in chronological order in each case. See AOC requirements for docket content: <a href="https://www.courts.wa.gov/court_rules/?fa=court_rules.display&amp;group=clj&amp;set=ARLJ&amp;ruleid=cljarlj06">https://www.courts.wa.gov/court_rules/?fa=court_rules.display&amp;group=clj&amp;set=ARLJ&amp;ruleid=cljarlj06</a>
DOL	Washington State Department of Licensing
DOV	Date of Violation
DISCIS	District Court Information System (a part of JIS)
DP	Deferred Prosecution
DV	Domestic Violence Designation
DV Court	Specialized Domestic Violence Court Track for certain DV cases
EBS (Oracle)	Oracle's E-Business Suite
ECR/DCoR	Electronic Court Record/ District Court online Records – document management system
eFiler	An external user who files documents into the court via the eFiling module.
Escheat	Process of transferring accounts payables to the State when the Court has exhausted means to deliver payables to appropriate payee
Expert End-User	System “super user,” a non-administrative role whose expertise with the system’s functionality may be utilized for specialized tasks such as writing and implementing business rules, reports and forms.
FTA	Failure to Appear – in Infraction cases this may be transmitted to DOL depending on violation type.
FTA Adjudicated	FTA has been ordered by the Court and is being rescinded by the Court
FTA Canceled	FTA has been ordered, but not yet transmitted to DOL but is being rescinded by the Court
FTA Issued	FTA has been transmitted to DOL
FTA Ordered	FTA has been ordered by the Court but not yet transmitted to DOL
FTP	File Transfer Protocol
FTR Gold	“For the Record” – evidence recording platform <a href="http://www.fortherecord.com/">http://www.fortherecord.com/</a>
Full Collect	Status of Accounts Receivables when they are transferred to a third-party agency for collection action
GAO	General Administrative Order; Court Order by the Presiding Judge for broad application across King County District Court.
IIS	Microsoft Internet Information Services
Index	Process of linking documents to a case
IN#	JIS / AOC Unique Person Identifier

<b>Term</b>	<b>Definition</b>
Interpreter Job	Scheduled activity indicating interpreter language need, date of need, location of need and interpreter assigned. Interpreter jobs are for a singular interpreter at a singular date/time/location. Multiple cases may be assigned to one interpreter job.
IVR	Interactive Voice Response
JABS	Judicial Access Browser System (web portal to the JIS system)
JIS	Judicial Information System (provided by the State of Washington)
JIS Data Standards	Standards regarding data quality and conformity as related to data exchanging, set by the WA AOC. (See Exhibit #3b)
Judgment Debtor	Party who is responsible for paying a judgment
Judgment Creditor	Party who is owed a judgment, or to whom a judgment payment should be sent
JUR	Jurisdiction
KCBA	King County Bar Association
KCC	King County Code, body of laws governing King County. <a href="http://www.kingcounty.gov/council/legislation/kc_code.aspx">http://www.kingcounty.gov/council/legislation/kc_code.aspx</a>
KCCF	King County Correctional Facility, see also KCJ
KCDC	King County District Court
KCIT	King County Department of Information Technology
KCJ	King County Jail
KCSO	King County Sheriff's Office
LEA	Law Enforcement Agency – Agency who filed/issued case or ticket
LFO	Legal Financial Obligation
Link2Gov	Company that KCDC currently contracts with for IVR and web-payments
Local Law Code	Law Codes other than RCW; can include King County Code and/or Municipal Code(s)
Log Notes	Note specific to a probation file created by an authorized user, usually a probation officer that is kept separate within the probation module.
Master Calendar	Current King County District Court calendar management system
MHC	SEE RMHC
MRJC	Maleng Regional Justice Center
Municipal Code	Law Codes other than RCW governing a particular city jurisdiction.
NACM	National Association of Court Management
NIEM	National Information Exchange Model (see <a href="http://www.niem.gov">www.niem.gov</a> )
Obligor	Party who is legally or contractually bound to provide payment
ODBC	Open Database Connectivity

Term	Definition
OPD	Office of Public Defense – supplies Public Defense Attorneys on cases filed by the State Prosecutor for indigent defendants
ORI	Original Agency Number; may be used in reference to “Court ORI” or “LEA ORI”
Partner User	Law Enforcement or Legal Community User with established relationship with KCDC
Payee	Party to whom funds are owed or to whom a check will be issued
Payer	Party from whom funds are collected
PCMS	Probation Case Management System
PCN	Process Control Number – Number Assigned to a set of fingerprints taken when a defendant is booked into a jail. This number is tracked by the Washington State Patrol as part of a defendant’s national criminal record
PDL	Personal Driver License
Pre-Collect	Status of aged Accounts Receivables prior to account being assigned to Full Collect process for collection by a third-party collection agency
Pro-Se	Litigant who is self-represented, i.e. not represented by an attorney
PSI	Pre or Post Sentence Investigation
RCW	Revised Code of Washington – State Laws: <a href="http://apps.leg.wa.gov/rcw/">http://apps.leg.wa.gov/rcw/</a>
RMHC	Regional Mental Health Court
RVC	Regional Veterans Court
PC	Probable Cause – Can be a case type for cases that have hearing prior to the filing decision by the prosecutor. Can also be a hearing type where the judge determines if probable cause exists for a crime
PIN	Personal Identification Number – a number allocated to an authorized user based on profile used to validate and affix electronic signature
PO	Probation Officer
PRB	King County Project Review Board
Remittance	Process by which collected funds due to an entity (City or Jurisdiction) are reported on and distributed
SaaS	Software as a Service
SCORE	South Correctional Entity – <a href="http://www.scorejail.org/">http://www.scorejail.org/</a>
SeaKing/SIP	King County Jail System
SECTOR	eTicket platform used by Washington State to generate and transmit eTickets from law enforcement agencies to the courts
SID	State Identification Number
SMS	Short Messaging Service – a text messaging service component of phone or mobile communication

Term	Definition
SMTP	Simple Mail Transfer Protocol
SOC	Stipulated Order of Continuance
Solution	Selected Product for Implementation as KCDC UCMS
Special Verdict	A verdict on an enhancement to a crime. For example a defendant may be charged with DUI – refusal. The verdict is a guilty or not guilty to DUI; the special verdict is a guilty or not guilty to the refusal enhancement to the DUI
Standard Docket Entry	Docket entry selected from a set/list; does not require user to modify entry
SW	Search Warrant
THC	Active chemical in marijuana. Used in the courts as the level of tetrahydrocannabinol chemical in a defendant’s blood at time of stop
TRIO	Trio Group – Print, direct mail and list data management services <a href="http://www.triogroupnw.com/">http://www.triogroupnw.com/</a>
TSI	Transworld Systems Inc. – Collection Agency – <a href="http://www.transworldsystems.com/">http://www.transworldsystems.com/</a>
UCMS	Unified Case Management System
VA	Veterans Administration – in reference to VA benefits eligibility/status
Warrant Issued	Warrant has been printed/transmitted to the Law Enforcement Agency
Warrant Ordered	Warrant has been ordered by the court but not yet printed/transmitted
Warrant Recalled	Warrant has been issued and is being rescinded by the court
Warrant Cancelled	Warrant has not been issued and is being cancelled / rescinded before printing/transmission to the Law Enforcement Agency
WPIC	Washington Pattern Instructions – Criminal; pattern jury instructions
WPI	Washington Pattern Instructions – Civil; pattern jury instructions
WSBA	Washington State Bar Association
WSP	Washington State Patrol

## 4.2 Introduction

### A. Business Structure and Services

King County District Court (KCDC) is the largest court of limited jurisdiction in the State of Washington and is currently responsible for processing approximately 220,000 cases per year with 25 Judges, one Commissioner, and approximately 260 employees in nine courthouse locations. The Court is a leader in many areas involving public safety and access to justice, including the use of problem-solving courts, jail alternative programs, bench and jury trials, and judge-managed probation services. Thirteen cities contract with King County for services that are provided by KCDC. KCDC’s caseload includes:

1. Infraction (Traffic, Non-Traffic, Parking, Photo Enforcement, Student Court)



2. Criminal (Including In Custody Matters)
  - a. Misdemeanor and Gross Misdemeanor
  - b. Specialty Courts (Domestic Violence Court, Regional Mental Health Court, Regional Veteran's Court, Relicensing Court)
  - c. Felony Expedited
  - d. Felony Investigation (Probable Cause Case Types)
  - e. Fugitive from Justice
3. Civil
4. Small Claims
5. Name Changes
6. Criminal and Civil Protection Orders (Domestic Violence, Sexual Assault, Stalking)
7. Civil Anti-Harassment Orders (Standard Anti-Harassment, Stalking)
8. False Alarm Hearings
9. Forfeiture and Seizure Hearings
10. Tow/Impound Hearings
11. Death Inquests

**B. Business Problem**

This section is a high-level description to aid in understanding the current technology environment and its limitations. Also included in this section are prominent goals and functionality expected in the Solution. **The Proposer is instructed to refer to the appropriate attachments for the detailed functional, non-functional, and technical requirements.**

1. KCDC currently operates without a Unified Case Management System (UCMS). Instead, KCDC uses a number of subsystems with limited or no integration that operate around JIS, a circa-1980s IBM mainframe system that was first implemented more than 34 years ago. Each stand-alone subsystem exists independently and requires separate clerical data entry. Due to the current system's major insufficiencies, KCDC faces daily challenges operating on these multiple, outdated, stand-alone systems that require repetitive and duplicate data entry. The simple entry of a new criminal case can require a clerk to enter the same data into as many as seven systems.
2. Some of the functionality of the mainframe system has been enhanced through several satellite systems of which were developed in-house, but are lacking important functionality relating to electronic processing of documents such as eFiling, eMitigation, eSignatures, email and text notifications, and with only limited reporting capabilities. Additionally, the added in-house functionality is loosely integrated, forcing clerks and judges to make duplicate entries across systems.
3. The following issues with KCDC's current systems create disjointed and challenging internal operations that require clerks to work and rework the same

tasks. The result is increased opportunity for errors and longer processing time which in turn increases the cost of the work and drastically reduces its reliability; and creates an inability to effectively serve the public and contracting cities:

- a. Lack of Functionality - Operation of KCDC on an unintuitive State-owned system with limited automation and cumbersome workarounds hinders the Court's ability to utilize technology to provide much-needed customer services, including eMitigation and eFiling. Lack of eFiling functionality increases cost and time to the public as well as to the county. Also due to the constraints of the outdated and non-integrated systems, the Court is severely limited in its ability to run metrics. This further limits the Court's ability to measure and manage business processes, measure the success of its court programs, and to identify errors and ensure data integrity.
- b. Lack of Data Integrity – The lack of automation forces court staff to enter the same data multiple times, magnifying the occurrence of data entry error; resulting in the unnecessary consumption of resources. Compounded with the lack of reporting functionality, this hinders the Court's ability to extract reliable data. As a result, KCDC is unable to sufficiently implement quality control and performance expectations.
- c. Lack of Integration to Internal Systems and Data Exchanges with External Agencies – Many of the systems are stand-alone and, due to technical limitations, are unable to be integrated, and lack an ability to effectively and efficiently transmit information in an electronic format. This creates problems internally with the Court's stand-alone systems, as well as external systems, such as those of the prosecutors and public defense agencies. Because of the Court's outdated systems and limited functionality, KCDC is currently unable to interface effectively with the technologies of its customers. This increases costs (rather than generating savings) and results in delays (rather than efficiencies and access to justice) for the Court, its customers and the taxpayers.
- d. Lack of Data Exchanges with the State Administrative Office of the Courts - The Administrative Office of the Court's statewide system (JIS) is not fully integrated with KCDC's other systems including document management, docket call, calendaring, forms, probation, accounting/cash receipting, exhibit storage, witness management, search warrants, interpreter management, and report generation. This lack of integration compounds the inefficiencies and opportunities for errors and omissions and can create serious delays in case processing because of lack of automation.
- e. Lack of System Stability – KCDC faces frequent systems outages causing interruptions in service on a regular basis. Both the state-wide system and the Court's own outdated document management system continue to have frequent failures in their processes that are often not apparent to the Court and its users. Similarly, the failures of the document management system generally only come to light after they have occurred and require a massive amount of staff time to repair.

4. The goals of implementing a UCMS are to resolve the above deficiencies and achieve cost reductions, efficiencies, and improved access to information (in quantity, quality, and timeliness). An integrated UCMS shall provide KCDC:
  - a. Consistent and Accurate Data - Improved consistency and accuracy through automated workflow processes. Automation will lead to reduction of costs by eliminating duplicate data entry, elimination of multiple-step manual processes, and elimination of the need to enter the information across multiple non-integrated components.
  - b. Law and Justice Partner Integration - Capability for interfaces or data exchanges with other law enforcement, safety, and justice agencies and city partners by allowing electronic filing, data exchange, and upgrading technology to a level where KCDC can develop electronic alternatives to manual paper-driven processes.
  - c. Improved Access to Justice through eFiling and Integrated Electronic Documents – Increased public access to court information through eFiling and electronic court documents. These allow for more timely and accurate data availability. The improved integration reduces the amount of physical paperwork that employees must scan, index, and then enter data from eliminating much of the wait time between filing and accessibility of the documents by the public.
  - d. Improved Financial Management - Improved tracking and collection of fines, costs and assessments by allowing for accurate queries and reporting of reliable data. Improved financial functionality allows KCDC more flexibility in managing and offering its customers more customized payment options.
  - e. Improved Court Management – Using much more robust report generation functionality, KCDC shall not only be able to validate data but also to analyze how to best manage staff and caseload for the most expeditious, fair, and equal access to justice.
  - f. Improved Caseload Management - Using improved reporting and caseload analysis functionality, court leaders shall be able to evaluate case processing across the Court and implement improved management of caseload, court resources, and judicial resources thereby aligning KCDC closer to national caseload standards.
  - g. Improved Probation Supervision and Tracking – Using a more robust probation module, probation officers shall be able to more consistently monitor defendants across the court. It shall allow for automation of many manual probation processes allowing for better utilization of probation officer calendar time and offender appointments.
  - h. Immediate System Adaptability – Allowing the court to immediately update and change the UCMS based on changing case law, statutory law, court rules and business processes ensures that the system reflects accurate data and current law.
  - i. Streamlining Business Processes - Enable KCDC to streamline processes, capture efficiencies, and more effectively implement LEAN strategies

through the Court. It shall give the Court the ability to customize and update the system requirements to suit streamlining of the Court's processes and its customers' needs versus conforming the business processes to the current system's restrictions.

- j. Workflow Automation - The automation and workflow shall reduce errors and allow the staff to provide quality control. This shifts the Court from being strictly production oriented and reacting to problems after they have occurred to a state in which errors are quickly identified and resolved.
- k. Electronic Noticing – Enable the Court to send notice to parties through supplemental electronic means via text or email for those who have opted in, reaching the public through multiple and more efficient means.

### 4.3 Unified Case Management System Scope

#### A. General Description

1. KCDC is looking for a Commercial Off-The-Shelf system (COTS) (or combination of systems, see Section 4.7 "System Options to Consider" or, alternatively, a Software as a Service (SaaS) system to replace the current systems. The new UCMS shall replace the majority of the internal systems and programs currently utilized by the Court and shall also integrate with the few internal programs not covered by the UCMS.
2. The UCMS shall have increased data sharing capabilities to interface with outlying criminal justice agencies, reducing the amount of manual data entry. This shall minimize clerical errors and duplicative clerical work time while simultaneously increasing data validation within the system, thus providing more accurate case data.
3. KCDC will replace its current system with an updated UCMS with the project beginning in third quarter of 2015, and have it fully implemented by the end of 2016. The Court expects to improve its current functionality through replacement of outdated components in areas such as case management, probation, and document management. The UCMS shall allow KCDC to streamline business processes and add new capabilities that it currently lacks, such as eFiling, a full eInfracton module, eForms, eSignatures, electronic notifications, enhanced data integration with other agencies, full-spectrum ad-hoc reporting, pre-populated forms generation, and both public and judicial web access to case and warrant history information.

#### B. Current Functionality to Be Replaced

1. King County District Court's current *core* functionality shall be replaced with a System that has functionality that is equal to or better than the following elements:
  - a. **Case Management** – Currently KCDC uses the State-owned and maintained systems (including JIS/DISCIS/JABS/BOXI). KCDC operates on the mainframe system JIS (aka DISCIS) for case entry, management, and disposition, as well as case accounting, financial reporting, banking, and a limited number of reports. Judicial staff use JABS, a web view-only version of JIS via the State's internal website on the bench and in chambers to view case details both within KCDC and statewide. BOXI is a separate Access-

based reports module that is accessed through the State's internal website. It can be used for building and running ad-hoc reports to query most of the data-elements in JIS. KCDC expects that a new UCMS would include all of these functionalities as part of the core system.

- b. **Document Management** – ECR/DCoR is KCDC's document management system. Documents are filed in paper format and are scanned on bulk scanners, and indexed into the electronic case files. At scanning and indexing, documents, batches, and/or pages within documents can be rotated, moved, and deleted. Each document has a built in audit trail that shows all the actions to the document including the date of the action and the user ID of the person who performed the action. Based on user profile, documents already indexed can be moved from one case file to another, date and document type can be edited, or document can be deleted. Based on document name and type ECR/DCoR has built-in workflows and users can sign in and process documents or refer them to management for review.
  - c. **Probation Case Management System (PCMS)** – PCMS uses Access screens against a SQL Server database that is not integrated with any of KCDC's systems. Upon referral of a case to probation, a clerk must enter all data from the JIS case into PCMS. PCMS does not have an integrated calendar that allows probation officers to manage their appointments; the system only allows data entry and case notes into the probation cases by probation officers. Any documents that should be accessed exclusively to the probation officers are kept in paper files and documents to be shared with the Court are generated and sent to the clerk for scanning into ECR/DCoR. The new UCMS shall include probation as a fully-integrated module that is able to bi-directionally share data with the UCMS based on business rules as well as allow for calendar management, a more robust probationer management, work queues, electronic storage of documents, and the ability for providers, (such as Treatment agencies) who on a routine basis file large volume of reports, to eFile via the public portal.
2. In addition to the core functionalities listed above, the Court would like to replace the following current *satellite* systems with equal to or better functionality as part of this project. If functionality cannot be replaced within the new UCMS, the UCMS must integrate with the existing system. (See Exhibit 1 – Current Computerized Processes, and Exhibit 2 – Vision for a new UCMS)

In the event that the Proposer does not provide the equivalent functionality of the modules described above, KCDC would expect the Proposer to provide that functionality using a third-party product or products. If this is done, KCDC expects the Proposer to be the sole and primary source of contact for implementation, operation, and maintenance of any third-party systems. KCDC retains all decision-making regarding the continuation of its preexisting satellite-systems not included on a proposal.

- a. **Search Warrant Management (KCDC's Search Warrant Database)**–This automatically generates a search warrant number, allows a user to input identifying data into the system and upload PDF documents. A user can

search for a search warrant by any of the data-points and view the documents from any of the court locations.

- b. **Web Services and Electronic Commerce** - Currently KCDC allows for both payment of fines via the Web as well as purchasing and receiving copies of court records via the Online DCoR Module which includes public payment for and download of non-certified copies of court record or for submission of requests for certified copies to the Court.
- c. **Voice Services** – The public can use the phone interactive traffic and parking payments (IVR) system to pay their infraction payments by phone.
- d. **Witness Management** (KCDC’s Subpoena Program) – The input of case data including plaintiff, defendant, and witnesses (and applicable contact information) both via manual input as well as through an upload of witness information by a prosecutor. Clerical staff input a court date, select from the list of witnesses in the case, and the system automatically generates individual subpoenas for printing. Data is stored so that subpoenas can be reprinted, or hearing dates/times can be added or changed, and new subpoenas are then generated and issued.
- e. **Interpreter Web Module** – KCDC has an external interpreter scheduling system that is used to schedule, track and pay interpreters for court services. The Court maintains a database of language services available and specific service providers, tracks time spent on interpreter jobs, and provides a mechanism for calculating payment for these services. The Court is able to open a job within the module and input job date, time, location, language, person who needs an interpreter, duration of job, hearing type, and case number. If a current job already exists for that date, time, and language, the job can be updated by adding another case to an existing job. Using the external portal, authorized interpreters can then log in and sign up for available jobs. The Interpreter Coordinator can input actual job start time and end time, payment rate, and other information to generate a payment invoice for that authorized interpreter.
- f. **Jury Management** – Jury Management is used to store jury pool data from the various jurisdictions, to generate and send juror summonses, to track responses to summonses, generate finalized jury pool lists for the locations and to generate a jury cost bill for juror payment.
- g. **eMitigation for Infractions** - Allows a defendant to submit a request for a mitigation or deferred finding of a traffic ticket from any web browser using their name and ticket number. The system validates the information, allows the defendant to update his/her contact information, type a statement and upload supporting attachments. This information is uploaded automatically into the Court’s document management system and routed to clerical and judicial workflow queues for processing.

C. Existing Systems to Keep

KCDC will maintain and require the UCMS to integrate with the following systems:

1. Docket Call (Infax) [Version 3.0 or as updated at Contract execution]

## 2. FTR Gold [Version 5.6.2 or as updated at Contract execution]

### 4.4 New Functionality

The following new functionalities shall be included in the new UCMS:

- A. **eFiling** – The capability for both attorneys and the general public to open cases, and to upload documents into both new and existing cases within the UCMS from a browser connected to the Internet using a secure connection. Users shall be able to establish an eFiling account to initiate, monitor, and update case filings through the web-module. The module shall allow for payment of filing fees if required as well as bulk filing of both documents and new cases. Data and documents input by the eFilers shall be confirmed by court staff through automated clerical work queues and saved into the UCMS. The eFiling module shall allow a clerk to reject a document if it is incorrectly filed and show the rejection status to the filer through either an automatic email or via the eFiling portal.
- B. **eForms** – The UCMS should be able to use predefined forms that can retrieve information out of the system databases prepopulating specific fields as well as use the data input into the form to populate data back into the database. The UCMS shall allow the System Administrator to create new forms with this functionality, and edit existing forms as business rules and laws dictate.
- C. **eSignatures** – The UCMS shall have capability for the parties to sign documents either by capturing a digitized image of a handwritten signature or by electronically encrypting the document using a security code by the signatory. The UCMS shall allow the signature to be placed into a signature field, or added as an overlay to document.
- D. **eNotifications** – The UCMS shall allow for supplemental communication using electronic systems (such SMS, email, phone) with internal parties such as clerical staff, probation officers, judges, management, or external parties such as attorneys and the public when a specific event happens in the system.
- E. **Self-Service Reporting** – Adequate reporting functionality is critical for KCDC. The UCMS shall allow the user to not only run canned reports as defined in the system requirements in this document, but shall also have the capability for a regular user to create and save reports using a self-serve drag-and-drop reporting tool.
- F. **Web Access to Case and Warrant History**– The UCMS shall allow access to case and warrant data via the web by both the general public and partner users. The UCMS shall allow a public access view with limited viewing permissions, as well as a more enhanced view for partner users. Law enforcement agencies, other courts, city partners, etc., shall be able to log-in via the web access to the enhanced view, and view additional case data based on access permissions levels determined by KCDC.
- G. **Enhancements to Infractions** – The UCMS shall allow a defendant to request an in-person court date via a web portal for a hearing in the courtroom instead of online.

### 4.5 Financials

- A. All of the business processes, and both current and expected new functionalities, have a financial component embedded in them that allow the Court to accurately impose, track, and remit local and statutory fines, fees and costs to appropriate agencies. The

operation of the financial components impact KCDC's revenue, its ability to appropriately pay contracting cities, remit funds to the State, and to pay for services such as Pro-Tem judges, witnesses, and interpreters; making it a critical component to every functionality.

- B. The UCMS shall be able to manage time- payment plans and the transfer of cases to and from an outside contract collection agency. It shall also support the separate assessment and management of fines and fees, restitution, bond, and bail on a single case.
- C. The UCMS shall automatically (based on business rules) calculating the appropriate financial disbursements to KCDC's city partners, the State, the County, and other funds when staff enters a judgment and takes in money. It shall accurately track and report on all funds types received into and processed out of the Court, including payments, bail, trust funds, unclaimed money, and non-case related payments (such as copy fees and passport processing fees).
- D. The UCMS shall include audit capabilities for all fund types and shall include necessary controls to ensure the audit trail is preserved. The UCMS shall provide a fully functional banking component, allowing the Court to balance income and expenses, issue checks, and report on all data points on both a recurring and an ad hoc basis.
- E. The UCMS shall also be able to interface with County financial modules for purposes of reporting on financial activity and for remitting funds due to other agencies. Interfaces with the County are used for tracking financials and payments relating to interpreters, jurors, witnesses, and judge pro-tems; as well as reporting revenue taken into the Court and owed to agencies based on contract, statute, code and/or ordinance.

#### **4.6 Interfaces and Data Exchange**

- A. Equal to or better integration capacity with outlying agencies and existing internal systems is an essential capability of the UCMS. The UCMS shall allow for integration of technological and other process improvements implemented by cities, King County and other criminal justice partners such as jails and law enforcement agencies providing access to critical criminal justice information to those who need it beyond business hours.
- B. The proposed integration shall include the following agencies and internal systems:
  - 1. Agencies with Currently Implemented Interfaces in Some Format:
    - a. State CMS systems (JIS) using screen scraping
    - b. Washington State Patrol
    - c. Parking, School Bus, and red light agencies (Redflex, Diamond Parking, ATS)
    - d. Collection agency (currently TSI)
    - e. DOL (Currently connected via JIS)
    - f. Printing/mailing services providers (currently TRIO)
    - g. Sector (State eTicket System)



2. Internal Systems Integration Shall be Required as Part of Implementation:
  - a. Microsoft Exchange Services (email and potentially calendar)
  - b. Oracle Financials
  - c. Link2Gov
  - d. IVR
  - e. PeopleSoft
  - f. Docket Call
  - g. FTR Gold
  - h. Witness list (PAO Karpel System)
  - i. Other court modules that the proposer would not be able to provide (See Section 4.3(B) "Current Functionality to be Replaced").
  
3. External Agencies Integration will be Added as Part of Implementation in the near Future:
 

There are some agencies with which KCDC would like to interface with as soon as they are ready with the expectation that this may occur in 2017. Due to the fact that these agencies might not be ready to interface by the time the UCMS is Accepted, KCDC would like to make sure that the UCMS system will be able to support future integration, and would like to obtain a price for these future interfaces as part of the RFP.

  - a. AOC Data Hub
  - b. King County Prosecutors' Office Case Initiation
  - c. Jails (SCORE, SeaKing)

Take note that the above interfaces shall only be implemented once the County provides written direction to proceed with the applicable interface.

The full interfaces requirements are described in Exhibit 3

#### **4.7 System Options to Consider:**

##### **A. Single Contractor UCMS vs. Multiple Contractor UCMS**

KCDC's preferred scenario is to have a single UCMS with all the capabilities in place today, plus the new core functionality required (such as eFiling). If the proposer cannot provide all the functionality required, the Court will consider integration of third-party products to provide the required functionality. However, the Contractor shall have the responsibility of the UCMS as a whole and will function as a system integrator responsible for and accountable to the full delivery and continued functionality of the products and services. All subcontracted or supplied functionality needs to be disclosed in the Proposal.

##### **B. COTS vs. SaaS UCMS**

If the proposer currently provides a web-based SaaS UCMS, KCDC would be willing to evaluate that option as an alternative *in addition* to the COTS UCMS.

#### 4.8 Proposed Implementation Timeline

KCDC is proposing the following activities for the implementation of the UCMS. As stated before, the Court's goal is to GO-LIVE by the end of 2016. Proposers shall use the following tentative timeline as a guideline when developing the schedule for a proposal:

A.	System Selection/Procurement	March to August 2015
B.	Contract Award - Project Kick-Off	August 2015
C.	Analysis and Design	To be Mutually Agreed
D.	System Configuration	As Described in Contract
E.	Interfaces (Phase I)	To be Completed by July 2016
F.	System Testing	As Described in Contract
G.	Data Conversion	As Described in Contract
H.	User Acceptance Testing (UAT)	July 2016
I.	Training	July 2016
J.	GO-LIVE: Pilot Location (TBD)	August 2016
K.	GO-LIVE: All Locations and Case Types	November 2016
L.	Interfaces (Phase II)	TBD
M.	Final Acceptance	After 90 continuous days without material defect
N.	Warranty	Begins Upon Final Acceptance
O.	Maintenance	Begins 12 months after Final Acceptance

See Exhibit 8 for a detailed description of the project timeline.

#### 4.9 Implementation Logistics

See Exhibit 9 for Implementation Logistics and sample Acceptance forms.

#### 4.10 Requirements

##### A. Documentation Guide

##### 1. Requirement Priority

This categorization of a requirement is used to distinguish the priority level of each requirement.

- a. Priority level M requirements are Mandatory (see note below)
- b. Priority level H requirements are Strongly Preferred (High Priority)
- c. Priority level N requirements are Preferred (Nice to Have)

**NOTE:** While M is a mandatory requirement, Proposer may respond with current alternate methods within their system that meet or exceed the requirement.

2. Responses

The Proposer’s response to the requirements must respond directly to each requirement entry by indicating the applicable Category column in each row. Descriptions of each column heading are as follows:

- a. *Off the Shelf Functionality* - The requirement is fully met by the currently released version of the Software in production and available on the market with no customization. Indicate that the UCMS would be supported directly by the proposer with a “1” or a “3” if a third-party vendor will supply functionality to the contractor.
- b. *Available by Demonstration* - The requirement will be demonstrable during the demo phase of this project; and will either be in production and available on the market or in a beta version that can be demonstrated by the time the on-site demonstrations are scheduled.
- c. *Customization Required* - The requirement will be met by a custom development of the software provided to the Court. Provide the price and number of hours involved in the notes column.

*NOTE: By checking the category “Off the Shelf Functionality”, “Available by Demonstration”, or “Customization”, the Proposer indicates that the UCMS complies with the requirement.*

- d. Not Available – The capability will not be provided by the UCMS.
- e. Proposer Comments - The “Comment” field is for the proposer to include comments on whether and how its proposal meets the specific requirement and/or if the proposer has an alternative UCMS or a better UCMS than the one requested by the County as well as to provide any rough price estimates for custom-builds.

**B. Functional Requirements (FR)**

Functional Requirements (FR’s) are derived from higher level business requirements and articulate how the problem or need must be addressed. FR’s describe the behavior and information that the UCMS shall manage and the capabilities the UCMS will be able to perform in terms of behaviors or operation-specific information technology application actions or responses.

Functional Requirements (Respond in Attachment C)

Section #	Category	Description
1.0	General	Requirements either generic to most or all case types, or not case-type specific.
2.0	Criminal	Criminal case requirements
3.0	Infraction	Infraction case requirements
4.0	Civil	Civil case requirements
5.0	Financial	Financial requirements, regardless of case type
6.0	Probation Module	Probation Case Management

Section #	Category	Description
7.0	<b>Interpreter Management Module</b>	Scheduling, tracking and payment for Interpreter services
8.0	<b>Search Warrant Module</b>	Search Warrant processing
9.0	<b>Witness Management Module</b>	Generation and tracking of subpoenas, and witness payment
10.0	<b>Jury Management Module</b>	Generation and tracking of juror summons, and juror payment
11.0	<b>Calendar Module</b>	Calendaring Requirements
12.0	<b>Document Management</b>	Document management requirements, including scanning.
13.0	<b>Web Portal</b>	Web Portal set-up and access requirements

C. **Non-Functional Requirements (NFR)**

Non-Functional Requirements generally capture criteria related to the operation of the UCMS. They typically address quality issues and will be used to judge the effectiveness of operation as opposed to defining specific behaviors or functions. The non-functional requirements for this Request for Proposal address system performance related to accessibility, auditability, portability, usability, and regulatory requirements were also captured.

Non-Functional Requirements (Respond in Attachment D)

Section #	Category	Description
1.0	<b>Forms</b>	System-generated forms requirements
2.0	<b>Reports</b>	Reporting requirements – Canned and Self-Serve
3.0	<b>Business rules and workflow</b>	Design and use of business rules and workflows/work queues.
4.0	<b>Auditability</b>	Maintain a log of actions in the UCMS
5.0	<b>Regulatory</b>	State and local rules
6.0	<b>Usability</b>	Intuitive, easy and efficient use of the UCMS

D. **Technical Requirements (TR)**

Technical Requirements address requirements for this request related to the system infrastructure environment, system performance, the administration of the infrastructure, interoperability, data conversion, and compliance with King County standards among others.

Technical Requirements (Respond in Attachment E)

<b>Requirements #</b>	<b>Category</b>	<b>Description</b>
<b>1.0</b>	<b>Infrastructure Requirements</b>	Technology standards, system architecture, uptime requirements
<b>2.0</b>	<b>Software Requirements</b>	Software development methodology, configuration, releases and updates
<b>3.0</b>	<b>Data Conversion</b>	Data conversion process, data formatting, previous data conversion experience
<b>4.0</b>	<b>Interfaces and Data Exchanges</b>	Development and implementation of data exchanges, interfacing experience
<b>5.0</b>	<b>Support, Maintenance and Upgrades</b>	Technical and after-hours support, maintenance and upgrade protocol
<b>6.0</b>	<b>Reports and Forms</b>	Reporting tools, forms functionality