

## Purchasing Division

<http://doingbusiness.lakecountyil.gov/>

### **Purchasing Division**

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<u>BID/RFP No.</u>
17209
<u>Buyer</u>
Michael Schieve
<u>RFP Description</u>
Lake County Justice Integrated Case Management Systems
<u>RFP Due Date</u>
January 4, 2018 at 2:00pm CDT

**Lake County, Illinois**  
**REQUEST FOR PROPOSALS**  
**RFP # 17209**

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**Lake County, Illinois**  
**REQUEST FOR PROPOSALS**  
**Lake County Justice Integrated Case Management Systems**  
**RFP # 17209**

This Request for Proposal (RFP) is for the purpose of establishing a contract to provide a software package and implementation services for an Integrated Case Management System (ICMS) as outlined herein.

**A. Introduction**

This Request for Proposal (RFP) is for establishing a contract to provide state-of-the-art case management system(s) and implementation services as outlined herein for a comprehensive Integrated Case Management System for the Lake County 19<sup>th</sup> Judicial Circuit Court/Circuit Clerk, the State's Attorney Office; and the Public Defender.

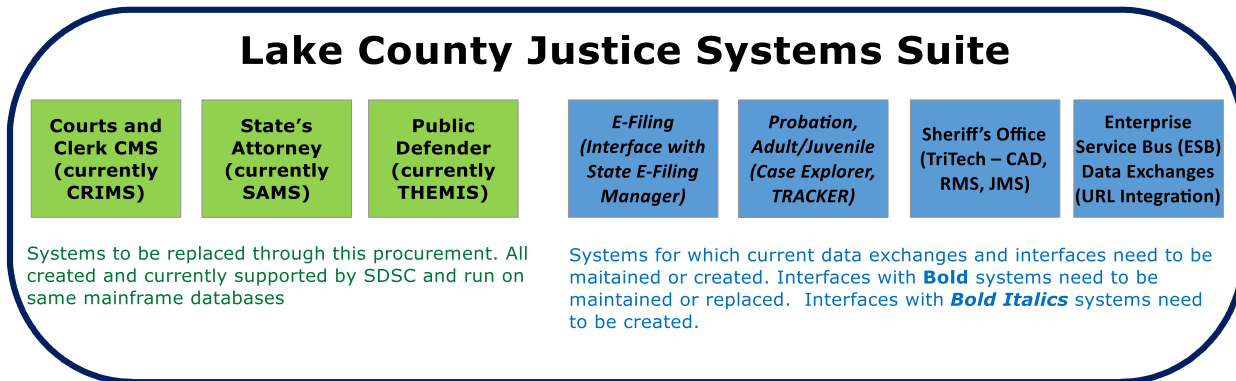
Lake County invites qualified technology companies (Proposers) to submit written proposals for a highly configurable system(s) to support court operations and case management through one or all of the following applications. The system may be a large enterprise suite or individual applications integrated together to share information. Proposers may choose to respond to one or all of these systems:

- A. Case Management System for the 19<sup>th</sup> Judicial Circuit Court/Circuit Clerk for the Criminal, Traffic, Civil, Family and Juvenile Divisions
- B. Case Management System for the State's Attorney Office
- C. Case Management System for the Public Defender Office

In addition to new case management applications for the above justice entities, Lake County is also seeking proposals for a new Enterprise Service Bus (ESB) or similar application to support existing and new data exchanges between the three justice entities, their stakeholders, and other related State and County entities.

The Circuit Court and Circuit Clerk's office is also required to interface with the newly-implemented statewide e-filing system mandated by the Illinois Supreme Court. Proposers are invited to explain how their applications will interface with the mandated statewide e-filing system.

The diagram displays the major justice stakeholders and the systems between which interfaces and exchanges need to be maintained, replaced, or created.



## B. Procurement Timeline

Following is a listing of procurement actions and their respective dates and times. Lake County reserves the right to adjust dates as necessary. Any changes to the schedule will be posted to the procurement web site.

***Please note that Central Daylight Time is Lake County's official time zone.***

Activity	Date and Time
B.1 RFP Issuance	October 5, 2017
B.2 Deadline for Questions	December 27, 2017 at 2:00 PM CDT
B.3 Proposal Deadline	January 4, 2018 at 2:00 PM CDT
B.4 Proposal Evaluation	January 8, 2018 to January 19, 2018
B.5 Invitation for Oral Presentations and Demonstrations	TBD
B.6 Interviews and Demonstration of Scenarios by Module	February 12, 2018 to February 23, 2018
B.7 Site Visits	TBD
B.8 Proposer Selection	March 2018
B.9 Contract Negotiations and Optional BAFO,	March 2018
B.10 Proposed Submission to County Board	April 10, 2018

**B.1 RFP Issuance**

The RFP will be issued via DecisionDirector® by Advantiv Solutions. Vendor responses to this RFP will be collected and processed via DecisionDirector®, DD, ([www.decisiondirector.com](http://www.decisiondirector.com)), a secure, online RFP response management system by Advantiv Solutions ([www.advantiv.com](http://www.advantiv.com)).

Each Bidder will be provided a unique secure, on-line response environment within DecisionDirector®. Advantiv Solutions will provide each Bidder with all necessary instructions and support. Proposals not submitted in this manner may be considered non-responsive.

The Proposer's DD response environment will open upon the creation of their response environment and the assignment of their unique DD logon and password.

**B.2 Deadline for Questions**

All contact and questions regarding the Request for Proposal shall be with the Purchasing Division. Should the Proposer require additional information about this RFP, please submit questions on our website at <http://lakecountypurchasingportal.com> by selecting the RFP number and addendum link. Questions may also be submitted via email to [purchasing@lakecountyil.gov](mailto:purchasing@lakecountyil.gov). All questions shall be submitted no less than seven (7) days prior to the RFP opening date. ANY and ALL changes to these specifications are valid only if they are included by written Addendum to all Proposers. No interpretation of the meaning of the plans, specifications or other contract documents will be made orally. Failure of any Proposer to receive any such addendum or interpretation shall not relieve the Proposer from obligation under this RFP as submitted. All addenda so issued shall become part of the RFP documents. Failure to request an interpretation constitutes a waiver to later claim that ambiguities or misunderstandings caused a Proposer to improperly submit a proposal.

**ADDENDUM ACKNOWLEDGEMENT**

Any and all changes to the specifications and terms and conditions of this RFP are valid only if they are included by addendum issued by Lake County Purchasing. Proposers shall acknowledge addenda by signing the enclosed Addendum Acknowledgement form. It is the Proposers responsibility to check for addendums, posted on the website at <http://lakecountypurchasingportal.com> prior to the submittal due date. No notification will be sent when addendums are posted unless there is an addendum within three business days of the submittal due date.

**B.3 Proposal Deadline**

Responses must be 100% complete and submitted in DD prior to the deadline to be eligible for submission. The response environment will auto-close at the published deadline for this RFP. Incomplete responses are NOT eligible for submission.



**B.4     *Proposal Evaluation***

The County will conduct a comprehensive, fair, and impartial evaluation of proposals received in response to this procurement effort. All proposals will be evaluated by how well the proposal satisfies the described/stated needs, rather than how exactly the proposal matches the strictest interpretation of the terminology and design concepts stated herein. Newly emerging technologies, additional features, and the ability of the proposed solution to adapt will be a consideration. See Section G for the full evaluation process.

**B.5     *Invitation for Oral Presentations and Demonstrations***

Finalists will be invited to provide a demonstration in Lake County of the proposed module(s) during the established demonstration period (see the procurement schedule in Section B Procurement Timeline). An agenda will provide time to demonstrate the capabilities of one or more modules proposed as the solution. Demonstrations may take about one day per module, up to four days if all modules are being offered by the Proposer.

**B.6     *Interviews and Demonstrations of Scenarios By Module***

The script will be provided that will include some of the scenarios set forth in Appendices A-E. Each finalist will be required to show how each scenario would be addressed using its proposed version/release of each module. Lake County reserves the right to add additional scenarios to verify statements or to address questions raised during the RFP process. Additional scenarios will be made available to the Proposers when scheduling a demonstration. Each finalist will be required to demonstrate the scenarios in the module(s) that it is proposing.

**B.7     *Site Visits***

As part of this process, the County may choose to perform site visits to one or more of the site visit reference provided by the Proposers. The County may request additional information or clarification of Proposals and hereby reserves the right to select the particular response to this RFP that it believes will best serve its business and operation requirements, considering the evaluation criteria.

**B.8     *Proposer Selection***

Following the evaluation and ranking of proposals, product demonstrations, and discussions with the evaluation committee the Proposer that best meets the evaluation criteria will be selected and notified.

**B.9     *Contract Negotiations and Optional Best and Final Offer***

After the winning Proposer is selected and notified the Purchasing Officer conducting the procurement (or designee) along with representatives of the Court/Clerk, State's Attorney, and Public Defender shall negotiate a contract with the best qualified Proposer at the compensation determined in writing to be fair and reasonable.

Contract negotiations shall be directed toward (1) making certain that the Proposer has a clear understanding of the scope of work and the essential requirements involved in providing the required services; (2) determining that the Proposer will make available the necessary personnel and facilities to perform the services within the required time; (3) defining the project management and implementation schedule that will be held to by both the vendor and the county; and (4) agreeing upon compensation which is fair and reasonable, including incentives for early deliverables and penalties for late deliverables, taking into account the estimated value of the required services; the scope, complexity, and nature of such services; project progress; and completed tasks.

The County reserves the right to request a Best and Final Offer (BAFO) if additional information or modified terms are necessary for the Evaluation Committee to complete its evaluation and ranking. A BAFO will not be used solely to seek a reduction in pricing. If a BAFO is requested, all short-listed proposers or, if the short list process is not used, all qualified Proposers will be provided an opportunity to submit a modified Response. Only one BAFO request will be issued by the County. The information received from the BAFO will be used by the Evaluation Committee to re-evaluate and re-rank the Proposers.

This RFP text, Proposer proposals, answers to Proposer questions, and Best and Final Offer (BAFO) documents, as well as, additional statements of work, deliverables, payment schedules, and other pertinent documents related to the purchase and implementation of software and interfaces will become part of the contract for this project.

#### **B.10 *Submission to County Board***

Following contract negotiations, the contract will be submitted to the County Board for final approval. Depending on outcome of the presentation to the County Board additional negotiations may be required.

### **C. Submission Process**

All proposals to this RFP are required to be submitted via DecisionDirector® by Advantiv Solutions.

Each proposing firm must furnish all information requested to evaluate the proposal. Verbal information provided by the proposing firm shall not be considered part of the proposing firm's proposal. Any attempt to alter the wording in the RFP may result in rejection of the Proposer's response. An offer that fails to meet the mandatory requirements of the RFP leaves that firm eligible for disqualification.

Any and all exceptions to these specifications MUST be clearly and completely indicated in the Proposer's response. Failure to do so may lead Lake County to declare any such term non-negotiable. Proposer's desire to take exception to a non-negotiable term will not disqualify it from consideration for award.

The Proposer's DD response environment will open upon the assignment of their unique DD logon and password.

The DD response environment for this RFP and will be closed to all responses on January 4, 2018 at 2:00 CST.

### **C.1    *Obtaining Access to DecisionDirector®***

Complete the following steps to obtain access and establish a secure online response environment within DD:

- 1) Contact Advantiv via e-mail at [support@advantiv.com](mailto:support@advantiv.com) to request access to the RFP and requirements in DD. Following the request, a DD environment for that Proposer will be created. The person who requests DD access will be considered the Proposer's "primary contact."
- 2) Advantiv will respond within one business day of the original request for environments with an e-mail back to the primary contact. This e-mail will confirm that the environment has been created and will include instructions for next steps, including participating in a DD orientation session.
- 3) Schedule a DD orientation session with Advantiv. This session will cover the following topics:
  - a. Gaining access to the RFP and requirements including any unique requirements in DD
  - b. Submitting the response
  - c. Generating an Excel export of the response
  - d. Access the on-line DD knowledge base and support request facility

### **C.2    *Responding to the RFP and Individual Module Requirements***

All Proposers shall submit all information specified in Section E, Proposer List of Submittals. All Proposers shall submit responses to individual **Functional Requirements** as contained in the appendices for each module they are proposing.

Appendix A1: Circuit Court/ Circuit Clerk CMS (Criminal, Traffic, Civil, Family and Juvenile Divisions)

Appendix B: State's Attorney CMS

Appendix C: Public Defender CMS

Appendix D: Supreme Court Electronic Filing Requirements

Appendix E-1a: Data Exchanges

### **C.3    *Confirmation of Submission***

Confirmation for receipt of response submissions using Advantiv will be provided by email only.

Should an award be made, Lake County will make the selected Proposer's answers to the functional and technical requirements a part of the eventual software contract. Accordingly, Lake County requires all Proposers to provide written verification that the answers that the Proposers provide via DecisionDirector® are complete, accurate, and final.

#### **C.4     *Restriction on Communication***

All communications relating to this RFP, other than questions concerning the use of DecisionDirector®, must be directed to [purchasing@lakecountyil.gov](mailto:purchasing@lakecountyil.gov). All other communications between a proposing firm and County staff, and public officials concerning this RFP are prohibited. Failure to comply with this section may result in the County disqualifying the proposing firm's offer.

#### **C.5     *Supplemental Information***

Appendices A-1, B, C, D and E-1a contain requirements for specific responses in DecisionDirector®. All other appendices contain supplemental information. All appendices are available within DecisionDirector®.

- Appendix A-1: Court/Clerk CMS Business Capability Descriptions and Scenarios
- Appendix A-2: Minute Entry Event Patterns
- Appendix A-3: Minute Entry Event Code-Response Table
- Appendix A-4: Criminal Disposition Codes
- Appendix B: State's Attorney CMS Business Capability Descriptions and Scenarios
- Appendix C: Public Defender's CMS Business Capability Descriptions and Scenarios
- Appendix D: Supreme Court E-filing Requirements
- Appendix E-1a Data Interfaces and Exchanges Requirements
- Appendix E-1b: Data Exchanges - Current and Proposed
- Appendix E-2: IEPDs, Schemas and Record Layouts for Current Data Exchanges
- Appendix E-3: Data Exchange Scenarios
- Appendix F-1: CRIMS Data Fields
- Appendix F-2: CRIMS Database
- Appendix F-3: SAMS Data Fields
- Appendix F-4: THEMIS Record Layouts
- Appendix G: General Terms and Conditions
- Appendix H: Price Proposal Spreadsheet
- Appendix I: Addendum Acknowledgement and General Information Sheet

**ALL OTHER INQUIRIES RELATED TO THE SOLICITATION MUST BE DIRECTED TO THE LAKE COUNTY POINT OF CONTACT PROVIDED.**

## **D. Background and Overview Information**

### **D.1 *Background***

Lake County, located in northeast Illinois between the Chicago and Milwaukee metropolitan areas, is home to over 700,000 residents. Some live in highly developed urban centers while others live in beautiful rural communities.

Lake County is committed to open government and transparency, and the County board's conservative fiscal policies have allowed the County to maintain fiscal stability and achieve AAA bond rating from Standard & Poor's and Moody's.

The county's current Clerk of Court CMS is CRIMS (Court Records Information Management System). It was developed by Software Development and Services Corporation (SDSC) primarily to meet the needs of the Circuit Clerk and was fully implemented in October 1998. CRIMS runs on the County's IBM mainframe in a CICS environment, and data resides in an IBM DB2/LUW relational database. CRIMS will be replaced by this procurement.

In 2004, SDSC also developed SAMS, the case management system for the State's Attorney's Office. SAMS is also to be replaced.

The Public Defender's Office (THEMIS) system was developed by SDSC in 2005, enhanced in 2009, and a distinct Juvenile module was added in 2014. The Public Defender will evaluate proposed solutions comparing functionality, ease of use, data-exchange/ data-sharing capabilities and other factors against those currently offered by THEMIS to determine if system replacement best meets the business needs of the Office.

Both SAMS and THEMIS interface with CRIMS in real time, and their data also reside in an IBM DB2/LUW relational database on the mainframe.

URL Integration developed the county's current e-Filing System which has been implemented initially for small claims cases. This will be replaced by the statewide E-filing system that has been made mandatory by the Illinois Supreme Court for all civil case types and requires all court to use the statewide Electronic Filing Manager (EFM). Criminal e-Filing may be made mandatory in the future. The e-filing solution proposed must integrate with the statewide system in place.

URL Integration has also developed approximately 60 automated queries and NIEM-conformant exchanges by means of an Oracle enterprise service bus. Web service queries and data exchanges are implemented between CRIMS and the systems of its justice partners, including: the Sheriff's Office VisionRMS and VisionJail systems, the Public Defender's THEMIS, the State's Attorney Office SAMS, Court Services (Juvenile Services, Probation's Caseload Explorer), and the County's debt collection firm. All these interfaces and data exchanges are to be replaced with the new applications.

For any of the modules covered in this procurement, the County is open to solutions that include on-premise, public cloud, private cloud, hosted, or hybrid software delivery models.

Illinois law requires paper records as the official records of the Circuit Court, but the Supreme Court has authorized use of electronic records in civil cases upon request by a court. The Nineteenth Judicial Circuit plans to seek such authorization when new modules are implemented. Proposers should offer modules capable of operating in a mode of “paper on demand.”

## **D.2 Scope and Purpose.**

The Circuit Court, Clerk of Court, State’s Attorney Office and Public Defender of Lake County seek to replace one or more existing information systems that support operations of their divisions and departments, and to implement additional technologies to support e-filing, data exchanges, and judicial tools.

The purpose of this Request for Proposals (RFP) is two-fold:

1. Identify Proposers, their products and services that can provide one or more of the following modules:
  - a. A combined Court/Clerk case management system (CMS) that supports the Circuit Court and Circuit Clerk that includes a Judicial Module and dashboard.
  - b. State’s Attorney Office CMS.
  - c. Public Defender’s CMS.
  - d. E-filing system that interfaces with the State EFM.
  - e. Enterprise Service Bus (ESB) or similar application that implements and supports the data exchanges between all justice systems and stakeholders (Sheriff, Local Law Enforcement, Probation, etc.).
2. Solicit sealed bids for firm fixed cost proposals, for each module, to include a general pricing structure with a breakdown of standard initial costs for licensing and implementation, contractual hourly rates, and ongoing service/ maintenance costs. Proposers may bid on any number and combination of modules.

Proposed alternatives will be evaluated on functionality, ease of use, data-exchange/data-sharing capabilities and other factors. The County will consider proposals using any of the following approaches:

1. Off-the-shelf, customized to meet the needs described in the Business Capability Descriptions and the module requirements.
2. Highly-configurable, properly configured to meet the needs described in the Business Capability Descriptions and the module requirements.
3. Custom-developed, designed to meet the needs described in the Business Capability Descriptions and the module requirements.

Systems will be used by employees and contractors of the Circuit Court, Clerk of Court, State's Attorney Office, and Sheriff's Office of Lake County, as follows:

Justice Partner and Divisions/ Departments	Case Management System		
	Court/ Clerk	State's Attorney	Public Defender
Circuit Court	100	0	0
Adult Probation Division	82	0	0
Juvenile Probation Division	90	0	0
Circuit Clerk	200	0	0
State's Attorney Office	150	150	0
Public Defender Office	60	0	60
Sheriff's Office	40	0	0
General Public, Private Attorneys	1,000	0	0
<b>Totals by Module</b>	<b>1,550</b>	<b>150</b>	<b>60</b>

### D.3 *Business goals*

Lake County anticipates that the implementation of these systems will help the county and its justice partners meet key business objectives relating to access to justice, public safety, and the fair and efficient administration of justice. These principles are not requirements to which a Proposer must respond, but are set forth here to provide Proposers with more information about the scope and purpose of the procurement.

The business goals of the new Justice System are to

- Increase access to justice.
- Ensure fair and efficient justice.
- Improve public safety.

The figure below illustrates these three anchoring strategic business goals that guide this Justice Automation project.



It is expected that increased interoperability between justice partners, specifically between the Court/Clerk, State's Attorney, and Public Defender, will move the justice system toward achieving these business goals.

#### **D.4 Functional specifications to support operational goals**

##### **D.4.1 Configurability**

A configurable system is important to the Court, Circuit Clerk's Office, State's Attorney, and Public Defender. Business processes often change due to circumstances beyond the control of these offices. It is important that changes and business process configurations be within the control and ability of Lake County and the Justice entities with limited if any involvement of the application's vendor. Section D.5.5 addresses this goal including specific functions that need to be configurable by the County and Justice entities.

##### **D.4.2 Real-time operations**

- When a court hearing or counter transaction is complete, all data entry tasks, document generation, and information exchange tasks also are complete.
- All paper documents presented for filing with the Circuit Clerk (in person, by mail, or by electronic means) are logged/docketed, scanned, and processed, and available for use within one business day of receipt. (Exception: large batches of documents received by mail or courier. These must be available within one business day.)



- Handle transfer of money, payments, notifications, and service of process electronically.
- Automatically exchange data between the CMS and the other modules as specified.

#### ***D.4.3 Database Access***

- Provide access to information through multiple views appropriate to the type and purpose of the information (e.g., case-centric, person-centric, administrative matter-centric).
- Date- and time-stamp all database elements to allow re-creation of statistical /financial reports for any point in time.

#### ***D.4.4 Identity management***

- Provide tools to assist in managing person identities, including robust search tools to find possible matches.
- Provide tools to identify possible duplicate identities, functions to link and unlink identities, and comprehensive, formal business rules to govern how these utilities are used.

#### ***D.4.5 Financial management***

- Dual-entry accounting for all financial management functions.
- Set up payment plans for fines, restitution, court fees, program costs and additional amounts added either to original plan or additional separate plan.
- Maintain all necessary bank accounts with ability to write checks for restitution, bond refunds, party and attorney refunds, etc.
- Accept credit and debit cards, bank draft, e-check, and other forms of electronic payments for all transactions in person, by telephone, and over the Internet, in full compliance with electronic payment industry standards.

#### ***D.4.6 Document management***

- Reduce or eliminate use of paper in day-to-day operations.
- Provide access to information and electronic documents.
- Store redacted and annotated documents as separate versions to protect sensitive information.

***D.4.7 Event logging/docketing***

- Create an automatic log of events when events and transactions occur (e.g., court events, document filed, payment made).
- Allow authorized users to retrieve electronic content (e.g., electronic document, digital audio or video of a court hearing, electronic evidence) by docket entry.

***D.4.8 Integrated justice***

- Exchange data and documents electronically with information sharing partners (e.g., law enforcement, jail, service providers), immediately upon completion of an event or transaction.

***D.4.9 Infrastructure***

- Provide prompt response time and minimize down time so as never to disrupt County justice-related operations. through such means as failover/load sharing capabilities, multiple network paths, etc.

***D.4.10 System Security***

- Ensure security and integrity of justice systems, and the data and documents during normal operations and after a system failure or outage.
- Maintain audit trails for all electronic data managed by system modules.

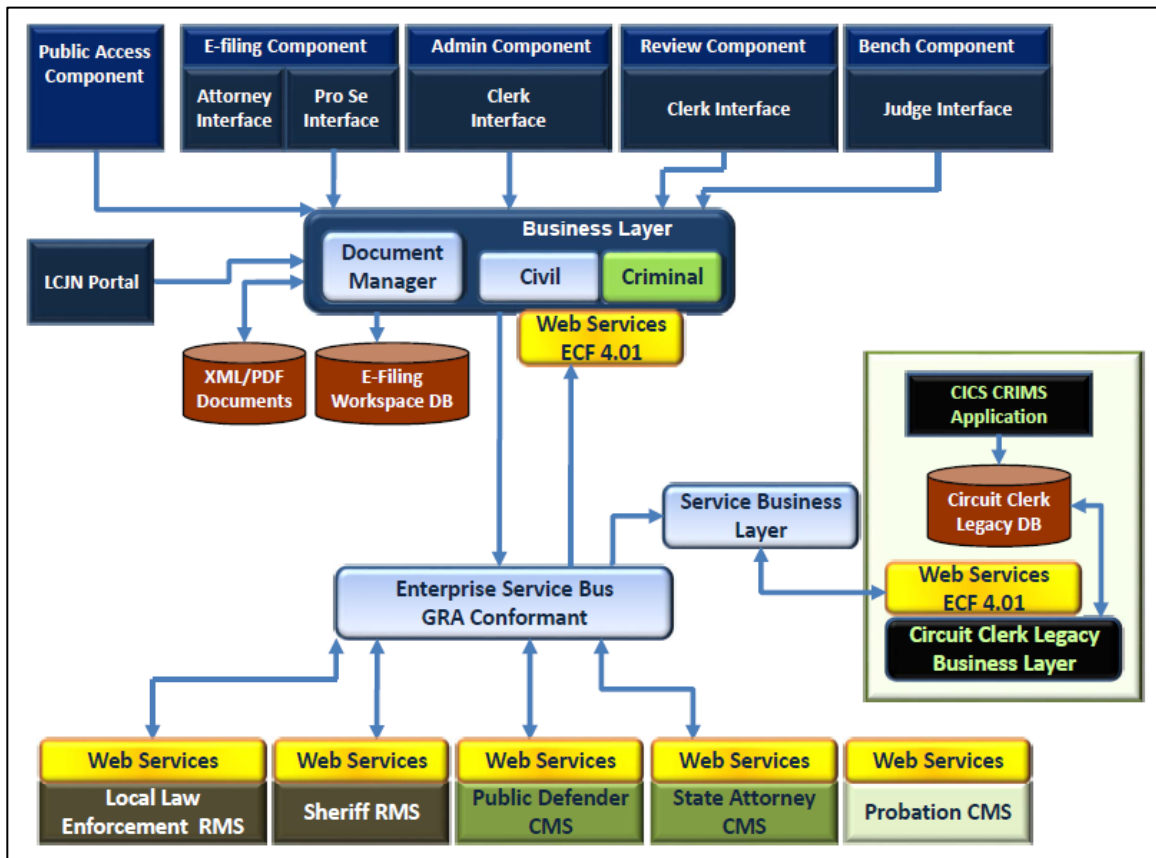
***D.5 Justice Technology Architecture***

The legacy ICMS of Lake County is the Court Records Information Management System (CRIMS), fully implemented in October 1998, containing information on all 27 case types specified in the Administrative Office of the Illinois Courts *Manual on Recordkeeping*. CRIMS runs on the County's IBM mainframe in a CICS environment and was developed by Software Development and Services Corporation (SDSC). The operating system is VM/VSE, and data resides in an IBM DB2/LUW framework using Linux. The case management systems for the State's Attorney's Office (SAMS) and the Public Defender's Office (THEMIS), contain real time interfaces with CRIMS, also reside in an IBM DB2/LUW relational database on the County's IBM mainframe.

Various enhancements have been made to CRIMS over the years, including approximately 50 automated queries and NIEM-conformant exchanges of data with the VisionRMS and VisionJail systems of the Sheriff's Office, the Public Defender's THEMIS, the State's Attorney Office SAMS, Court Services (Juvenile Services, Probation's Caseload Explorer), and the County's debt collection firm. Most recently, enhancements have included public access to case data in CRIMS in 2013, and development of ECF 4.1-compliant e-filing (by URL Integration), initially for small claims cases.

**Figure 1** below depicts the organizations involved in the justice process and their systems and the current system interfaces between the various county justice applications.

Figure 1 - Organizations in the Lake County Justice Process



#### D.5.1 State Technology Environment and Infrastructure

The following details about the current state environment and infrastructure managed by Central IT are provided for informational purposes only.

- Cloud (SaaS) Infrastructure and Membership Details
  - Microsoft Azure Tenant and Office 365 Customer
    - ADFS & Federation SSO – established
  - Amazon AWS Member
    - VPN networks - established
    - File-Storage services - established
  - All Cisco based equipment (Routing, Switching, Firewall, etc.)
  - BGP ASN 500 MB x2 Sites, 100 MB x1 site (Internet AT&T, TDS Metrocom, Comcast Business)
    - Waukegan (Primary)
    - Libertyville (Secondary)
  - 10 GB x4 between Libertyville & Waukegan

- Lake County owned fiber
  - Fault Tolerant
  - Other Redundancy Points
    - 1GB ASN
    - 300 MB Radio-Wave
  - DMVPN (Distributed to all satellite sites), GSS, Hosted Managed DNS (Verisign)
- Workstation and Endpoint Support
  - Windows 10 ENT & PRO (roadmap PC refresh and OS complete by 2019)
  - Windows 7 Pro (EOL 2019)
  - Apple iOS, Google Android OS (within 1 year of released OS)
- Supported Web Browsers
  - Internet Explorer 11 (EOL 2019)
  - Windows Edge with Windows 10 ENT & PRO
  - Google Chrome
- Server Farm
  - 98% virtual (x86 & x64)
  - Linux RedHat
  - Windows Server
- VMWare ESXi 6.0 & 6.5 (Hypervisor)
  - Cisco UCS Blade Servers
  - Cisco Nexus iSCSI Converged Network 10 GB (Storage), 1 GB Clients
  - Tegile All Flash & Hybrid SAN Arrays
  - Distributed (shared) service model to all Lake County Agencies
- IBM Mainframe zOS (CRIMS only)
  - zLinux Redhat 6.4 (x64)
  - zVSE
  - zVM

Importantly, the County's IT Roadmap calls for decommissioning the IBM mainframe which currently houses databases used for the exiting CRIMS, SAMS, and THEMIS systems.

**D.5.2 Current Justice Information Systems**

Lake County currently maintains and operates several applications to support management and operations of the courts. This information is for reference only.

Systems considered for replacement	Systems not considered for replacement
<p><b><u>Circuit Clerk and Court</u></b> Court Records Information Management System (CRIMS) Database must be migrated to another platform <b>Software Development and Services Corporation</b> (SDSC) sdscnet.com 3905 Railroad Avenue, Suite 205 South Fairfax, Virginia 22030 Phone: (703) 359-1380 Application: Cobol, DB2</p> <p><b><u>State's Attorney Office</u></b> State's Attorney Management System (SAMS) - Database must be migrated to another platform <b>Software Development and Services Corporation</b> Application: Cobol, DB2</p> <p><b><u>Public Defender Office</u></b> THEMIS <b>Software Development and Services Corporation</b> Application: Cold Fusion, DB2  Considered for replacement if a better alternative is found; database must be migrated to another platform regardless.</p> <p><b><u>E-Filing</u></b> <b><u>URL Integration</u></b> 1512 Larimer St., Suite 950 Denver, CO 80202 303.799.4585 Alfresco Imaging System  E-Filing is now mandated by Supreme Court rule and all courts and e-filing services must use the State E-Filing Manager.</p> <p><b><u>Enterprise Service Bus and Data Integration</u></b> <b><u>URL Integration</u></b> (address above) Oracle Fusion Middleware, Oracle SOA Suite 11g  Considered for replacement if a better alternative is found to integrate the CRIMS replacement and the other legacy and proposed justice partner systems. If THEMIS is retained, its current data exchanges must be redirected to the new systems.</p>	<p><b><u>Juvenile Probation and Detention</u></b> TRACKER Solution Specialties, Inc. 850 E. Grand Ave., Suite 7B Lake Villa, IL 60046 (847) 356-8820</p> <p><b><u>Probation</u></b> Caseload Explorer Automon 10450 N. 74th St., Suite 210 Scottsdale, Arizona 85258 (480) 368-8555</p> <p><b><u>Sheriff's Office</u></b> VisionRMS and VisionJail (purchased by TriTech in 2011) 9477 Waples Street, Suite 100 San Diego, CA 92121</p> <p><b>Evidence Tracking System</b> <b>Miscellaneous Services Tracking System (MSTS)</b> <b>Bank Reconciliation</b> Lake County IT Department 18 N. County Street Waukegan, IL 60085</p> <p><b>Family Maintenance System (FMS)</b> Rock Solid Consulting 1420 Kensington Rd #116 Oak Brook, IL 60523</p> <p><b>Child Support Information Data Exchange (C-SIDE)</b> <b>Electronic Information Exchange System (EIES)</b> URL Integration 1512 Larimer Street, Suite 950 Denver, CO 80202</p> <p><b>e-Appeals.net</b> Conscisys Corporation 1125 Mistwood Place Downers Grove, IL 60515</p> <p><b>Wild Apricot</b> 144 Front Street West Suite 725 Toronto, Ontario M5J 2L7</p>

### ***D.5.3 Operational Approach***

Through the new Justice Automation Project and statewide e-filing system, the Circuit Court/Clerk anticipates maintaining all files and records in electronic format as the official record of the Circuit Court, subject to Supreme Court approval. E-filing will be the primary means of entering documents into the document management system (DMS). Attorneys should be able to view filed documents and to e-file from their offices or via Wi-Fi in the courthouse. Operations will accommodate non-case party filers (e.g., receivers, employers, etc.) who file paper documents by having clerk scan and link documents to the appropriate case.

The Circuit Clerk and the Court's vision is that there will be no paper case folders except for "skinny" files – just those documents necessary for a particular hearing, if desired by a judge, or for other limited, temporary purposes. Judges and staff have agreed to operate with an electronic case file to a large extent. Achieving this goal will require careful attention to the needs of judges on the bench and in chambers. Judges, managers, and staff should be able to access cases from anywhere, based on access permission levels. All modules of Justice Automation must be browser-based and optimized for mobile.

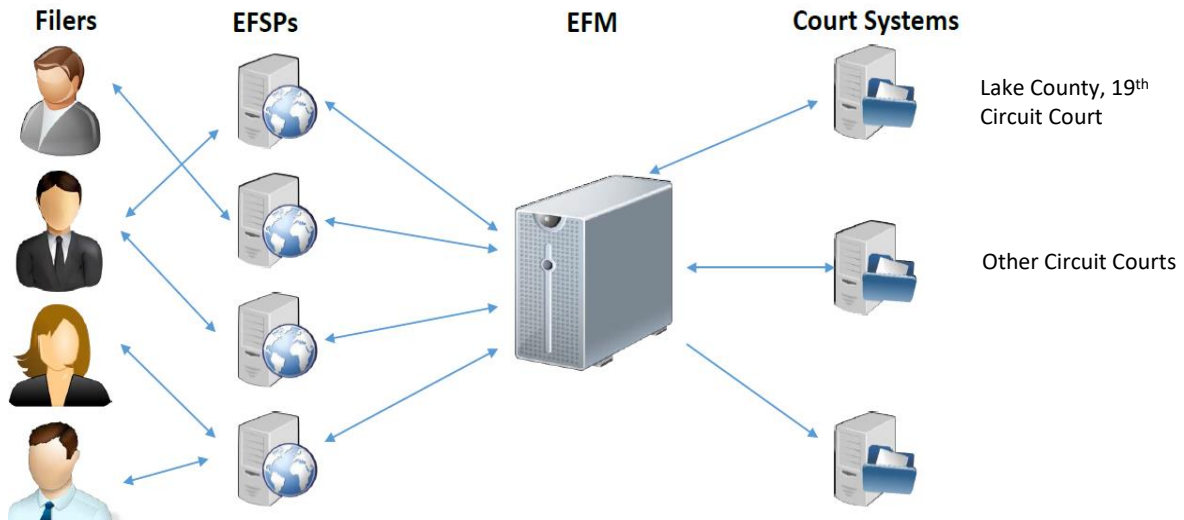
All current Web service queries and data exchanges must be implemented among new systems acquired and the legacy systems being retained, so as not to lose current functionality. This procurement is an opportunity to seek development of proposed data exchanges identified in **Appendix E-1a Data Interfaces and Exchanges Requirements** and **Appendix E-1b Data Exchanges (Current and Proposed)**.

### ***D.5.4 E-filing Integration***

The Supreme Court has mandated use of the statewide e-filing. The CMS and the document management system (DMS) must interface with the statewide system for the acceptance of case filings. The Circuit Court/Clerk's goal is to implement e-filing for all approved case types as accepted and mandated by the Illinois Supreme Court.

The Supreme Court's statewide e-filing system includes functions of an Electronic Filing Manager (EFM) and functions of an Electronic Filing Service Provider (EFSP), using the terminology of the OASIS Electronic Court Filing 4.x specification, illustrated in the diagram below.

Figure 2 - Supreme Court Statewide E-Filing System Diagram



The Administrative Office of the Illinois Courts has adopted a statewide e-filing approach and provides the EFM to counties. The new case management system will need to interface with the EFM and provide a queue for the review and acceptance of e-Filings and other functions necessary to insure the validity of documents that are submitted.

#### ***D.5.5 Highly-Configurable Framework***

The Circuit Court/Clerk, SAO and Public Defender seek systems that will accommodate Lake County's changing Judicial and Justice business requirements. The more configurable a system is, the more likely it will be a finalist in the procurement process. Stakeholders need system(s) that are agile, with the ability for trained staff to configure the following functions/modules as needed, without involvement from the Proposer:

- Data entry and query screens and other parts of the user interface.
- In-boxes/work queues appropriate to user role.
- Workflow (including business rule triggers).
- Ticklers and alerts.
- Data validations for data entry.
- Document generation.
- Role-based security/data access.
- Interfaces with internal and external systems.
- Dashboard elements appropriate to user role.

Use of highly-configurable systems assumes that there will be a significant effort in the beginning of the project to analyze and configure modules to meet the operational

requirements. The detailed business capabilities in the requirements provide a foundation for Proposers working with users to identify processes, determine business process optimization, and gather process information to configure automation of processes in the following ways:

- When, in a process, a task completed by one user is routed via workflow to another user who performs a step in the process.
- When, because of the mere passage of time or inaction by a party, the court must take some action (status flags incorporating the concepts of triggers and alerts).
- Tasks or activities that are automatically performed when an event, status or condition triggers a chained set of tasks.
- Business rules (either definitional rules or behavioral rules), derived from policy choices and operational procedures of the Circuit Court and Clerk, local court rules, Supreme Court rules, and statutes, that govern or shape day-to-day justice activities.

## **E. Proposer List of Submittals**

Proposals must provide a concise description of the Proposer's capabilities to address the requirements of the RFP. Proposers will provide all responses through Advantiv Solutions DecisionDirector®. Emphasis should be placed on accuracy, completeness, and clarity of content.

Proposals must be organized as described below and include the information requested. Failure to respond to requested information in DD may result in the proposal being declared non-responsive and receiving no further consideration for award of the contract.

Proposers must submit the following:

1. E.1 - Transmittal Letter – all Proposers
2. E.2 - Management Summary – all Proposers
3. E.3 - Proposer Profile, Qualifications and Experience – all Proposers
4. E.4 - Product History and Future Disclosed Plans – all Proposers
5. E.5 - Module Architecture and Hardware Configuration – all Proposers
6. E.6 - Project Management – all Proposers
7. E.7 - Staffing – all Proposers
8. E.8 - Data Conversion – all Proposers except Electronic Filing (E-filing) System and Data Exchange System -- Enterprise Service Bus (ESB)
9. E.9 - Production System Roll-out and Training – all Proposers
10. E.10 - Warranty and Customer Services Practices – all Proposers
11. E.11: CMS and E-Filing System Non-Functional Requirements –respond for the module(s) proposed, identifying which module(s) the responses apply to.



12. E.12: Data Exchange Infrastructure Requirements -- Enterprise Service Bus (ESB) – for Proposers who are proposing this module – submit only if proposing this module
13. F. Price Proposal

### **E.1 Transmittal Letter and Addendum Acknowledgement**

As prompted by DecisionDirector®, provide a PDF of a signed title page containing the following:

- a. Title of Proposal and Submission Date
- b. Proposer's Name
- c. Name, title, phone number, e-mail and mailing address of the person who will respond to inquiries regarding the proposal
- d. Address of the Proposer headquarters
- e. Address of the location responsible for Lake County's account
- f. Signature by an individual authorized to bind the proposing entity

The Proposer will also be required to provide a PDF of a signed copy of the Addendum Acknowledgement and provide a completed copy of the General Information Sheet. The Addendum Acknowledgement and the General Information Sheet are contained in Appendix I.

### **E.2 Management Summary**

Provide an executive-level description of the module(s) being proposed, implementation schedule, project team, and approach to ensuring a successful implementation. The Proposer's response must include a narrative description of how the proposed module(s) will satisfy the county's Business Goals described above. Identify best practices of case management and how the proposed applications will help the Court/Clerk, State's Attorney, and Public Defender evolve their business processes. Explain how you will assist in evaluating current processes against best practices, and how those practices will work with your applications. Discuss features that differentiate your solution and how your modules interface with social media (access via smart phones, apps, etc.) and other technologies. Explain key differences between your product and contenders' offerings.

The Proposer must note where third party entities contribute systems or services to the overall solution and/or significant modifications to an entity's system would be required to satisfy the vision.

### **E.3 Proposer Profile, Qualifications and Experience**

Provide the following information for the Proposer and for all partners of the Proposer:

1. Profile of Proposer: Provide a brief history of the Proposer and how it is organized (e.g., prime contractor and subcontractors), including:

- a. Official company name and address. Indicate what type of entity it is (e.g., corporation, partnership).
  - b. Total number of years the entity has been in business; and, if applicable, number of years under the present business name.
  - c. Number of years' experience the entity has providing equivalent or related services to those proposed.
2. Organization: A description of the entity's operation, facilities, business, objectives, and number of employees (both nationally and working on the proposed product).
3. Qualifications and Experience: The Proposer must have a proven track record of providing, installing, and maintaining such Justice Automation. Provide a narrative of applicable experience the Proposer has had in implementing and installing the proposed solution. Provide information that highlights the Proposer's particular abilities to successfully meet Lake County's requirements.
  - a. Describe any pending and completed litigation, including outcomes that have occurred, relating to the proposed solution or other courts or legal system related software product(s), maintenance agreement(s) or installation service(s).
  - b. Disclose whether the Proposer's organization (or any general partner or joint venture thereof) has ever failed to complete a similar project. If so, list the date of commencement of the project and the entity for which the project was to be performed, and explain why the project was not completed.
  - c. Include the number of times the Proposer entered into negotiations with a potential customer but failed to complete negotiations, and the number of times the Proposer did not implement a product for which a contract was successfully negotiated. Include the reason for each circumstance.
4. References: Provide at least three references for projects that are of comparable size and complexity to Lake County's proposed project, emphasizing systems that have been similarly configured and have been in operation for at least one year. The Proposer must include, for each reference, the following information:
  - a. Name of court or organization
  - b. Contact name, title, street address, telephone number, and e-mail address
  - c. Description of services provided and applications installed with version number(s)
  - d. Hardware and database environment
  - e. Implementation date or proposed implementation date
  - f. Number of users accessing the system (if known)
5. Audited Annual Financial Statements for the past five years.
6. Federal tax identification number

7. Dun & Bradstreet number (DUNS). (Proposers without a DUNS number are required to obtain one.)

Lake County reserves the right to contact any courts or organizations using the Proposer's systems to gain additional information that might assist in the decision or contracting process.

Lake County also reserves the right to purchase credit reports and additional financial information as it deems necessary.

#### **E.4 Product History and Future Disclosed Plans**

Provide the following information for each major component of the proposed solution:

1. History of the proposed solution, including initial release date, current version number, development history (e.g., was it developed as a marketable package or as a solution for a particular organization), and environments in which it has been implemented.
2. Details of compliance with Section 1.38 Source Code of the General Terms and Conditions (Appendix G), including the name of the software escrow service used and the company's policy regarding software escrow updates.
3. Outline the future direction of product development (product Roadmap), including functionality being developed for other customers. Explain long-term development plans to ensure that the product will remain viable in the market, and fully supported. For purposes of this procurement, temporary (one year or less) and limited (to this proposal) non-disclosure requests will be respected. If the Product Roadmap includes end of life of this product within the next 5 years, will the County be upgraded? Please note that the County intends to seek contractual assurances that the product will remain viable and fully supported and/or that the vendor will provide the County with upgrades to newer comparable products at no additional cost.
4. Outline Proposer's knowledge of the product roadmap for the records management and jail management suite currently in use by Lake County Sheriff's Office, as the proposed system(s) must integrate with those existing technologies.

**E.5    *Module Architecture and Hardware Configuration***

1. Describe the technology architecture of your proposed solution. The architecture should be highly configurable (with configurations primarily maintained by trained County staff), designed to satisfy the business capabilities and scenarios detailed in Appendices A-F, and the non-functional requirements in E11. Lake County allows Proposers great latitude in their selection of technologies; however, the County prefers the Microsoft Windows operating system and SQL Server database management system.
2. The Proposer's architecture description should include diagrams and narratives that show the various components of the proposed solution and how they interrelate. At a minimum, the following areas should be addressed:
  - a. Applications
  - b. Operating system(s)
  - c. Database(s)
  - d. Interfaces/integration
  - e. Web services
  - f. End user devices
  - g. Servers and other hardware components
  - h. Network
  - i. Security
  - j. Fault tolerance
  - k. Backup and disaster recovery
3. Describe the Proposer's approach to the base code of the module and its approach to customization, in particular, respond to the following questions:
  - a. Does the Proposer maintain a unique module code base customized for each customer?
  - b. Alternatively, does the Proposer maintain a single code base for all customers, and save configurations and customizations for each customer, which are then reapplied when the code base is modified, to produce the final run-time module for each customer? If so, "on average" how much time does it take to apply configurations and customizations for a customer?
  - c. Whichever approach is taken, do customers have the option to turn 'On' or turn 'Off' features available in the code base?
  - d. Does the Proposer regression-test the following:
    - (1) Major version releases?
    - (2) Minor version releases?
    - (3) Patch releases?

4. Describe the hardware, software, and network communications resources required to optimally run the proposed solution for the size and volume of operations at the Circuit Court and Clerk. If the Proposer has experience or preference with specific hardware/software/communications combinations, please describe these installations or requirements. Lake County will acquire the necessary hardware, third party software, and network components that will facilitate implementation of the Proposer's software solution in the most cost-effective manner. The County may exercise an option to procure these items from the Proposer, or independently.
5. For the Court/Clerk CMS, the State's Attorney CMS and the Public Defender CMS, describe whether and how the module is case-oriented, person-oriented, or both.
6. For the Court/Clerk CMS, the State's Attorney CMS and the Public Defender CMS, describe whether and how the Proposer's customers have moved from paper to electronic records.

## **E.6 Project Management**

### **E.6.1 Project Management Plan**

Describe the Proposer's project management plans.

### **E.6.2 Project Management Methodology**

Describe the proposed project management methodology, including:

- a. How the Proposer's project team will be organized and managed.
- b. How the team will communicate and interact with Lake County project management.
- c. How the team will assist Lake County in change management, evaluating for efficiency current process, adopting best practices, and modifying processes to ensure optimization of court processes.
- d. Change management
- e. Controlling scope creep
- f. How risks and issues will be identified and mitigated.

Specifically, address the Proposers philosophy concerning the pros and cons with the use of an Agile approach using Scrum development practices in implementing its applications in Courts and other justice entities.

### **E.6.3 Project Plan**

Provide a preliminary project plan that shows the recommended implementation schedule for the module(s) proposed. In particular, describe your recommended approach (phased, or other approaches successfully used) to implementation, given the

module(s) being proposed and integration with other modules being procured from other Proposers.

Expectations. The successful Proposer will be required to submit a final project plan to be included in the contract. The project plan should be prepared in consultation with the justice entities and County IT, and be prepared in appropriate project planning software such as Microsoft Project. The project plan must include a Gantt chart, complete work breakdown structure, staff responsibilities, project schedule, critical path, key project milestones, task completion percentage, training, testing, planned and actual start dates for each task, and planned and actual completion dates for each task. The final project plan will require the approval of the County.

## **E.7 Staffing**

Describe below the Proposer's proposed staffing, as well as any assumptions or needs the Proposer has made regarding capabilities of the Lake County project staff.

### ***E.7.1 Proposer Staffing***

Provide resumes of key personnel who will be committed to this project for its duration, including proposed role in the Lake County Justice Automation System project, education, areas of expertise, professional certifications (e.g., project management or JIEM), and other projects on which they have worked and their roles in those projects. During contract negotiations, Proposer must submit any changes to the proposal staffing plan for approval by the County. No "key" staff member may be reassigned or otherwise removed from the project without explicit written permission of the project manager appointed by the County.

Lake County must approve, in advance, replacements for key staff members. The Proposer will make every reasonable effort to ensure that the early removal of a key staff member has no adverse impact on the successful completion of this project. Penalties will not apply in cases where the key staff member leaves the contractor's employ, becomes unable to perform job duties due to injury or illness, or Lake County requests that the key staff member be replaced.

All personnel who work on-site or with court or justice system data will be required to complete a criminal background check. Lake County reserves the right to approve or reject any Proposer staff assigned to the project. If the Proposer's assigned staff is rejected by the County, then the Proposer must assign replacement staff based upon a schedule approved by the County.

Each member of the Proposer's team will sign a non-disclosure agreement.

**E.7.2 Lake County Staffing**

Summarize the Proposer's assumptions about the background, capabilities, number and type of staff, and the numbers of hours of county staff needed that Lake County must assign to project tasks, so that Lake County supports the timeline that the Proposer proposes. Proposals must address the Proposer's recommendations for Lake County staffing in categories, such as project and executive management, functional business analysts, functional end-user training, help desk/support staff, documentation/help writers, programming staff, DBA, and network and infrastructure support staff. These recommendations also should describe the tasks in the preliminary project plan where these resources will be needed and the timing of staff availability (according to the project plan).

**E.8 Data Conversion**

Required data conversion and migration activities may vary by agency and legacy system. It is the expectation of the County that the successful Proposer(s) will work with the County during contract negotiation to understand the data conversion needs as they relate to the new system(s) to be implemented, and that the vendor will work with the County to develop detailed conversion plans during implementation. **Appendix F** contains information available concerning data to be converted from legacy systems.

- a. Describe the Proposer's capabilities, methodology, and experience to convert accurately and completely Lake County's existing case data from the legacy systems.
- b. Describe the Proposer's software tools for data conversion.

**E.9 Implementation, Production System Roll-out, and Training**

1. Describe the Proposer's approach methodology to system configuration and implementation.
2. Describe the Proposer's approach to testing system configurations, including various types of testing and the roles of each team member (County vs. Proposer). Please distinguish between the following key elements of testing, which should be included at a minimum:
  - a. Unit testing of core application,
  - b. User acceptance testing,
  - c. Integration testing (with interfaces, as applicable),
  - d. Testing of data exchanged, as applicable
  - e. Accessibility testing
  - f. Please also describe the test environments needed, including responsibilities of the County Also explain the establishment of test environments.
3. Describe the Proposer's training plan and approach to user training including the establishment of training databases and onsite and off-site assumptions.

4. Discuss pros and cons to in-person training and train the trainer for each type of user, end-users, power users, and technical staff. See the table of estimated users provided under Scope of Services. Proposers may either propose training for all users, or may propose training for at least two end-users in each department, plus all power users and technical staff. Training sessions must accommodate various court and work schedules.
5. Describe options for video training, web-based training, or training sessions recorded for future training or orientation for new users.
6. Discuss the different training provided to the normal end users, super or power users, system administrators, and technical database, software, and server staff.
7. Describe User manuals, guides for system administrators, frequently asked questions, and knowledge base. Documentation must be provided electronically.
8. Describe the Proposer's approach and recommendations for go-live cutover and the operational approach to minimizing down-time and ensuring no loss of function during cutover.
9. Describe how you will match current processes that cannot be modified due to current laws, ordinances, or policy to the capabilities of your software.
10. Recognizing that change management will be an integral part of implementing any case management system, describe the methodology you will use to configure the solution to meet the needs of individual justice organizations and at the same time evaluate current business processes and recommend improved processes and workflow.
11. Describe how you will provide resources to work with internal teams to facilitate organizational change. Such services shall include business process and workflow re-engineering and other organizational change management services as required.

#### **E.10 *Warranty and Customer Services Practices***

1. Describe warranties associated with the proposed solution and maintenance services provided. The prime contractor shall be responsible for all warranties.
2. Also describe the Proposer's proposed customer service plan. Services may include the following:
  - a. Telephone/online/on-site support.
  - b. Remote software diagnostics and updates.
  - c. Update and enhancement policies and frequency, by solution component.
  - d. Input to product enhancements, by solution component.
  - e. Service/support response time (hours) based on severity.
  - f. Response times via telephone/remote – average and guaranteed.
  - g. On-site support – average and guaranteed.
3. Provide a copy of your Service Level Agreement.



**E.11 CMS and E-Filing System Non-Functional Requirements**

Proposers must provide textual responses in DecisionDirector® to these non-functional requirements for the module(s) they are proposing, and identify the module(s) to which the responses apply:

- Court/Clerk CMS
- SAO CMS
- PD CMS
- E-Filing System

Note that Section 12 contains Data Exchange Infrastructure Requirements for the Enterprise Service Bus (ESB).

**E.11.1 CMS Modules: Technical Operating Environment**

1. Describe how you will support a multi-tier architecture. If virtualization is proposed, VM Ware is preferred. Virtualization is preferred for on-site implementations:
  - a. Front End: Browser-accessible using all standard browsers – specify if client/server
  - b. Middleware -- Distributed where required (e.g. multi-site facilities)
  - c. Database: ODBC-compliant relational database (SQL Server preferred)
2. Describe how you will support a round-the-clock system (7 x 24 x 365) that must have reliability and high availability, including deployment on geographically diverse servers. The system may operate in a reduced capacity should an issue such as hardware failure occur. In such a case, no data is lost or corrupted and the user can perform all system functionality, albeit with slower response times. The Proposer must describe how their proposed solution and system configuration will meet the high availability requirement.
3. Describe how you will provide a backup system that allows backup of the system and databases without interfering with operations, as well as restoration of the system and databases in the event of system or database failure. The backup shall have the following characteristics:
  - a. Central backup for all applications proposed
  - b. Transaction-level backup and restoration
  - c. Server/disk array based (not tape)

- d. Virtual machine support
  - e. Database support to match the proposed application solutions
  - f. Geographic distribution of both data and application resources
4. Describe how you will perform a Disaster Recovery/Business Continuity exercise to demonstrate that backup and disaster recovery have been correctly implemented and are operational. If providing ongoing software as a service or any off-premises solution, describe the on-going frequency and extent of Disaster Recovery and Business Continuity exercises. Please provide an actual or hypothetical example.
5. Describe how you will meet performance benchmarks established for user testing and acceptance phase. These benchmarks will include items such as:
- a. The number and types of defects that will be allowed for production,
  - b. Response time with a load of concurrent users:
    - (1) Circuit Court/Clerk CMS 200 users
    - (2) State's Attorney's Office 150 users
    - (3) E-filing 200 potential internal e-filing users and 1,000 attorneys in the county
    - (4) Public Defender's Office 60 users (vendor-provided or interface with Themis system)
    - (5) Public access (potentially thousands of users)
  - c. Access time for users in the current environment.
  - d. No impact on performance with thousands of transactions per hour
  - e. Ability to throttle the results of report generation or any other provision for ad hoc query, such as a separate query and reporting instance of the database (also see 11.4-01 on the same topic)
6. Describe how you will maintain an historical record of all changes made to the system's components. It must ensure that system error and events for software, hardware, interfaces, operating system, and network are written to a system event log accessible and searchable by a system administrator.

7. Describe how you will provide a database monitoring tool that identifies runaway queries, deadlocks, table and databases scans, and terminates queries after a defined amount of time, etc.
8. Describe the network infrastructure that must be in place to achieve optimum end-to-end system performance. If proposing an off-premises solution, describe the bandwidth and performance provisions to ensure performance for court users.
9. Describe how you will allow (or prohibit) insertion of data into existing data fields in one application by other applications or through other methods authorized by IT.
10. Describe your offerings of software as a service (SaaS). Explain if the application is externally-hosted or is a hybrid offering that retains some data or environments locally. Describe your five-year plan with respect to cloud computing.

The Court/Clerk module also requires a public portal. Describe how your system manages public access allowing only information considered public by the Court available while protecting confidential information. Minimum capabilities, which are described in greater detail in Appendix A-1 include the ability to

- a. Query names and cases, including partial/wildcard entries.
- b. View query results that include all companion cases.
- c. Plead guilty feature for traffic cases.
- d. Submit payments.
- e. View information in multiple languages.
- f. View information in real time and from mobile applications.
- g. View a list of scheduled court events.
- h. View a list of filed documents associated with a case.
- i. View the custody status of defendants via an interface with the Sheriff's system.
- j. View jury/juror data via an interface  
([www.19thcircuitcourt.state.il.us/1474/Online-Juror-Profiles](http://www.19thcircuitcourt.state.il.us/1474/Online-Juror-Profiles)).
- k. View different levels of information based upon differing levels of access permissions (for example, additional access for members of the local bar association).

#### ***E.11.2 CMS and: System Administration and Application Support***

1. Describe how you will configure user group roles with permissions to view, add, edit, and/or delete the following within each case-type:
  - a. Case and person records
  - b. Standardized reports and queries

- c. Templates for form letters/notices/orders
  - d. Code table records
  - e. Business and workflow rules
  - f. Case notes (and permission to designate them as private or shared with other designated user groups)
  - g. Other data types
2. Describe how you will perform system administration through graphical user interfaces. The system must allow for secure remote administration as well as on-site administration. The administration functions must include at a minimum:
  - a. User account and password management
  - b. System security management
  - c. System log review and maintenance
  - d. System reports
  - e. Notification management
  - f. Software threshold parameter management
  - g. System and database backup initiation
3. Define how standard and custom modifications, and patch updates are accepted, reviewed, demonstrated, tested, and incorporated into new releases. Describe your policy on regression testing of software updates. If the software and hardware is maintained on premises, describe your approach to patches and other releases or whether acceptance of updates is the customer's choice. Describe the approach to downtime and notification for system modifications.
4. Describe the user and administrator help systems, including an on-line context-sensitive help option based on process. This help function must be integrated and include screen-shots.
5. Describe how you will provide multiple environments, including a non-production training, test, and development environments, including the ability to periodically copy the production database. Training, test, and development databases should contain non-production data to ensure the security of court information. Do you allow both production and training databases to be accessed simultaneously without cross-linking or cross contamination?
6. Describe how you will provide and maintain the data-dictionary, Entity-Relationship diagrams, and user manuals for the system, including updated documents with each system release/update.
7. System Response Time. Describe your method for measuring system response time, by type of user interaction (e.g., name search, case number query).

***E.11.3 CMS and System Modules: Security and Audit***

1. Describe whether and how the proposed applications provide system single sign-on capability. Preference is Active Directory-aware, ADFS. Two-factor authentication is desired.
2. Describe how the proposed applications support multi-agency levels of cooperation regarding access to cases and access to case data and person data and at the same time protects the individual agency data as defined by the particular agency. (Example: Law enforcement is able to see certain documents (such as sealed warrants) that other participants are not permitted to access, or an agency can prohibit access to specific data.) How do you identify primary users, trusted partners, and extended partners (such as social services)? How do you set up levels of public access – internal users, bar members and the general public?

How do you define ownership of data?

3. Describe how the proposed application supports protection of personally-identifying information in cases, and other forms of case data protection, such as judicial notes and information, sealed cases and victim/witness information.
4. Describe system-wide optional logging and audit trails that can be toggled on and off to log the creation, modification, and deletion of records, including the date/time accessed, person accessing, and device/IP used.
  - a. What is impact on the system of using auditing?
  - b. Is auditing function group-aware and configurable with the scope of auditing?
  - c. If you are proposing Court/Clerk CMS, Prosecution CMS, and Public Defender CMS applications, how do you handle segregation of audit logs between applications?
5. Describe how the system provides the ability to display or print the audit trail of file additions, modifications, corrections, and deletions. Include all of the following:
  - a. Who made the entry.
  - b. When the entry was made
  - c. Whether the date entered and the date filed differ.
6. Describe how the system permits the re-creation of statistical /financial information for any point in time through all database elements being date- and time-stamped.
7. Describe the solution's ability to identify attacks, cyber threats, data and service loss prevention, and to automatically disable accounts suspected of cyber intrusion.

8. Describe how you will support logging of all data exchange payloads in the application database to facilitate troubleshooting integration issues (“audit file”).

***E.11.4 CMS Modules: Reporting***

1. Describe throttles, thresholds or other measures to ensure that ad-hoc reporting and advanced searches do not affect system performance.
2. Describe how an administrator will be able to add customized system support reports to be run at the Admin level.
3. Describe the business intelligence or data analysis tools available within the current proposal system, or planned within the next five years.
4. Describe how the proposed solution will interface with or make available data to third party Business Intelligence (BI) tools to provide historical, current, and predictive views of justice organization operations. BI tools would require data to support the following capabilities: reporting, online analytical processing, analytics, data mining, process mining, complex event processing, business performance management, benchmarking, text mining, predictive analytics, and prescriptive analytics.

***E.11.5 CMS Modules: Document Management System and Records Management***

1. Describe how the proposed solution will support a single document management system for all applications, or will integrate with another vendor’s DMS. Describe the platform and technical architecture for the document and records management system.
2. Describe how the system delivers the following capabilities for electronic documents or case in the Court/Clerk, State’s Attorney, and Public Defender system:
  - a. Redaction
  - b. Sealed and impounded cases
  - c. Annotation
  - d. Versioning
  - e. Purging
  - f. Access only through the CMS, to enforce security roles
  - g. Judicial notes and annotations that are secure to a chamber or that can be shared with one or more chambers
3. Describe how the proposed solution will provide primary and secondary tiered storage media, archive old electronic cases into separate secondary tiered storage media, or any other way archived cases may be handled in the production database. The solution should allow users to seamlessly access and retrieve archived cases and place them back into the production system for further processing.

***E.11.6 Platforms and Technical Options for CMS Modules***

Lake County is open to acquiring either on or off-premise, hosted solutions. Describe the recommended solution. In the price proposal, use the appropriate pricing structure to match your recommended approach. Proposers may propose both on-premise, off-premises, or hybrid implementations. If more than one option is provided, Lake County will consider the price proposals separately.

If proposing an off-premise solution, response should include answers to the following questions:

1. Hosted Solutions Modules: General
  - a. Describe the specific type of solution(s) that is being proposed and which components and specific platforms would be used.
  - b. Provide a description of the number of customers that are currently using the solution as proposed and the amount of time it has been available.
  - c. Describe the financial, legal, and operational advantages and disadvantages of the proposed model and platform and any unique issues that reviewers should be aware of.
  - d. Attach a copy of your standard service level agreement (SLA) or equivalent.
  - e. Highlight any unique strategies or capabilities that the vendor(s) would provide to make this initiative successful.
2. Hosted Solutions for CMS: Transition
  - a. Describe the process for establishing applications and hosting data in the environment (“on boarding”), including testing, acceptance and cutover. What guidelines can you provide to assist the customer in project planning (level of effort, timeline, decommissioning legacy services, etc.)?
  - b. If the data is stored offsite, describe your method for protecting and returning a customer's data either on demand or in case of contract termination (“off boarding”). Detail any financial requirements for data access or upload.
  - c. Please explain any application and data portability considerations (i.e., exit strategy for applications running.)
3. CMS: Customer Support
  - a. Discuss the proposed model for providing customer support, including charges for support contacts.
  - b. Describe the incident/problem reporting and tracking systems, and the ability for authorized customer staff to access those systems directly.
  - c. Describe the type of access to your customer support are available (website, email, chat, telephone).

- d. Describe the level and type of automatic alerting the vendor(s) involved can provide to customer staff in the event of failure, degraded service, or exceeded planned utilization.
- 4. CMS: Availability and Performance
  - a. Describe the mitigation strategies for potential availability and performance issues such as network outages, bandwidth shortages, or spikes in service demand.
  - b. Describe the redundancy features of the services and infrastructure that ensure availability and performance.
  - c. Discuss the roles and responsibilities for system maintenance for any service providers and the maintenance roles and responsibilities that the user is expected to assume. Please include information about the procedures for operating system and other core software upgrades, patches, and service pack application.
  - d. Provide the past quarter's availability statistics for the services proposed that you feel may be appropriate for this initiative.
  - e. Discuss features of the proposed services that provide for scalability of customer applications and data hosted in a service provider's environment.
- 5. Hosted Solutions for CMS and E-Filing System Modules: Data Ownership
  - a. Describe the policies, roles and responsibilities regarding data ownership.
  - b. Provide a description of the ownership of the Intellectual Property for any proposed applications.
  - c. Describe provisions for removal of the physical aspects of data that can remain on a storage device, such as a floppy disk or hard drive, after that data is erased once customer data is removed from the system.
  - d. Describe how data is returned to the client upon termination of any agreement to maintain client's data, including removal of data from Proposers data storage devices.
- 6. CMS Modules: Security and Compliance with Standards
  - a. Describe the approach to addressing IT security challenges in public-facing and hosted solutions, in particular dealing with hacker attacks, unauthorized access, and inappropriate use of proprietary data, documents and IT applications.
  - b. Describe the processes and solutions for preventing these challenges from occurring.
  - c. Describe the controls that are in place for administrative access, both for the proposed solution provider(s) and for administrative access from government clients. Please include discussion of administrator controls over provisioning.



- d. For any proposed solution(s), describe the security standards that are in place, and how frequently security audits are conducted, if applicable
  - e. Describe if your module complies with the following standards; if so, what version of the standards; if not, what the Proposer's plan is to comply:
    - ISO 27001 / ISO 27018
    - SSAE 16
    - HIPAA BAA
    - FISMA/FedRamp
    - FERPA
    - CJIS Security
    - eDiscovery Litigation Holds
  - f. For the State's Attorney and Public Defender systems, please discuss your ability to abide by an attorney's duties of confidentiality of clients' information specifically:
    - Immediately notify the attorney of any breaches or outside requests for client information;
    - Ensure that all data is appropriately backed up completely under the attorney's control so that the attorney will have a method to retrieve lost or damaged client information;
7. Hosted CMS Modules: Cloud Interoperability

The County may in the future establish internal cloud environments or external cloud services with other providers (i.e., private, public, hybrid or community cloud environments). Describe how your cloud services integrate with other cloud services to provide seamless interoperability for the end user.

8. CMS Modules: Pricing
- a. Describe the pricing models involved and other relevant pricing factors such as CPU, memory, storage, bandwidth, and data transfers. Include break points for price changes and prices for transition services. Clearly describe, any bandwidth charges for uploading and downloading data.
  - b. Describe the pricing model(s) for loading data on a recurring basis and for transaction processing.
  - c. Describe the pricing model for on-demand extraction of data by third parties and any approaches that would control costs for the County.
  - d. Describe the pricing differences for non-volatile data that requires only restore rather than recovery capability.
  - e. Provide any additional financial information that would be useful in evaluating the suitability of the proposed services.

**E.12 Data Exchange Infrastructure Requirements -- Enterprise Service Bus (ESB)**

Proposers must clearly provide textual responses in DecisionDirector® to these requirements for an Enterprise Service Bus to facilitate data access among/between the Proposed one, two or three CMS system(s) and:

1. The other one or two non-proposed CMS system(s)
2. Probation's CaseLoad Explorer and TRACKER
3. State's E-Filing System
4. Sheriff's TriTech Suite

See **Appendix E** for a list of the existing data exchanges that are required to be maintained by the successful Proposer and the desired data exchanges which the Proposer must implement. All current Web service queries and data exchanges must be implemented among new system(s), so as not to lose current functionality or access to data. This procurement is an opportunity to seek development of desired data exchanges identified in the appendix.

**E.12.1 General Requirements**

Appendix E Data Imports, Exports and Inquiries Supported lists the data exchanges implemented now, as well as desired exchanges.

1. Describe technical and architectural resources that will be used to implement the ESB and related data exchanges that are required. Describe the methodology for exchanging data among applications with the partners involved in this proposal as well as external applications.
2. Describe the method for securing data as it is transmitted through transmission protocols (TLS and/or SSL).
3. Describe the method of authentication and authorization processing for exchanges with external justice partners.
4. Describe the support for logging of all data exchange payloads to facilitate troubleshooting integration issues ("audit file").
5. Describe the support for a configurable option to route data exchange messages to single or multiple partners.
6. Describe the support for inclusion of documents in data exchanges where required.
7. Describe the support for replay/ retry processing to allow for message delivery if a transitory error is triggered, and whether the solution ensures successful delivery of data.

8. Describe the extent to which the solution has implemented XML conforming to established justice data model standards such as ECF 4.0.1 and NIEM 2.1 or greater. In addition, where ECF is concerned, please include a detailed statement of conformance to all mandatory and optional components of the specification in instances where the case management system provides data to the e-Filing interface put in place by the Supreme Court.
9. Describe how you will develop, test and support the data exchanges in Appendix E: Data Exchanges (current and proposed) to be implemented through the Enterprise Service Bus (ESB).

***E.12.2 Platforms and Technical Options for ESB Solutions: Specific***

Lake County is open to acquiring on-premise, off-premise or hybrid solutions. In this section, describe your recommended platform(s) and technical approach for on-going support and development of data exchanges. In the price proposal, use the appropriate pricing structure to match your recommended approach (on-premise or off-premise, or both). If more than one option is provided, Lake County will consider the price proposals separately.

1. Hosted ESB: General
  - a. Describe the specific type of solution(s) that is being proposed and which components and specific platforms would be used.
  - b. Provide a description of the number of customers that are currently using the solution as proposed and the amount of time it has been available.
  - c. Describe the financial, legal, and operational advantages and disadvantages of the model and platform and any unique issues that reviewers should be aware of.
  - d. Attach a copy of your standard service level agreement (SLA) or equivalent.
  - e. Highlight any unique strategies or capabilities that the vendor(s) would provide to make this initiative successful.
2. Hosted Solutions: Transition
  - a. Describe the process for establishing applications and hosting data in the environment ("on boarding"), including testing, acceptance and cutover. What guidelines can you provide to assist the customer in project planning (level of effort, timeline, decommissioning legacy services, etc.)?
  - b. Describe the method for protecting and returning a customer's data either on demand or in case of contract termination ("off boarding").
  - c. Please explain any application and data portability considerations (i.e., exit strategy for applications running in your cloud).
3. CMS: Customer Support

- a. Describe the model for providing customer support, including charges for support contacts.
  - b. Describe the incident/problem reporting and tracking systems, and the ability for authorized customer staff to access those systems directly.
  - c. Describe the types and availability of customer support (website, email, chat, telephone)?
  - d. Describe the level and type of automatic alerting the vendor(s) involved can provide to customer staff in the event of failure, degraded service, or exceeded planned utilization.
4. ESB Solutions: Availability and Performance
  - a. Describe the mitigation strategies for potential availability and performance issues such as network outages, bandwidth shortages, or spikes in service demand.
  - b. Describe the redundancy features of the services that ensure availability and performance.
  - c. Discuss roles and responsibilities for system maintenance as the service provider and the maintenance roles and responsibilities that the user is expected to assume. Please include information about the procedures for operating system and other cores software upgrades, patches, and service pack application.
  - d. Provide the past quarter's availability statistics the services that you feel may be appropriate for this initiative.
  - e. Discuss features of the services that provide for scalability of customer applications and data hosted in your environment.
5. ESB Solutions: Data Ownership
  - a. Describe the policies, roles and responsibilities regarding data ownership.
  - b. Provide a description of the ownership of the Intellectual Property for any proposed applications or coded exchanges.
  - c. Describe provisions for removal of the physical aspects of data that can remain on a storage device, such as a floppy disk or hard drive, after that data is erased once customer data is removed from your system.
6. ESB Solutions: Security
  - a. Address the IT security challenges in public-facing or hosted environments. Describe the solution's approach to preventing cybersecurity attacks as well as unauthorized access or the inappropriate use of proprietary data.
  - b. Describe how the system would respond to hacker attacks.
  - c. Describe the controls that are in place for administrative access, both internal and for administrative access from government clients. Include discussion of administrator controls over provisioning.

- d. Describe the security standards that are in place, and how frequently security audits are conducted.
- 7. Hosted ESB Solutions: Cloud Interoperability
  - a. The County may in the future establish internal cloud environments or external cloud services with other providers (i.e., private, public, hybrid or community cloud environments). Describe how the services integrate with other cloud services to provide seamless interoperability for the end user.
- 8. ESB Solutions: Pricing
  - a. Describe the pricing models and other relevant pricing factors such as CPU, memory, storage, bandwidth, and data transfers. Include break points for price changes and prices for transition services. Clearly describe any specific bandwidth charges for uploading and downloading data. .
  - b. Describe the pricing model for loading data on a recurring basis and for transaction processing.
  - c. Describe the pricing model for on-demand extraction of data by third parties and any approaches that would control costs for the County.
  - d. Describe the pricing differences for non-volatile data that requires only restore rather than recovery capability.
  - e. Additionally, provide any additional financial information that would be useful in evaluating the suitability of the proposed services.
  - f. Describe the costs involved with future development of data interfaces, adding additional consumers of an already developed data exchange, and maintenance of existing interfaces.

## **F. Section 1 - Price Proposal**

Proposers may propose both on-premise and off-premise implementations. Lake County will consider the price proposals separately.

The Price Proposal must be completed and uploaded as a separate document in DecisionDirector® and clearly identified as the Price Proposal. The proposal and must adhere to the requirements and format described below, including the use of the template provided in **Appendix H**.

Proposers must provide an accurate assessment of the total cost of ownership associated with system(s) implementation, maintenance and ongoing management. These costs include software, hardware, licensing, server, database, or any other applicable costs. Cost proposals must remain valid for at least 180 days following submission.

In addition, when proposing hardware and software, the Proposer shall be specific enough with the specifications (class, basis of design, quantity and unit costs, etc.) and/or model numbers that Lake County can ascertain its own costing for the same items.

Lake County will evaluate the Proposer based in part on cost during the RFP process. However, the lowest cost will not ensure that a Proposer is selected.

Cost proposals must include the following elements:

### **Price Proposal Template Provided in Appendix H**

Proposers are to submit costs using the template provided in **Appendix H**. Lake County has provided a list of likely cost components in Appendix J. However, if the Proposer is aware of additional costs not listed, the Proposer is required to add those to the price proposal so that the Proposer's response captures the total cost of ownership. Proposers must clearly state all goods or services requiring payment. If the proposal does not include such items, Proposer waives right to assert payment obligations at a later date.

Each Proposer will upload price proposal data for each module proposed in the Price Proposal Excel spreadsheet provided, in the following categories:

#### **F.1 Initial Software Licensing/Subscription and Maintenance**

Cost proposals should include all licensing fees, subscription fees, and annual maintenance and support fees that may apply. This must include any costs associated with testing the system(s), disaster recovery, and operating test, development, training and production environments. For proposals that include an on-premise system(s) with traditional licenses, the Proposer must agree to license the software for continuous use at a fixed fee without additional royalties or services fees, except for fees for ongoing software maintenance, over the life of the contract. For proposals that include subscriptions, the Proposer must agree to provide the subscriptions for continuous use at a fixed fee over the life of the contract.

##### ***F.1.1 Software License Discount for Multiple Modules***

Provide any discount for selection of multiple modules if the Proposer is proposing more than one module

#### **F.2 Initial Hardware Costs**

Proposer will provide the costs of any and all hardware recommended to operate the proposed system(s), including all primary and secondary servers, and in consideration of whether the proposed system(s) is cloud-based or on-premise.

**F.3 Initial Implementation and Other One-Time Costs**

Proposer must provide initial implementation costs for gap analysis, site visits, interviews, configuration of the system, etc., prior to go-live., including but not limited to, fees associated with an iterative system(s) development life cycle (SDLC), product backlog creation, Sprint meetings, Quality Assurance, Functional and Non-Functional Testing, prototyping, product demonstration, frequent and incremental releases, business process optimization, documentation, travel and lodging, and any other implementation costs.

**F.4 Customization**

The Proposer must provide any costs associated with customization of specifications not met by the base product. The Proposer must provide the reference number of the specification and the total cost.

**F.5 Data Conversion (All Proposers except e-Filing and Data Exchange Systems)**

Proposer will provide all costs to migrate all required data for the proposed system(s). Proposer should assume a minimum of three (3) iterations to complete the data conversion process.

**F.6 Module Integration - Current Data Exchanges**

The Proposer will provide costs to interface each current data exchange (see Appendices E-1a and E-1b) with its proposed module(s). Alternatively, the Proposer may provide the cost to replace each data exchange. The Proposer may provide costs to interface with or replace data exchanges if either are feasible.

**F.7 Module Integration - Proposed Data Exchanges**

The Proposer will provide costs to create each proposed data exchange (see Appendices E-1a and E-1b) with its proposed module(s).

**F.8 Training and Implementation Support**

Proposer must provide implementation costs for supporting activities in preparation to go live including training and onsite support for a specified time period, recommended by the Proposer, immediately following go-live.

The Proposer is required to include a clearly defined training plan, including costs, which will provide sufficient training for the trainees to perform the primary functions of the system(s) unassisted. The Proposer is responsible to work with Lake County to ensure the training equipment, software, and materials are adequately available to conduct training. The Proposer should cover Ongoing Training, Off-Site Training, Customization (Hourly Rate), and Post-Implementation Support, etc.

**F.9 Post-Implementation Support after Go-Live**

Proposer must provide costs to support post implementation activities, including required correction of software bugs, software patches, business process modifications, etc.

**F.9.1 Implementation Discount for Multiple Modules**

Proposer is to include any implementation discounts for the module proposed if the Proposer is proposing more than one module.

**F.10 Annual On-Premise Software Maintenance (seven years)**

Proposer must provide annual software maintenance fees and the algorithm for determining maintenance fees. Proposer must indicate benefits received (number of hours of support, customization, etc.) for annual maintenance fees.

**F.11 Annual Off-Premise or Subscription Costs (seven years)**

Proposer must provide annual software maintenance fees and the algorithm for determining maintenance fees for subscriptions service. Proposer must indicate benefits received (number of hours of support, customization, etc.) for annual maintenance fees.

**F.12 Annual Hardware Maintenance (seven years)**

Proposer must provide annual hardware maintenance fees and the algorithm for determining maintenance fees for proposed hardware. Proposer must indicate benefits received (number of hours of support, etc.) for annual maintenance fees.

**F.13 Additional Licenses**

Any additional licensing costs for third party software, or other related licensing costs or fees for software or services required by the software

**F.14 Other Services and Periodic Costs (specify if not in previous categories)**

Proposer will include any shipping, insurance, and miscellaneous costs in this proposal. All payments to shipping agents and for insurance fees shall be made directly by the Proposer. The Proposer shall be responsible for all arrangements for the shipment of equipment/software to Lake County's prepared site.

Please detail hardware, software, and implementation costs optional to fulfill mandatory requirements. These costs may include middleware, data cleansing, enhanced reporting, business/data analytics tools, etc.

**F.15 Project Phases and Payment Milestones****F.15.1 Estimated Timeline of Costs**

Detail the schedule of costs associated with the project and correlate the timeline of costs with the project implementation timeline.



**F.15.2 Invoicing and Payment**

The Proposer must clearly address the following topics relating invoicing and payments:

- a. Pricing methodology: The County requires fixed fee payment methodology by milestone for this project. The Proposer shall clearly explain any other details related to its pricing methodology, including examples if necessary. The Proposer shall describe how it will invoice Lake County upon Lake County's acceptance of deliverables or project milestones. The Proposer shall also describe its quality assurance and deliverable acceptance process.
- b. Deliverables: If the proposal calls for tendering deliverables of different types (e.g., hardware components vs. custom coding), the Proposer shall clearly explain its corresponding payment expectations.
- c. Travel and expenses: The Proposer shall state its willingness to obtain Lake County's written approval prior to billing Lake County for travel and expenses, as well as its willingness to adhere to Lake County's travel policy. This applies to price proposals submitted as a time and material contract.
- d. Data transfer and data storage limits and overages: The Proposer shall clearly state all limits on data storage or data transfer. If exceeding those limits would require additional fees, the Proposer shall state such costs in its separate pricing proposal.

**G. Evaluation Process**

The evaluation will be conducted in four phases:

Phase 1 – Evaluation of Mandatory Requirements and Initial Screening

Phase 2 – Evaluation of Technical Proposals

Phase 3 – Interviews/ Demonstrations and Re-Ranking of Proposals

Phase 4 – Evaluation of Price Proposals

**G.1 Phase 1 – Evaluation of Mandatory Requirements and Initial Screening**

The Purpose of this phase is to determine if each proposal is eligible for award of a contract, thus justifying a complete evaluation.

Proposals will be evaluated to determine if they are complete, comply with the instructions included in Lake County's RFP document, and contain the required forms.

Those proposals determined to be suitable for award will be evaluated by the Evaluation Committee. Failure to comply with the instructions or to submit a complete proposal may deem a proposal not suitable. Lake County reserves the right to waive minor irregularities.

Technical proposals will be evaluated to determine if they comply with this RFP. Any technical proposal that is incomplete or that contains significant inconsistencies or inaccuracies may be rejected. Lake County reserves the right to reject any or all proposals.

## **G.2 Phase 2 – Evaluation of Technical Proposals**

### **G.2.1 Evaluation Committee**

An Evaluation Committee will be established to score and evaluate the submitted technical proposals, including the response to requirements. The Evaluation Committee will be established with representation from each of the stakeholder agencies as well as members from the Court, the Clerk's Office, the State's Attorney, and the Public Defender who are part of the RFP Workgroup Committee and their assignees who have experience with one or more of the module related to the ICMS. The Committee will be responsible for the technical proposal evaluation and all evaluation criteria (including reference checks).

### **G.2.2 Evaluation of the Technical Proposal**

Lake County will evaluate the Proposer's response and the extent to which it meets the requirements delineated in the attachments to this RFP.

As of the issuance of this RFP, the County anticipates that evaluation criteria may include the following:

*The criteria listed below are to be used as a guide. They are not listed in order of priority or weight and may be edited based on evaluation committee feedback.*

<b>Criteria</b>	<b>General Description</b>
Functionality	Ability of the proposed system(s) to meet the functional requirements of each specified agency: <ul style="list-style-type: none"><li>• Court/Clerk CMS</li><li>• State's Attorney's CMS</li><li>• Public Defender CMS</li></ul>

Criteria	General Description
Technology	<p>Ability of the proposed system(s) to meet technical requirements, including:</p> <ul style="list-style-type: none"> <li>• Interface requirements</li> <li>• Ability to maintain existing data exchanges</li> <li>• Ability to implement additional desired data exchanges</li> <li>• Level of integration among proposed system(s)</li> <li>• Compatibility with the County's existing IT environment.</li> <li>• Configurability, including the resources needed for configuration changes (e.g., whether changes may be made by end-users, functional experts, County IT technical resources, and/or outside vendor resources)</li> <li>• Complexity of converting and importing existing Lake County (and other partner) data into the system(s)</li> <li>• Adherence to information security requirements and policies, and conformance with regulatory requirements and industry best practices.</li> </ul>
Project Implementation and Management Methodology	<p>Degree to which the Proposer:</p> <ul style="list-style-type: none"> <li>• understands the scope of work</li> <li>• provides an onsite project manager and implementation team</li> <li>• presents a viable implementation plan</li> <li>• provides a comprehensive and flexible training plan</li> <li>• clearly identifies any County resources that may be required in particular phases of the project, and</li> <li>• defines a support model for go-live and post-implementation phases</li> </ul>
Vendor Experience and Proposed Project Team Qualifications	<p>Evidence of the Proposer's ability to successfully fulfill the scope of work outlined in this RFP. Such evidence may include information from the proposed project team credentials; vendor's business model, reputation, and previous projects; reference checks and site visits; research of public information; and other information.</p>
Cost	<p>Price of services solicited in this RFP, including the costs of technology, consulting, design, testing, conversion, testing, go-live, and post-implementation maintenance and support.</p>
On-Site Demonstrations	<p>Demonstrated ability of the proposed system(s) to meet the needs of the County and demonstrated capability of the project team</p>

**G.2.3 Creation of a Short List**

The evaluation factors will be used to assist the Evaluation Committee in determining a short list. Proposers will be notified by the County if they have been selected for the short list. Please note, Lake County reserves the right to not short list any and all Proposers if it is not in the best interest of the County.

**G.3 Phase 3 – Interviews/ Demonstrations and Re-Ranking of Proposals**

The County, at its sole discretion, reserves the right to have system demonstrations with those Proposers on the Proposer Short List, or any other Proposer. Demonstrations will be conducted at County offices. Demonstration scenarios are included in the RFP attachments. Time limitation and demonstration agenda will be provided with the invitation to demonstrate proposed systems.

Following vendor demonstrations, the Evaluation Committee will conduct a second round of scoring based on the evaluation criteria. Following the second round of scoring, the County may, at its discretion, elect to contact references provided by Vendors. As part of this process, the County may choose to perform site visits to one or more of the site visit reference provided by the Proposers. The County may request additional information or clarification of Proposals and hereby reserves the right to select the particular response to this RFP that it believes will best serve its business and operation requirements, considering the evaluation criteria. The information received through interviews/ demonstrations and contacting references will be used by the Evaluation Committee to re-evaluate and re-rank the Proposers.

**G.4 Phase 4 – Evaluation of Cost Proposals**

At the conclusion of the Interviews/ demonstrations for each Proposer considered acceptable, the corresponding cost proposal will be examined to determine if the cost proposal is consistent with the technical proposal and what was demonstrated, and its calculations are accurate.

The County reserves the right to request a Best and Final Offer (BAFO) if additional information or modified terms are necessary for the Evaluation Committee to complete its evaluation and ranking. A BAFO will not be used solely to seek a reduction in pricing. If a BAFO is requested, all short-listed proposers or, if the short list process is not used, all qualified Proposers will be provided an opportunity to submit a modified Response. Only one BAFO request will be issued by the County. The information received from the BAFO will be used by the Evaluation Committee to re-evaluate and re-rank the Proposers.

Any cost proposal that is incomplete or in which there are significant inconsistencies or inaccuracies may be rejected. Lake County reserves the right to reject any or all proposals.