Winnebago County - Purchasing Department

404 Elm Street Room 202
Rockford, Illinois 61101
(815)319-4380 purchasing@purchasing.wincoil.gov

REQUEST FOR PROPOSALS	24P-2331	ISSUE DATE	6/17/2024
RFP TITLE	Circuit Clerk CMS, Attorney CMS, and Court Services Management		
RFP DUE DATE	8/9/2024	DUE TIME (CST)	11:00 AM
SUBMIT **2 PAPER COPIES, PLUS 1 MEMORY STICK**	BOND REQUIRED	PERFORMANCE	

The County of Winnebago, Illinois, (County) hereby solicits qualified and interested firms to submit Proposals for <u>one or more</u> of the services necessary to provide one or more of the Circuit Clerk CMS, Attorney CMS, and/or Court Services applications for the County.

Proposals must be delivered by the date and time listed under **Schedule of Events** to:

Winnebago County Purchasing Department
404 Elm Street - Room 202   Rockford, IL 61101
purchasing@purchasing.wincoil.gov

OVERVIEW OF THE COURT SYSTEM IN THE COUNTY OF WINNEBAGO, ILLINOIS:
The County of Winnebago is a unit of local government in the State of Illinois with a current population of almost 300,000 as estimated by the US Census Bureau, within its 519 square miles. It is the 7th most populous County in Illinois. The Winnebago, Illinois county court system handles thousands of court cases each year across several core divisions: the civil division, the criminal division and the juvenile division. Each core division is comprised of several departments, operating independently but cooperatively to serve the needs of the justice system.

GENERAL REQUIREMENTS
This is a County Request for Proposals pursuant to Section 2-357(c) of the County's Purchasing Ordinance (Ordinance). Through this RFP procedure, "the County seeks to contract for a project or service whose goals, tasks or results are known, but for which the procedure or method of accomplishing same either may not be specified or is otherwise undetermined." Proposals will be opened and evaluated in private and submittal information will be kept confidential until a contract is awarded. Once an award is made, procurement information shall be a public record as defined by the Illinois Freedom of Information Act (5 ILCS 140/1 et seq.) (FOIA). Please do not include any trade secret or confidential information in your proposal, unless clearly marked with the appropriate exception that applies under FOIA. Also see Section 2-357(p) of the Ordinance.

SUBMISSION DATE AND TIME
No later than 11:00 a.m. (CST) on August 9, 2024— Proposals received after the submittal time will be rejected. (Refer to Schedule of Events)

NON-MANDATORY PRE-PROPOSAL MEETING

There will be a non-mandatory PRE-PROPOSAL MEETING on July 1, 2024 at 1:00 PM over Zoom. VENDORS MUST REGISTER IN ADVANCE by emailing purchasing@purchasing.wincoil.gov. The Zoom link will only be distributed to registered Vendors. Vendors will be able to ask questions during this meeting. Answers will be distributed in writing to all registered Vendors. Attending the Pre-Proposal Vendor Conference is strongly recommended, but not required in order to bid.

SCHEDULE OF EVENTS

6/17/2024	RFP Solicitation is made available on our website wincoil.gov
7/1/2024 – 1:00 PM	Non-Mandatory Pre-Proposal meeting (Zoom link will only be sent to Registered Vendors)
7/8/2024	**Questions may be emailed to purchasing@purchasing.wincoil.gov** by 4:00 PM
7/22/2024	Questions answered via Addendum sent and posted on website by 4:00 PM
8/9/2024	**RFP submittals due by 11:00 AM**
Sept 3-27 2024	*Vendor Demonstration Period*
October 2024	**Projected Award Date**
2/18/2024	*Pricing Guaranteed Through This Date*

CONTACT: purchasing@purchasing.wincoil.gov

Any communication regarding this invitation between the date of issue and date of award is required to go through the contact listed above. Unauthorized contact with other County Officers or employees is strictly forbidden and may result in disqualification of Responder's Proposal.

1. Any item not specifically mentioned, but necessary for the delivery and operation of the system shall be included in this RFP.
2. The Proposal must include infrastructure, management and professional services necessary for supporting the needs of the County.

The requirements have been divided into the following sections. Every vendor must respond to the Statement of Work (SOW) sections A, B, C, D, the General Application Features in section E, and the Corporate Status and Project Management in section I. The application-specific sections (F, G, H) should be answered if the application is part of your proposal. **As noted herein, you may respond to one or more of the application-specific sections**. Each application will be evaluated independently by a dedicated team of subject matter experts in that application. There may be some overlap of reviewing personnel on different applications.

Please note:
- o Responses do not require narrative responses if diagrams, lists, or images can be provided.
- o Requests that begin with "Indicate if…." simply require a confirmation, but expand on any limitations.

	General Platform Requirements
A	SOW – Network Architecture
B	SOW – Application and Data Architecture
C	SOW – Integration Architecture
D	SOW – Development Operations Architecture
E	General Application Features
	Application Specific Requirements
F	Circuit Clerk CMS Specific Features
G	Court Services CMS Specific Features
H	State's Attorney and Public Defender Features
	Corporate Status and Project Management
I	SOW – Corporate Health, Background and Project Management

3. Proposers who meet the minimum expectations of the written requirements should plan on providing demonstrations covering the features of their Proposal. Proposer on-site visits are encouraged, but the demonstration(s) may be held over Zoom.
4. Proposal Subject of any email response with Proposal attachment should read "**Circuit Clerk CMS, Attorney CMS, and Court Services**".

Clarification and/or Questions shall be submitted by email to purchasing@purchasing.wincoil.gov and no later than the question deadline indicated in the Schedule of Events.

All Proposals are subject to staff analysis. The County reserves the right to accept or reject any and all Proposals received, and waive any and all technicalities.

PLEASE REVIEW THIS ENTIRE DOCUMENT CAREFULLY.

SECTION ONE: GENERAL CONDITIONS

AMERICANS WITH DISABILITIES ACT

The Proposer will comply with all applicable provisions of the Americans with Disabilities Act (Public Law 101-336, 42 USC 12101-12213) and all applicable Federal Regulations under the Act, including 28 CFR Parts 35 and 36.

CANCELLATION

The County of Winnebago reserves the right to cancel any Contract in whole or in part without penalty due to failure of the Proposer to comply with terms, conditions and specifications of their awarded Contract.

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION

The Proposer certifies, by submission of this Proposal or acceptance of this Contract, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency. It further agrees by submitting this Proposal that it will include this clause without modification in all lower tier transactions, solicitations, Proposals, Contracts, and Subcontracts. Where the Proposer or any lower tier participant is unable to certify to this statement, it shall attach an explanation in their Proposal response.

Additionally, for all new Proposers to be paid, the Purchasing Department will review the Federal and State Excluded Parties List System prior to requesting the Proposer be created in the County's accounting system.

COMPLIANCE WITH LAWS

All services, work and materials that in any manner affect the production, sale, or payment for the product or service contained herein must comply with all Federal, State, County and Municipal laws, statutes, regulations, codes, ordinances and executive orders in effect now or later and whether or not they appear in this document, including those specifically referenced herein. The successful Proposer must be authorized to do business in the State of Illinois, and must be able to produce a Certificate of Good Standing with the State of Illinois upon request.

The Proposer must obtain all licenses, certificates and other authorizations required in connection with the performance of its obligations hereunder, and Proposer must require any and all Subcontractors to do so. Failure to do so is an event of disqualification and/or default and may result in the denial of this Proposal and/or termination of the Contract.

In the event Federal or State funds are being used to fund this Contract, additional certifications, attached as addenda, will be required. Lack of knowledge on the part of the Proposer will in no way be cause for release of this obligation. If the County becomes aware of violation of any laws on the part of the Proposer, it reserves the right to reject any Proposal, cancel any Contract and pursue any other legal remedies deemed necessary.

COST OF THE PROPOSAL

Expenses incurred in the preparation of Proposals in response to this RFP is the Proposer's sole responsibility. There is no expressed or implied obligation by the County to reimburse any individual or firm for any costs incurred in preparing or submitting Proposals, providing additional information when requested by the County, or for participating in any selection interviews.

DISPUTES

In case of disputes as to whether or not an item or service quoted or delivered meet specifications, the decision of the Director of Purchasing, or authorized representative, shall be final and binding to all parties.

FREEDOM OF INFORMATION (FOIA)

Any responses and supporting documents submitted in response to a Proposal will be subject to disclosure under the Illinois Freedom of Information Act, 5 ILCS 140/1 et seq. The County will assume that all information provided in a Proposal is open to inspection or copying by the public unless clearly marked with the appropriate exception that applies under FOIA.

Additionally, if providing documents that you believe fall under an exception to FOIA, please submit both an un-redacted copy along with a redacted copy which has all portions redacted that you deem to fall under a FOIA exception.

INDEMNITY

The Proposer shall, at all times, fully indemnify, hold harmless, and defend the County of Winnebago and their officers, agents, and employees from and against any and all claims and demands, actions, causes of action, and cost and fees of any character whatsoever made by anyone whomsoever on account of or in any way growing out of the performance of this Contract by the Proposer and its employees, or because of any act or omission, neglect or misconduct of the Proposer, its employees and agents or its Subcontractors including, but not limited to, any claims that may be made by the employees themselves for injuries to their person or property or otherwise, and any claims that may be made by the employees themselves or by the Illinois Department of Labor for the Proposer's violation of the Illinois Prevailing Wage Act (820 ILCS 130/1 et seq.).

Such indemnity shall not be limited by reason of the enumeration of any insurance coverage or bond herein provided. Nothing contained herein shall be construed as prohibiting the County of Winnebago and their officers, agents, or its employees, from defending through the selection and use of their own agents, attorneys and experts, any claims, actions or suits brought against them.

The Proposer shall likewise be liable for the cost, fees and expenses incurred in the County's or the Proposer's defense of any such claims, actions, or suits. The Proposer shall be responsible for any damages incurred as a result of its errors, omissions or negligent acts and for any losses or costs to repair or remedy construction as a result of its errors, omissions or negligent acts.

NON-COLLUSION

The Proposer, by its officers, agents or representatives present at the time of filing this RFP, say that neither they nor any of them, have in any way directly or indirectly, entered into any arrangement or agreement with any other Proposers, or with any public officer of the County of Winnebago, Illinois, whereby, the Proposer has not paid or is to pay to such Proposer or public officer any sum of money, anything of value or has not directly or indirectly entered into any arrangement or agreement with any other Proposer(s). Whereby, no inducement of any form or character other than that which appears upon the face of the RFP will be suggested, offered, paid or delivered to any person whomsoever to influence the acceptance of the said RFP or understanding of any kind whatsoever, with any person whomsoever to pay, deliver to, or share with any other person in any way or manner, any of the proceeds on the Contract sought by this RFP.

PREVAILING WAGE

Prevailing rate of wages as determined by the Illinois Department of Labor does apply to some or all work performed on this contract and paid to all laborers, workers and mechanics performing work under this contract. State statutes regarding Prevailing Wage and the current wage rates are available online. Proposer must retain payroll records for five (5) years and make those records available for inspection by the County or the Illinois Department of Labor. It is the Proposer's responsibility to comply with these requirements and to assure compliance by their subcontractors.

LOCAL GOVERNMENT PROMPT PAYMENT ACT

The Proposal should provide that all payments are subject to the Local Governmental Prompt Payment Act, 50 ILCS 505/1 et seq.

PROTEST

Firms wishing to protest any RFP and/or awards shall notify the Director of Purchasing in writing within five (5) business days after the RFP due date/opening. The notification should include the RFP number, the name of the firm protesting and the reason(s) why the firm is protesting the RFP. Subject to Section 2-359 (c)(2) of the Ordinance, if the protest or claim is not resolved by a mutual agreement, the Director of Purchasing shall promptly issue a decision in writing, and it shall be immediately mailed or otherwise furnished to the protestor.

RESERVATION OF RIGHTS

The County of Winnebago reserves the right to reject any or all Proposals failing to meet the County specifications or requirements and to waive technicalities. If, in the County's opinion, the lowest Proposal is not the most responsible Proposal, considering value received for monies expended, the right is reserved to make awards as determined solely by the judgment of the County. Intangible factors, such as the Proposer's reputation and past performance, will also be weighed. Also see Section 2-357(s) of the Ordinance.

The Proposer's failure to meet the mandatory requirements of the RFP will result in the disqualification of the Proposal from further consideration.

The County further reserves the right to reject all Proposals and obtain goods or services through intergovernmental or cooperative agreements, or to issue a new and revised RFP. The County reserves the right to award to more than one Proposer.

Submission of a Proposal confers no rights on the Proposer to a selection or to a subsequent Contract. All decisions on compliance, evaluation, terms and conditions shall be made solely at the County's discretion and shall be made in the best interest of the County.

TERMINATION, CANCELLATION AND DAMAGES

The County may terminate based on the Proposer's breach or default. Unless the breach or default creates an emergency, as determined in the County's sole discretion, the Proposer shall be given notice and a five (5) day opportunity to cure before the termination becomes effective.

If the County terminates this Contract because of the Proposer's breach or default, the County shall have the right to purchase items or services elsewhere and to charge the Proposer any additional cost incurred, including but not limited to the cost of cover, incidental and consequential damages and the cost of re-bidding. The County may offset these additional costs against any sums otherwise due to the Proposer under this Proposal or any unrelated Contract. The County may terminate any Contract or agreement resulting from this RFP at any time for any reason by giving at least thirty (30) days' notice in writing to awarded Proposer. If the Contract

is terminated by the County as provided herein, the Proposer will be paid a fair payment as negotiated with the County for the work completed as of the date of termination, unless as otherwise provided by the executed Contract between the County and Proposer.

PROPOSER'S RESPONSIBILITY FOR SERVICES PROPOSED

The Proposer must thoroughly examine and will be held to have thoroughly examined and read the entire RFP document. Failure of Proposer's to fully acquaint themselves with existing conditions or the amount of work involved will not be a basis for requesting extra compensation after the award of a Contract.

MODIFICATION OR WITHDRAWAL OF PROPOSALS

Proposals may be modified or withdrawn by an authorized representative of the Proposer or by formal written notice prior to the final due date and time specified for Proposal submission. Submitted Proposals will become the property of the County of Winnebago after the Proposal submission deadline.

However, no Proposer shall withdraw or cancel their Proposal for a period of sixty (60) days after said advertised closing time for the receipt of Proposals; the successful Proposer shall not withdraw or cancel their Proposal after having been notified by the Director of Purchasing that said Proposal has been accepted by the County Board.

The Proposer, by signing the Proposal Bid Form, acknowledges, understands and abides by all of the above "Requirements for Bidding and Instructions to Proposers".

END OF SECTION ONE: GENERAL CONDITIONS

SECTION TWO: INSTRUCTION TO PROPOSERS

INTRODUCTION/BACKGROUND
The County of Winnebago, Illinois (County) is seeking Proposals for **Circuit Clerk CMS, Attorney CMS, and Court Services.**

COPIES OF RFP DOCUMENTS
A. Only complete sets of RFP solicitation documents should be used for preparing Proposals. The County does not assume any responsibility for errors or misinterpretations resulting from the use of incomplete sets.

B. Complete sets of RFP solicitation documents must be obtained on the County's website.

C. Submitted Proposals MUST include all forms and requirements as called for in the Request for Proposals. Failure to include all necessary forms and licenses will result in a non-responsive Proposal.

EXAMINATION OF RFP DOCUMENTS
Each Proposer shall carefully examine the RFP and other documents, including but not limited to any and all conditions and requirements that may in any manner affect cost, progress, or performance of the work to be performed under the Proposal. Ignorance on the part of the Proposer shall in no way relieve him/her of the obligations and responsibilities assumed under the Proposal.

Should a Proposer find discrepancies or ambiguities in, or omissions from, the specifications, or should they be in doubt as to their meaning, they shall immediately notify the County by email at purchasing@purchasing.wincoil.gov by the Schedule of Events deadline.

INTERPRETATIONS, CLARIFICATIONS, AND ADDENDA
No oral interpretations or clarifications will be made to any Proposer as to the meaning of the documents or the contents contained therein. Any inquiries or requests for interpretation must be received *in writing* by the date specified, in the Schedule of Events, emailed to purchasing@purchasing.wincoil.gov.

All such changes, clarifications or interpretations will be made in writing in the form of an addendum and, if issued, shall be posted on the County's website no later than five (5) business days prior to the established Proposal due date. It shall be the Proposer's sole responsibility thereafter to find and download the addendum.

Each Proposer MUST acknowledge receipt of such addenda on the Proposal Signature Form. All addenda are a part of the documents and each Proposer will be bound by such addenda, whether or not received by him/her. It is the responsibility of each Proposer to verify that he/she has received all addenda issued before Proposals are opened.

GOVERNING LAWS AND REGULATIONS
The Proposer is required to be familiar with and shall be responsible for complying with all Federal, State, and local laws, ordinances, rules, and regulations that in any manner affect the work. Knowledge of occupational license requirements and obtaining such licenses for the County and municipalities within the County are the responsibility of the Proposer.

HOLD HARMLESS CLAUSE
The Proposer covenants and agrees to indemnify, hold harmless and defend the County, its Board members, officers, employees, agents and servants from any and all claims for bodily injury, including death, personal injury, and property damage, including damage to property owned by

County, and any other losses, damages, and expenses of any kind, including attorneys' fees, costs and expenses, which arise out of, in connection with, or by reason of services provided by the Proposer or any of its Sub-consultant(s) in any tier, occasioned by the negligence, recklessness, or intentionally wrongful conduct of the Proposer, or its Sub-consultant(s) in any tier, their officers, employees, servants or agents. In the event that the completion of the project (to include the work of others) is delayed or suspended as a result of the Proposer's failure to purchase or maintain the required insurance, the Proposer shall indemnify the County from any and all increased expenses resulting from such delay.

Should any claims be asserted against the County by virtue of any deficiency or ambiguity in the plans and specifications provided by the Proposer, the Proposer agrees and warrants that Proposer shall hold the County harmless and shall indemnify it from all losses occurring thereby and shall further defend any claim or action on the County's behalf.

SIGNATURES ON PROPOSALS

The Proposer must sign the Proposal forms in the space provided for the signature. If the Proposer is an individual, the words "Doing Business As", or "Sole Owner" must appear beneath such signature. In the case of a Partnership, the signature of at least one of the partners must follow the firm name and the words "Member of the Firm" should be written beneath such signature.

If the Proposer is a limited liability company, the title of person signing the Proposal on behalf of the limited liability company must be stated and evidence of his authority to sign the Proposal must be submitted.

SUBMISSION OF PROPOSALS

A. Proposals shall be submitted to the County at the designated location not later than the time and date for receipt of Proposals indicated in the RFP solicitation, or any extension thereof made by Addendum. The County's representative authorized to open the Proposals will decide when the specified time has arrived and no Proposals received thereafter will be considered. Proposals received after the time and date for receipt of Proposals will be returned unopened to the Proposer.

B. The Winnebago County Purchasing Department receives Proposals by paper only. Please DO NOT email or fax Proposals.

C. Each Proposer shall submit with his Proposal the required evidence of his qualifications and experience.

BID BOND NOT REQUIRED: A Bid Bond is not required.

PERFORMANCE BOND REQUIRED: Within fourteen (14) calendar days of notification of Contract award, a Performance Bond for the amount of the Contract will be required from the successful Proposer and shall be valid throughout the life of the Contract. The Performance Bond will be returned at the successful completion of the Contract. Failure to furnish the required bond within the time specified may be cause for rejection of the Bid and any bid deposit may be retained by the County as liquidated damages and not as a penalty.

REQUIRED COUNTY FORMS

Proposer shall complete and execute the forms specified in the RFP (Proposal Signature Form, Vendor Registration Form and Suspension and Debarment Certification Form); failure to provide executed documents may result in Proposer being determined to be not fully responsive to the RFP.

MODIFICATION OF PROPOSALS
Written modification will be accepted from firms if addressed to the County and address indicated in the Request for Proposals and received prior to Proposal due date and time. Prior to the time and date designated for receipt of Proposals, any Proposal submitted may be modified by delivery to the County Purchasing Department of a complete Proposal as modified.

All emails shall be marked "Modified Proposal" and delivery shall comply with requirements for the original Proposal.

RESPONSIBILITY FOR PROPOSAL
The Proposer is solely responsible for all costs of preparing and submitting the Proposal, regardless of whether a contract award is made by the County. *Unless otherwise specified by the Proposer, the County has at least than one hundred eighty (180) days to make a final selection.*

RECEIPT AND OPENING OF PROPOSALS
The properly identified Proposals received on time will be opened by the County Purchasing Department. Any Proposal not received by the Purchasing Department on or before the deadline for receipt of Proposals designated in the solicitation or Addendum(s) will not be opened and will be returned to the Proposer.

AWARD OF CONTRACT
A. The County reserves the right to waive any informality in any Proposal, or to re-advertise for all or part of the work contemplated. If proposals are found to be acceptable, written notice will be given to the selected Proposer of the award of the contract. The County reserves the right to reject any and all Proposals.

B. If the award of a contract is annulled, the County may award the contract to another Proposer(s), or the work may be re-advertised or may be performed by other qualified personnel as the County decides.

C. A contract will be awarded to the Proposer(s) deemed to provide the services which are in the best interest of the County.

D. The County also reserves the right to reject the Proposal of a Proposer who has previously failed to perform properly or to complete contracts of a similar nature on time.

MANDATORY OR NON-MANDATORY PRE-PROPOSAL MEETINGS
If identified in the issued solicitation, the County may conduct a Mandatory or Non-Mandatory Pre-Proposal meeting to explain the procurement requirements and/or allow prospective Proposers to inspect the location where the work will be performed. When applicable, the solicitation will identify whether a Mandatory or a Non-Mandatory Pre-Proposal Meeting and/or inspection will be held. The Director of Purchasing, or designee, is responsible for facilitating the Mandatory or Non-Mandatory Pre-Proposal Meeting. The Director of Purchasing, or designee will require that all attendees sign-in on a Pre-Proposal Meeting Sign-In Form and that form will be maintained as part of the solicitation file.

Open dialog from potential Proposers and the County is encouraged during the pre-Proposal meeting and/ or inspection as Proposer questions may assist the County in identifying potential gaps in the solicitation and provide valuable information a Proposer may need to submit an accurate Proposal. All questions, including those that are addressed at any Pre-Proposal Meetings, MUST be emailed as well to purchasing@purchasing.wincoil.gov. Statements made by the Director of Purchasing or designee at a Pre-Proposal Meeting and/or inspection are not

considered revisions or additions to the solicitation.

Any changes made to the solicitation following a Pre-Proposal Meeting must be made in writing and will act as an addendum to the original issued solicitation.

END OF SECTION TWO: INSTRUCTION TO PROPOSERS

SECTION THREE: INSURANCE REQUIREMENTS

TYPE OF INSURANCE	MINIMUM ACCEPTABLE LIMITS OF LIABILITY
Workers Compensation	Statutory
Employers Liability	
A. Each Accident	$2,000,000
B. Each Employee-disease	$2,000,000
C. Policy Aggregate-disease	$2,000,000
Commercial General Liability	
A. Per Occurrence	$5,000,000
B. General Aggregate	$5,000,000
1. General Aggregate- Per project	$5,000,000
2. General Aggregate - Products/ Completed Operations	$5,000,000
Business Auto Liability	$2,000,000
General Umbrella Excess Liability	$5,000,000

CERTIFICATE OF INSURANCE AND INSURANCE REQUIREMENTS

The Proposer shall be responsible for all necessary insurance coverage as indicated below. Certificates of Insurance must be provided to the County of Winnebago within fifteen (15) days after award of contract or acceptance of the Proposal, with the County of Winnebago listed as additional insured as indicated. If the proper insurance forms are not received within the fifteen (15) day period, the contract may be awarded to the next selected Proposer/Proposer. Policies shall be written by companies licensed to do business in the State of Illinois and having an agent for service of process in the State of Illinois that are acceptable to the county. This generally requires that the companies shall have an A.M. Best rating of VI or better.

The County shall be named as an Additional Insured on the General Liability and Vehicle Liability policies. At its' own expense, the Proposer shall maintain the insurance for the duration of the contract.

CHANGES IN INSURANCE COVERAGE

The Proposer will immediately notify the Winnebago County Purchasing Department if any insurance has been cancelled, materially changed, or renewal has been refused and the Proposer shall immediately suspend all work in progress and take the necessary steps to purchase, maintain and provide the required insurance coverage(s) and limits.

If suspension of work should occur due to insurance requirements, upon verification by the County of required insurance, the County will notify Proposer when they can proceed with work.

Failure to provide and maintain required insurance coverage(s) and limits could result in immediate cancellation of the Contract and the Proposer shall accept and bear all costs that may result due to the Proposer's failure to provide and maintain the required insurance.

END OF SECTION THREE: INSURANCE REQUIREMENTS

SECTION FOUR: SCOPE OF WORK

PROPOSAL INTENT

The County reserves the right to reject any or all Proposals or parts thereof and to waive minor irregularities or technicalities in responses. Qualifications, including relevant experience, will be considered. All documents are sensitive in nature and often have stringent security requirements. The Proposer must perform tasks at the direction of the County.

The County reserves the right to alter the Proposal specification prior to the Proposal submission deadline by issuance of an addendum to the RFP. If deemed necessary, additional time may be provided to comply with the specifications in any addendum.

INTRODUCTION

The County of Winnebago, Illinois county court system handles thousands of court cases each year across several core divisions: the civil division, the criminal division, and the juvenile division. Each core division is comprised of several departments, operating independently but cooperatively to serve the needs of the justice system.

Under increasing pressure for a faster, fairer justice system and increasing financial stress to accomplish more with fewer public resources, integrated justice systems offer a solution. Integrated justice concepts provide the opportunity for stakeholders and departments to electronically share accurate and timely information, while eliminating or significantly reducing the delays and potential errors introduced by manual intervention.

> **With this goal in mind and with the cooperation of key stakeholders in the county justice system, the Winnebago County Circuit Clerk is offering this Request for Proposals to provide a Circuit Clerk case management system (CMS) to serve as the foundation for deploying integrated justice concepts within Winnebago County.**
>
> **In addition to the Circuit Clerk CMS, the Winnebago County Circuit Clerk is also offering an opportunity to provide a Court Services & Probation/Supervision case management system (Court Services CMS) to manage pretrial services, juvenile detention, adult and juvenile probation services, and targeted intervention programs.**
>
> **Next, Winnebago County is offering an opportunity to provide a State's Attorney and a Public Defender case management application (Attorney CMS) to manage the attorney records management requirements, discovery, document/template creation, and workflow. The Attorney application will also require substantial integration with both the Circuit Clerk CMS and Court Services CMS. (*Note that it is acceptable if the platform uses different applications for the State's Attorney/Prosecutor side and the Public Defender side.*)**
>
> **Lastly, the Request is asking for a substantial number of integration services with third-party applications in order to provide accurate and efficient workflows for all the stakeholders, as well as the ability to meet the demands of the local and state data collection and reporting requirements.**

While a single-vendor integrated Circuit Clerk CMS, Court Services CMS, and Attorney CMS system would satisfy many requirements, the Circuit Clerk is willing to consider standalone case management systems with exceptional integration capabilities. Proposals may respond to one or more of these three systems.

RFP Stakeholders

Winnebago County Circuit Clerk
The Winnebago County Circuit Clerk is the record keeper of the county trial court system, keeping both official and unofficial records of the court and performing a wealth of administrative and reporting duties as required by federal, state and local rules. While many of these duties are currently completed electronically, many more still require a degree of manual intervention from supplemental data entry to handling some processes on paper.

The Circuit Clerk requires integration with many justice partners as part of this RFP, including but not limited to the State's Attorney, Public Defender, County Jail, our electronic citation and complaint vendor, debt collection partners, etc. The Circuit Clerk also requires substantial data reporting services to either generate complex reports or provide data through web services to several state agencies and research institutions.

Winnebago County Court Administration and Judiciary
Winnebago County Court Administration is currently responsible for the administration of the trial court including, case flow management, fiscal management, statistical analysis and projections, including directing day-to-day operations and performance management.

Court administration sets and manages the court calendar for the court. This includes defining the parameters for each courtroom (i.e. civil cases, certain case categories only, certain case types only, first appearances only, etc.), different schedules and exclusions for each court room, different timeslots for different reasons (returns, motions), maximum number of cases that be on the session docket, managing judicial assignments, randomization guidelines (i.e. 25% to Room A, 75% to Room B) etc. The management of the calendar is an on-going task, it is not a "set and forget" schedule.

The Winnebago County Judiciary is also a significant stakeholder in the integrated justice system. A bench management feature or interface is critical to the success of implementing a new case management system.   Winnebago County experiences several high-volume courts, such as traffic court, small claims and eviction courts, and an intuitive, fast and efficient judicial interface is critical to successfully managing these dockets.

Winnebago County Court Services (Probation/Supervision/Detention)
The Winnebago County Department of Court Services has many responsibilities to the court and to the defendant across the life of a court case. The Department is organized into the following Divisions and various units.
- The Adult Probation Division manages a staff of adult probation officers and specialty probation officers assigned to domestic violence units, sex offender units, drug court units, veterans' units, etc.

- The Juvenile Probation Division includes the Juvenile Assessment Center, and manages a staff of juvenile probation officers, court appointed special advocates (CASA), behavioral therapists, recovery specialists, etc. Juvenile Probation Officers may also be assigned to specialized units such as Redeploy, school based or sex offenders.
- The Juvenile Detention Center Division manages a housing facility of 48 beds for minors between the ages of 10 and 20, and also offers a core academic curriculum, supportive and therapeutic programs, etc. to juvenile detainees. The Detention Center also manages a staff of detention officers, contracted professionals and volunteers.
- The Pretrial Services Division is responsible for providing pretrial reports and risk assessments to assist the court in making initial release decisions. They also supervise defendants ordered to Pretrial Services and report compliance with conditions of release to the Court.
- The Resource Intervention Center (RIC) manages a large suite of programs and services for targeted interventions after individual assessments identify areas of concern, risk and needs. Programs include mental health, recovery, parenting, cognitive behavioral change programs and other educational programs. The RIC manages a staff of adult probation officers and behavioral experts, as well as many contracted professional resources.

This Department is also responsible for:
- Providing a pre-sentence report to the court upon request, which are used to guide the court in imposing an appropriate sentence.
- Providing public service work, supervision or probation monitoring services to defendants, such as drug testing, as ordered by the court.
- Providing supplemental intervention programs based on the defendant's individual risk factors to reduce their risk of re-offending.
- Assessing juvenile offenders who may be released to guardians or confined to juvenile detention.

Winnebago County State's Attorney and Public Defender
The Winnebago County State's Attorney's Office is the chief prosecuting officer in the county. The Office's criminal division is divided into multiple divisions, such as misdemeanor, DUI/traffic, domestic violence, drug prosecution, general felony, juvenile delinquency, child protection and investigations. The Office is also responsible for managing defendants during the pretrial process either to release or seek to detain an individual, or seek to revoke a pretrial release. The Office screens criminal charges, and may file an information or indictment.

The State's Attorney's Office also has a civil division, which is responsible for all civil matters on behalf of the county and representing the county departments in legal matters.

The Office also manages several programs such as deferred prosecution, and several problem-solving courts. The State's Attorney also assists crime victims and witnesses in navigating the criminal justice system, providing supporting services to victims of domestic violence and other

violent crimes.

The Winnebago County Public Defender's Office represents defendants in criminal matters by appointment, in felony, misdemeanor and juvenile court. The judge appoints the Public Defender when they make an indigent ruling that the defendant cannot afford a lawyer. The Public Defender also represents defendants under the Pretrial Fairness Act at their detention hearings.

Additional Stakeholders

While the Circuit Court Clerk, Court Services Department and State's Attorney/Public Defender are replacing their case management systems, other offices and departments within the county have existing software that will be impacted by software integrations as we are working towards the goal of an integrated justice environment.

These County stakeholders are:
- 17th Circuit Court Administration and the Office of the Chief Judge
- The Winnebago County Judiciary
- Winnebago County Jail (currently OffenderTrak, 2024 migration to SallyPort by Black Creek Integrated Systems)
- Winnebago County Sheriff and municipal law enforcement agencies (CentralSquare Enterprise RMS, digiTicket electronic citations)

GOALS

Goal 1: To procure a modern and flexible case management system(s) that will satisfy the strategic plans of the Illinois court system for the next fifteen years.

Goal 2: To improve the reliability, access, and ease of sharing of information across all platforms of the judicial stakeholders.

Goal 3: To modernize, streamline, and manage court processes, to improve timeliness of stakeholder access to data and increase the effective use of judicial branch resources.

Goal 4: To improve communication and expand services to support the court participants as they navigate the court system.

This project will select a vendor whose solution(s) deliver:
- Cloud-based secure file storage, including disaster recovery protocols.
- Convenient Case and Document Access, with restrictions limited to user roles or functions, confidentiality and accessibility indicators.
- Document and data sharing, integration with other stakeholder applications is also required.
- Document handling, including importing paper scans, emailed documents, and those received from electronic filing.

- An efficient and effective judicial interface to facilitate easy management of the court docket.
- Workflow processing, for process automation or cross-functional notifications, including supervisory dashboard views.
- Enhanced communication and services to our clients, including public and protected access portals, text and email notification, voice response systems, automatic notice generation, etc.

Strategic Concerns

Concern 1: Ensure the protection of confidential Information while providing appropriate access to information to the public, case litigants, attorneys, law enforcement services, and other justice providers.

Concern 2: Establish specifications for software integration and data sharing to deliver relevant data, in a secure manner, between stakeholders and their case management systems.

Concern 3: The information technology infrastructure must be secure, fast, reliable, highly available, and redundant. It must also be maintained according to industry standards. Winnebago County is seeking a cloud-hosted solution for the Circuit Clerk CMS, Attorney CMS and the Court Services CMS applications.

Concern 4: Manage the changing landscape of state statutory and reporting requirements in an efficient and cost-effective manner.

A configurable system is important to the Winnebago County judicial environment. Business processes, data collection and reporting, and procedural rules often change due to circumstances beyond our control. It is important that the case management configurations be within the control and ability of Winnebago County with limited if any involvement of the vendor.

Current Environments

Current Environment – Circuit Court Clerk

The Winnebago County Circuit Clerk has 100 employees supporting 22 courtrooms in three physical locations.   The current case management system for both the Clerk and Court Services is FullCourt Enterprise (FCE), from Avenu Insights and Analytics.   FullCase is also in use at the State's Attorney and Public Defender offices. FullCourt Enterprise was deployed in 2010.   The following applications will require integration with any proposed new case management system.

The case management applications are currently hosted on premises, but for this procurement, the Clerk requires a cloud-based or hosted model.

      <u>Circuit Clerk caseloads in 2022</u>:

            Total caseload in 2022 – 45,525 cases, includes 3,881 cases classified as "Other"

                  Civil caseload filed in 2022 – 10,306 cases

                  Criminal caseload filed in 2022 - 6,804 cases

                  Juvenile caseload filed in 2022 – 950 cases

                  Traffic caseload filed in 2022 - 17,738 cases

<u>Electronic Citations</u>

The Winnebago Circuit Clerk has a county-wide enterprise license for Saltus Technologies' digiTICKET eCitation software for all law enforcement. In addition to traffic citations, digiTICKET also provides a criminal complaint application for misdemeanors and felonies, and the integration provides data and images.

Online Orders of Protection/Online Search Warrants and Electronic Preparation of the Record on Appeal
The Winnebago Circuit Clerk has a county-wide enterprise license for online orders of protection and online search warrants, using several products from Conscisys Corporation. The Clerk also uses the E-Appeal software to package the record on appeal for the 4th District Appellate Court.

State of Illinois Initiatives
- Civil electronic filing is mandatory in Illinois, for all civil case types and all courts are required to use the statewide Electronic Filing Manager (EFM), the Odyssey EFileIL product from Tyler Technologies. Filers, however, have the ability to apply for an e-filing exemption and file on paper directly with the circuit clerk.
- Criminal electronic filing is allowed in Illinois for subsequent filings on established cases, but is not yet mandatory. Criminal e-filing may be made mandatory in the future. Subsequent electronic filing on criminal cases will be implemented through this proposal, however criminal case initiation through the EFM has not yet been defined.
- Re:SearchIL is an online portal hosted by Tyler Technologies that provides access to filed documents to judges, attorneys, case parties and the general public. Currently, only circuit clerks, attorneys and legal services providers have access to non-confidential documents in six civil case types. The level of access will expand in the future.
- Automated Disposition Reporting is an interface with the Administrative Office of Illinois Courts used to deliver criminal and traffic dispositions to the Illinois State Police and the Secretary of State.
- Statewide data and online reporting initiative – using a series of XML data schemas for the Clerk, Court Administration, Probation and Court Services, and Pretrial Services, the Administrative Office is working with trial courts to report caseload data, statistical and financial information to a Socrata data platform, Data and Insights hosted by Tyler Technologies.
- The Secretary of State provides a driver's license number algorithm for validating Illinois DL numbers.

Accounting and Financial Reconciliations
- Bank Reconciliation – electronic transaction reports are downloaded from Illinois Bank and Trust in Rockford IL.
- Debt Collection – debt collection services are provided by Harris and Harris. The integration with Harris and Harris serves two purposes; first, to provide the list of cases in need of debt collection (either adding cases, modifying balances or removing cases), and second, to manage the financial amounts collected by adding funds to the case and applying them to balances owed.
- PositivePay is used for checks that are issued.

Protected Access Portal for Attorneys
The attorney access portal has been implemented using CloudFlare. This portal is password protected for attorneys only, and offers attorneys the ability to view documents on a case.

Public Access Portal
The Public Access Portal is provided by the FullCase product, which accepts pleas of guilty, payments and document requests over the internet.

Current Environment – Court Services Department
The Court Services Department's current case management system is FullCourt Enterprise, from Avenu Insights and Analytics.   FullCourt Enterprise was deployed in 2010, and supports pretrial, juvenile and adult probation services, and is used by approximately 130 employees and contracted personnel.

It is important to note that information in Clerk case records and Court Services case records are currently co-mingled in the same case management application and access is controlled by role-based permissions.   Some information is shared between both case management applications, such as a defendant's acceptance into a specialty court or preparing a report ordered by court; however, treatment records and most entries recorded by Court Services personnel exist solely in the Court Services module and are only visible to Court Services user roles. This information is not available to the public, and extremely limited even to the client, with one notable exception being upcoming appointment or court date information. Some records are limited to their specific divisions within Court Services.

The Court Services Department provides a large number of services to defendants, both juvenile and adult. These services are offered pretrial, many of which occur prior to a court case being filed, pre-sentencing investigations, etc. and posttrial services, for supervision or probation monitoring, etc. The department also manages a Resource Intervention Center that offers a range of counseling, therapies, classes and targeted services to defendants designed to reduce recidivism and problematic behaviors.

The Court Services Division is responsible for two data schemas for the statewide data and online reporting initiative - the Probation and Pretrial schemas.   Currently, in order to satisfy these reporting requirements, some data is being collected in a separate database and merged with the data in the current Court Services CMS.   We are expecting to convert this supplemental data into the new CMS, which is approximately a year's worth of data, or 2000 records. Probation officers supplement this data with additional data entry in the new CMS as required.

    Court Services Caseloads from 2022
- Open caseload - 2,000 cases
- Active juvenile caseload - 220 cases
- Juvenile investigations – 1,115 cases
- Pretrial Initial Appearance Reports – 3,400 cases
- Supervised pretrial release – 1,200 cases
- Pretrial investigation reports – 200 reports

Current Environment – Court Administration and Judiciary
Court administration sets and manages the court calendar for the court. This includes defining the parameters for each courtroom (i.e. civil cases, certain case categories only, certain case types only, first appearances only, etc.), different schedules and exclusions for each court room, different timeslots for different reasons (returns, motions), maximum number of cases that be on the session docket, managing judicial assignments, randomization guidelines (i.e. 25% to Room A, 75% to Room B) etc. The management of the calendar is an on-going task, it is not a "set and forget" schedule.

While Court Administration uses FullCourt Enterprise, they have extensive reporting requirements that are not currently supported by FCE. They have turned to using Access databases and Excel spreadsheets to manage these other efforts.

- The Problem Solving Courts keep data in five separate Access databases in order to report to the AOIC. Participant data and progress is maintained separately for each specialty court, about 5,000 total records.
- Requests for interpreters are managed and manually compiled using Excel and Outlook.
- Requests for disability accommodations are manually compiled using Excel.

Court Administration is responsible for the Problem Solving Court data schema for the statewide data and online reporting initiative. Currently, in order to satisfy these reporting requirements, some data is being collected in four separate Access databases and merged with the data in the current Circuit Clerk CMS.

Current Environment – State's Attorney and Public Defender
The Winnebago County State's Attorney's Office uses FullCase from Avenu Insights and Analytics. The authority of the State's Attorney's office is defined under the Illinois Constitution and Illinois state statutes to prosecute defendants in traffic, criminal and juvenile courts. The State's Attorney's Office also has many responsibilities to notify, issues summons or subpoenas to victims, witnesses, law enforcement officers, and other agencies of a variety of court events. The Office has many responsibilities under the Pretrial Fairness Act, to take information from the Jail and the Court Services Pretrial Unit and decide whether or not to petition for pretrial detention or set conditions of release. Post-trial, the Office has the responsibility to petition to revoke probation or other forms of sentencing if the defendant is not compliant. The State's Attorney must exchange discovery with the Public Defender, as well as privately hired counsel. The prevalence of video evidence/discovery (body worn cameras) is a recent significant challenge to prosecuting criminal cases.

The Winnebago County Public Defender's Office also uses FullCase from Avenu Insights and Analytics. Winnebago County has a dedicated Public Defender's Office and does not share responsibilities with any other county. The Public Defender also has many responsibilities under the Pretrial Fairness Act, to take information from the Jail and the Court Services Pretrial Unit and negotiate with the State's Attorney and the Judge to set conditions of release. The Public Defender automatically represents all defendants at the pretrial hearings, unless the defendant arranges for outside counsel, but they will only be appointed by the judge for the term of the case if the defendant meets the income restrictions.

The State's Attorney and the Public Defender frequently exchange discovery in their cases.

Implementation and Deployment
Winnebago County will provide a full-time project manager who is responsible for clarifying requirements and facilitating the availability of subject matter experts when needed. This project manager will be available on a daily basis and will work with vendor personnel to document and report on the status of the project.

Requirements Section

Statement of Work – Deliverables for Implementation Period
If you are proposing more than one application (Circuit Clerk CMS, Attorney CMS and/or Court Services CMS), please clearly indicate any differences among the applications, i.e. the Circuit Clerk CMS is web-based, but the Attorney CMS is an installed client. Include relevant architecture diagrams if desired.

A. **Network Architecture**

1. Please provide a high-level overview of the <u>network architecture</u>, provide a network diagram if possible.

    - Describe (or provide a diagram of) the cloud hosting environment for your platform for the Circuit Clerk CMS, Attorney CMS and/or the Court Services CMS. Platform should be cloud-based in a private cloud in onshore data centers. Some hybrid options may be considered.

    - Winnebago expects a high-availability environment, with 24/7/365 availability, ideally a 99.999% availability.   Please describe your expectations for your platform.

    - Briefly list how data is secured during transport to and from the cloud solution and at-rest, end-to-end including any access from mobile devices, e.g. SSL, secure transport layer, encryption strategy, etc.

    - Can the platform scale up, including increases in case volume, document images, and messaging?

    - Please identify if there is a separate instance used for reporting services or document management systems. <u>If so</u>, please explain the architecture, system configuration differences, release management, etc. if the instance(s) differs from the main instance.

2. Identify the performance expectations, bandwidth expectations, and response times with the following user loads, and include optimal recommendations for the platform to provide the best performance:

    > Clerk users - 100 users, 7 days/week, 8am-5pm
    > Court users – 20 users
    > Judges – 25 users
    > Court Services users - 91 (24 juvenile officers, 38 adult, 12 pretrial, 6 RIC, 11 support staff)
    > Juvenile Detention - 40 officers, 48 beds
    > State's Attorney users- 86 (40 are attorneys)
    > Public Defender users – 40 (30 are attorneys)
    > Active private attorneys - 600 WCBA
    > Law enforcement users - 400
    > Public Access - potentially thousands
    > Total caseload in 2022 – 45,525 cases, includes 3,881 cases classified as "Other"
    >> Civil caseload filed in 2022 – 10,306 cases
    >> Criminal caseload filed in 2022 - 6,804 cases
    >> Juvenile caseload filed in 2022 – 950 cases
    >> Traffic caseload filed in 2022 - 17,738 cases

3. Identify any virtualization (e.g. VMWare) solutions in the platform, indicating if such solutions are required or recommended.

4. Identify any middleware solutions in the platform, indicating if such solutions are required or recommended.

5. Please indicate if your platform is CJIS compliant and if the cloud hosting provider is CJIS compliant, and provide the letter(s) of attestation if possible.

6. If credit card payments are accepted anywhere in the platform (including third party applications), please confirm that the platform meets the PCI DSS requirements. Include any attestations of compliance if possible.

7. Describe the disaster recovery/failover aspects of the platform to ensure business continuity, and also address the following:

   • Please explain how disaster recovery exercises are performed internally in the environment, and how often the exercises occur.

   • In the event of a disaster, please explain how the process is initiated and what the client should expect from the platform in the event of a recovery (including any additional costs), including the time it takes to return the platform to operability.

   • Please attach the SOC report if available.

B. Application and Data Architecture

8. At a high level, describe the application and data architecture of your platform:

   • If you are responding with an integrated proposal for multiple applications, the platform must have the ability to handle multiple large departments. The platform must be able to configure and restrict access to data by department.

   • Identify if all system applications or modules query a single database. If not, describe the internal interface between proposed applications.

   • The end user front-end with a web- or browser-based design is strongly preferred over a client application installation. Please indicate if the solution supports multiple browser tab sessions (i.e. one for data entry and one for searching), and/or multiple browser windows (separate windows) of the same application, etc.

   • How does the administrative/configuration user make changes to the platform, if substantially different from the normal end user front-end? Specifically, we would like to know if the configuration front-end is a separate application, or a client installed application, if the vendor must process the changes, or if the configuration/administrative role is simply granted access to an additional menu of choices.

9. Indicate if the platform can be accessed through a mobile or tablet device, and to what extent, if any, functionality is limited.

10. Describe the database environment, noting that a SQL-compliant relational database is strongly preferred (SQL Server is preferred), please elaborate on any alternative database usage, i.e. NoSQL. Please indicate if ODBC, JDBC, or similar is available for using peripheral software tools.

    • Explain how data is accessed by a client IT user, SQL access is preferred; however certain types of data may be represented in JSON or XML with different methods of access. (Client IT access is intended for troubleshooting, analytical queries, statistical analysis, data extraction, etc.)

- Explain if and/or how you will allow insertion or modification of data in the database, by direct data manipulation (e.g. SQL) or restricted to only integration interfaces, etc.

- Explain, from an IT or DBA perspective, where custom fields are stored within your data model, and indicate if custom fields are accessible from SQL queries (or similar), or through any API (or similar) interface, or through the reporting interface. Can a client IT or admin user add custom fields directly, or will the vendor need to be involved?

- Indicate if you will be providing a data dictionary or database schema for the database(s) upon contract award.

11. Describe how and where images and documents are stored in the platform, (e.g. database, separate DMS, file system, etc.) and how they are accessed from their location (e.g. through a stored URL, primary key, stored as a BLOB within a table, etc.)   Explain what document file types are supported in the platform. PDF format is required.

12. Indicate if the platform supports bar codes or QR codes on documents for quick case identification, such as on citation forms, fingerprint forms, etc.

13. Indicate if audio and/or video files can be uploaded to a case and attached to a case entry a court services record, or an attorney CMS record, and what file types are supported.   Please indicate if the audio/video files can be played directly from within a case file, or if proprietary players can be configured to play within a case. For example, an MP4 file may play, but a Panasonic body camera video may need a proprietary player.

14. Describe how user roles or user groups are created, and how security constraints are assigned to those roles. Winnebago County envisions a security matrix for user roles with assigned levels of access, viewing, data entry, editing and auditing. Permissions should include options that defines access to screens, functions, documents and case data for specific user groups. Can user access be defined per screen, field, and function (view, add, modify, delete)?

- How flexible are security constraints customizable to grant or restrict access based on a <u>variety</u> of factors, i.e. case categories or case types, confidentiality restrictions (R45) (impounded, sealed, expunged), program administration (drug court participation) or case work (counseling reports, therapist notes)? As examples, a law enforcement user should be able to see sealed warrants but not other sealed documents, or an attorney may be able to view an impounded document on their own case but not all cases, or a juvenile probation supervision may be able to see any impounded juvenile court case record and the documents.

- Separation of activity record vs document access - Can the security constraint provide a choice to allow a user to see that a record or activity exists but not allow the user to view the document, or block the user from viewing both the record and the document? For example, does it allow a user to see the activity that a dissolution judgment exists but prevents the user from viewing the sealed judgment document?

15. The platform must have the ability to upload and store a signature in secure digital format for any user in the platform. Indicate if the platform has the ability to capture a signature via a digital signature pad, tablet, mobile phone or touch screen. Indicate if the ability to add/update/remove a digital signature is limited to administrative/configuration users, or if it is a security permission.

16. Please describe any AI features the platform offers and how one of our stakeholders may benefit from them, including any recommended AI features that may be offered through a third party. Such features are not required, but may be considered.

17. Describe any other third-party software or API usage required by, or strongly recommended for the best use of the platform, i.e. Adobe Form Manager, image rendering toolkits, USPS APIs, etc.

18. Please indicate if the platform contains any physical evidence management features or digital evidence management for trial exhibits accepted or not accepted in court, including any chain of custody tracking. Such features are not required, but may be considered.

19. Please indicate if your platform supports electronically checking the Office of Foreign Asset Control (OFAC) list of Blocked Persons with whom financial transactions are prohibited.

20. Please list the user help options, including ability to customize help text. Please provide some screen shots of different help options in the platform.

21. Indicate if the system has the ability to assign "hot keys" or shortcuts on the keyboard to use with data entry or other aspects of the system.

C. **Integration Architecture**

22. Please provide a high-level overview of the <u>integration architecture</u>: how your platform can absorb information and images from other applications, like electronic citations, filings from the state's attorney CMS, create a court services case from the Circuit Clerk CMS, etc. and send messages containing case data and images to other applications. Integration services must have the ability to create cases and assign case numbers, provide for data entry for case initiation, in addition to sharing docket entries and images to existing cases.

23. If your proposal includes more than one integrated application (Circuit Clerk CMS, Court Services CMS, and/or Attorney CMS), please list how the applications interact and share data with each other. i.e. through a shared database, a shared communication channel or bus, etc.

24. What are the options for the platform to integrate with third-party applications? Third party applications range from those that require real-time integration, such as with stakeholders like the Electronic Citations or Jail systems, and those that require periodic integrations such as receiving data from drug testing labs, reconciliation statements from a bank, etc. Must any custom integration be performed by the vendor? Identify any potential issues these interfaces require that would limit the functionality of your software.

    - Please explain how external applications are authenticated and authorized for a data exchange, and describe the methods for exchanging and securing data in transit.

    - Describe how the platform confirms successful receipt of the data exchanges, i.e. positive acknowledgements, and the ability to resend/retry the message delivery if an error is encountered.
    - Describe how document images are exchanged in the integrations, and any limitations in your platform of size, file type, etc. not including Odyssey E-filing Integration limitations as defined by the Administrative Office. (i.e. it is not necessary to specify EFileIL limitations like 25mb per file/50mb per envelope, etc.)

- List any justice model standards that the platform has implemented, i.e. ECF or NIEM, and in what capacity.

25. List what off-the-shelf integrations offered as a part of this proposal are already in deployment in Illinois. For example, Illinois Odyssey E-filing Integration, Automated Disposition Reporting (Appendix L), existing E-Citation vendors, or any integrations with other third-party vendors, such as a Court Services CMS offering integrations with other Circuit Clerk CMS vendors, electronic citation vendors, or integrations with other justice software partners.

  - The required integrations are listed in the **Required Integrations Section** (below).

  - Please list what third party application integrations are already offered from your platform, or which integrations have been done in the recent past. Examples include jail management software, substance testing labs, banks, other clerk or supervision case management systems, state's attorney/public defender/law enforcement case management systems, etc.

26. Can the platform accept a bulk import of images and metadata from previous scanning efforts? Please suggest how Winnebago County could periodically perform this kind of image import. Winnebago County currently uses Excela imports for bulk historical scanning, and needs to import previously scanned legacy case images currently stored on a network drive outside of the data migration of this CMS replacement effort.

27. Describe the support options available for problems with integrations or data exchanges, including ability to use tools like SOAP UI or Postman.

  - Indicate if the records of data exchanges are logged and they are available to be viewed and audited by a local IT or administrative user.

Required Integrations – These integrations will be implemented through electronic interfaces and business rules as specified by the Circuit Clerk.

a. digiTICKET by Saltus Technologies Inc. digiTICKET provides electronic citations and criminal complaints, and may soon offer arrest warrants.
b. Automated Disposition Reporting (ADR) to report criminal and traffic dispositions to the Administrative Office of Illinois Courts (AOIC).   See Appendix L.
c. Statewide EFiling Integration with Odyssey from Tyler Technologies to import data, metadata and images. Statewide e-filing for criminal and traffic cases may be in the near future and should be considered part of the RFP.
d. Re:SearchIL integration from Tyler Technologies to surface documents to a statewide access portal called re:SearchIL.
e. Tyler Data and Insights (Socrata) Online Reporting consists of four complex schemas of data that are required for reporting to the AOIC: Pretrial, Problem Solving Courts, Probation and Clerk.
f. Harris and Harris for reporting cases that are being sent to collections, as well as importing the funds that were collected to be applied to cases and disbursed to payable agencies.
g. Excela historical document scanning import – historical case files that are still stored in paper form are periodically sent to Excela for imaging. The scanned images are returned on a hard drive and are imported into the CMS for permanent storage.

h. SallyPort Jail Management System by Black Creek Integrated Systems. Application allows custom integrations to third party systems. Desired integrations will include a set of data and images, such as pretrial demographic data or a jail release order for a defendant, or a display all persons booked and detained in the facility by type of detention, status, housing location, classification level, and scheduled release date.

i. Online Orders of Protection – the interface is an XML web service that sends petition and order data, and images between the application and the CMS.

j. Online Search Warrants - the interface is an XML web service that sends warrant data, and images between the application and the CMS.

k. PositivePay - the application must be able to generate the PositivePay uploads to a supporting bank.

l. Drug testing labs – Currently Cordant is the laboratory that we are using, and we would like to import the results electronically. The format specification for importing the drug testing results into the CMS is HL7 (https://www.hl7.org/fhir/overview.html) and Cordant has a SOAP API interface for integrating drug test orders into their Sentry platform (https://cordantsolutions.com/sentry/)

m. ARDC integration – an integration using the electronic ARDC API will be implemented to validate attorney ARDC numbers for access to protected files.

n. E-Appeals software for preparation of the electronic record on appeal.

D. **Development Operations Architecture**

Describe the development operations process of your platform, and also address the following:

28. Describe how you monitor and support a 24/7/365 environment with a high-availability requirement, and how the environment is monitored to detect performance, database, hardware and software issues. Also explain how you identify denial of service attacks, cyber intrusion, etc. and what action you take when one is identified.

   • What is your process for notify customers of security intrusions or data breaches?

   • Attach a copy of your standard service level agreement(s).

   • The platform must ensure that system errors, faults, and data errors are written to an event log, which is accessible by an administrator.

29. How do customers report trouble tickets? Please list the customer support standards and expectations under which customer service response operates.

30. Explain what production and non-production environments are recommended during deployment, and which ones are routinely kept after deployment, and how the environments are accessed. Also explain your recommendation for how configuration data is kept in-sync from one environment to another, i.e. from test into production.

31. Explain your general quality assurance standards, regression testing, and how your company determines what enhancements or customer feature requests might be added to a product release.

32. Describe how the platform backups are taken, and how they are restored in the event of a failure. Explain the frequency of backups, where and how the backups are stored, and the duration of storage.

33. Explain your release schedule of major and minor planned upgrades, planned outage communications with clients, including downtime, release notes, etc.

34. Explain how emergency software defects are corrected in your platform, including communication with clients.

35. Explain the options for password control, e.g. periodic expiration, length and character options, two-factor authentication, etc.   Active Directory is preferred for internal (county employees) users, but external users must have password-protected access as well.

- Can multifactor authentication be required for external users, or for users accessing the environment from the open internet (not from an internal county network)?

- Please explain if internal (Active Directory?) user password requirements can be configured differently from external users. For example, if passwords are used for external users, can multifactor authentication be required only for those users? Active Directory passwords currently expire after 90 days in the county.

- Indicate if end users can perform a password reset on their own, without requiring an administrator intervention.

36. Describe how your company on-boards a new customer, including but not limited to your recommendations for how deployment tasks are divided, how long the process takes, how you streamline customizations and configurations, what the preferred order of deployment is if multiple applications are being proposed, etc.

- Winnebago County will require a **high level of visibility and cooperation** with the selected vendor while developing all business processes, business rules, case configuration data, workflows, etc.

- The go/no-go decision(s) to go into production will be the exclusive decision of the Winnebago County Circuit Clerk and the application-specific stakeholders.

37. Winnebago County requires data conversion of the existing CMS records. Currently, these are the current record counts as of the end of 2023.

- FullCourt (Clerk and Court Services) – 2.7 million cases and 10.6 million document images.

- FullCase (State's Attorney and Public Defender) – documents are stored on a filesystem, not in a database. ~1.5m documents, and PD is ~136k documents

- Historical cases on the network drive - ~785,000k of documents on the network drive

- Excela imports

E. **General Application Features**

This section only needs to be completed once in your proposal. If you are proposing more than one application (Circuit Clerk CMS, Attorney CMS, and/or Court Services CMS), please clearly indicate any differences in features among the applications. Screen images with some explanations are welcome.

38. Indicate which applications are being proposed in this response?

- If this is a proposal for more than one system, please explain if the system has the ability to apply a common set of security policies across all applications.

- Does the platform require a separate user ID for each application within the platform?

39. The platform must be highly configurable and administrated by the client, and preferably table-driven with the ability to customize list values and drop downs. Please explain the configuration interface for the platform and what features are provided. Are there any configuration or administrative tasks that <u>must</u> be performed by the vendor?

- DEMO - in the Circuit Clerk CMS vendor demo, prepare a demonstration on:

   (1) Explain how an administrative user creates a <u>new</u> case category (i.e. LA, LM, PR but create one called EC) and a case type (i.e. Contract over $50K, Probate decedent estate, Eviction, but create one called Example Case) and the options for configuring it, e.g. auto impound, filing fees, ability to notify other users, assign work queues, confidentiality indicators (R45), public access indicators (R46), etc. You may also use some creativity to show the functionality of your application.

   (2) Also explain how an administrative user configures this new case types to prompt for a set of data collection activities, e.g. upon case initiation, an EC case requires at least one first-named plaintiff, at least one first-named defendant, a damages amount, configures a filing fee, and how the application assigns a randomized court location, and first court date.

- DEMO - in the Court Services CMS vendor demo, prepare a demonstration on:

   (1) Explain how an administrative user creates a new program called "Example Program", configure two tasks required for completion, and the options for configuring it, e.g. assigning work queues, completion date of program, etc. The two tasks should be a Midterm Exam and a Final Exam, both of which require a score. You may configure this demonstration like a simple academic class that someone is assigned to attend. You may also use some creativity to show the functionality of your application.

- DEMO - in the Attorney CMS vendor demo, prepare a demonstration on:

   (1) Explain how an administrative user creates an investigation case type and a workflow for investigations, defines the required fields to instantiate the case, assigns the case to an investigator which displays on the investigator's dashboard.

40. Explain or list the level of complexity of the rules offered for data validation. Examples should include a variety of conditional validations (If A is selected, B is required; if A is null, B or C is required; the value in the field must be within a certain defined range; the value in field A must be

consistent with the value in B (i.e. a DOB cannot be a future date, the offense date must be <= date of citation, etc.)

- Does the application allow for data entry with a future file date? For example, clerk staff may take advantage of opportunities to work on a weekend in preparation for Monday case work, and will need to post-date the filing date.

- DEMO for requirements R40-R44

41. The platform must support the ability to configure custom types of parties and non-litigant party records. Civil litigant parties are first named petitioner, petitioners, first named respondent, respondents, third parties, cross complaint litigants, etc. Criminal litigant parties are plaintiffs and defendants. Non litigant parties are jurors, witnesses, victims, family members, medical professionals, parents of minors, etc. and may be linked to a litigant party. Custom data fields will be required for collecting additional data on certain party types.

- Winnebago County is particularly interested in being able to provide access to individuals that have been specifically appointed or assigned to the case.   This includes allowing access to the attorney of record, a guardian ad litem, a therapist or health services professional, an intervention specialist, etc.   This access may be limited to only the person who filed the document, i.e. access for the filing attorney but not the attorney of record for the other party, or the therapist that is treating the individual but not other therapists. Is this detailed level of access provided by your platform?

- DEMO for requirements R40-R44

42. Describe what tools are available to manage party records, including tools to identify duplicates and merge party records, and importantly, un-merge or divide party records.

- Indicate if one or more photos can be attached to a party, displayed on the case, and what image file types are supported.

- Can groups of parties, i.e. those meeting certain requirements, be grouped to assign them to similar "tracks" or assigned to a work queue, or sent the same notice, etc.? Examples include abililty to quickly assign to specific departments (adult, juvenile, pretrial, etc.), determine assessments scheduled or performed, risk level assessment or outcome, assignment to specific programs (specialty court or supportive programs like parental education, therapies, etc., grouped by case information – court date, case type, judge, and courtroom assignment, and contact information, i.e. selected address, phone numbers, email addresses.

- DEMO for requirements R40-R44

43. The volume of custom data fields in all the applications in this RFP is significant, and additional fields are added frequently. Winnebago County desires that the process of adding, managing and reporting on these data fields be accomplished in a straightforward and easy manner, and

performed by internal administrative staff. **It is not possible to overstate the number of custom data fields that the Clerks, Court Services, jails, law enforcement, or Court Administration staff are being asked to collect and report on in any given year.** It is frequently the responsibility of the Circuit Clerk to consolidate the information from other external justice partners to satisfy the reporting requirements. The Administrative Office and other state agencies are requiring new data points yearly, and frequently changing grant opportunities require new reporting datasets at every turn. Several appendices reflect this – Appendix E, G, I, J.

- Explain how custom data fields are added, configured and used. What characteristics can be defined, i.e. a numeric field, a data field, a format mask, required vs. optional, etc.   Each data point must be able to be marked confidential and accessible only to users with appropriate security roles. Each data point must be able have the ability to be marked as active/inactive for historical accuracy. Please identify any limitations in this feature.

- Ideally, every field in the database, either off-the-shelf or custom, should be available for searching and reporting. If this is not available, please describe what level of data element access is available and options for customizing search features. Indicate if Soundex or something similar applies to name searches.

- Answer or indicate awareness of the following to confirm your understanding of the substantial and dynamic nature of data collection.

  o Common party elements across all applications include name elements, alias name elements, address types and address elements, phone number types and numbers, email addresses, basic demographic data such as date of birth, gender, race, etc., language support, etc.

  o Court Services custom party data elements include client health, substance abuse, treatment history, marital status, education level, scars and tattoos, citizenship or immigration status, threat group affiliations, employment records, income, school records, etc. Elements must have the ability to be marked as active/inactive for historical accuracy, and may evolve over time.

  o The Juvenile Detention facility also collects a substantial amount of information during intake and assessments.

  o Court Administration requires the collection of substantial datasets in order to meet state reporting requirements. The specialty/problem solving courts are programs whose participation details are kept confidential, and managed by court administration staff. Progress reports are filed into the court case periodically. Specialty courts have start and end dates, periodic tasks to complete, and assignment to a program can be revoked by a judge.   Explain how programs like this can be configured through your Circuit Clerk CMS application to best meet this need.   (Please note, if you are responding with both a Clerk and Court Services application, Court Administration is willing to consider managing these programs in either application.)

       o   Court Administration also requires the collection of data for interpreter and ADA requests.   These requests can be for parties, victims, witnesses, etc. and they are reported at the <u>case</u> level, even though the same person may have the same needs in any case they attend. How would you recommend the Circuit Clerk CMS application be configured to meet this need? (Please note, if you are responding with a Circuit Clerk and Court Services application, Court Administration is willing to consider managing these programs in either application.)

- DEMO for requirements R40-R44

44. Explain how user screens can be customized adding the custom data fields from the prior requirement, including the ability to rename on-screen labels. Can access to entire screens be granted to a user role as well as access to individual custom data fields?

- DEMO for requirements R40-R44

45. Can confidentiality indicators apply to a portion of the case? Can they apply to the document only? Confidentiality indicators should apply at the data field level, docket entry level, to the image, and/or to the whole case and are defined as follows:

- Impounded: available to the attorneys of record through attorney portal, public access prevented, clerk, court, and court services user role access is by security token only, etc.

- Sealed: visible only to judge, while clerk, court, attorney and court services user role access is by security token only, public access prevented, etc.

- Confidential - visible only to <u>filing</u> attorney through attorney portal, visible to clerk, court, attorney and court services user roles by security token only, public access prevented, etc.

- Expunged - visible to user roles <u>only</u> by security token. (Expunged records are not deleted, but only marked as expunged. Expunged records and cases must be available for internal reporting purposes. Party names must be secured, but preserved for record keeping.)

Confirm the platform can manage confidentiality at this level? Explain how a user is alerted to a confidentiality setting on a case when viewing a case or document. Note that records appearing in search results must also apply the security token restrictions, and not display matching records if the user executing the search does not have the appropriate security.

- **It should be noted that displaying a message to the user indicating that this file cannot be viewed is NOT ACCEPTABLE since it implies that a file exists in the first place.** If a file is impounded, sealed, confidential, or expunged, the user (without security) attempting to view such a file should be informed that no file is found. These confidentiality indicators must be granular enough to apply to the existence of a docket entry separately from the ability to view a document. This functionality can be managed through a combination of confidentiality and accessibility indicators in the following requirement.

46. Accessibility indicators apply at the data field level, docket entry level, to the image, and/or to the whole case, and are defined as follows:

- Remote access allowed or not

- attorney of record access allowed, i.e. on an impounded case.

- access restricted to filing attorney only, i.e. mental health records

- user access allowed by security token only, i.e. therapists records

- Default level of access is publicly accessible.

Confirm the platform can manage accessibility at this level, and explain how accessibility is handled in the platform, including any public and protected access portals that your platform offers.

- Please indicate if access to a case or document can be granted on an individual user basis. For example, access to an extremely sensitive case may be restricted only to users who have been granted access to that single case number.

47. Explain what case flags can be configured and displayed for a case or a party, and if they are customizable. These flags should be configurable for viewing by different user profiles. A flag on a case would be used to alert a user viewing that an outstanding warrant exists, the party is a minor, there is a missing piece of information like no address on file, the party is self-represented, language requirement, medical issues, mental health history, etc. As an example, mental health issues would be viewed by a jail or court services user, but not by a clerk user. Is there a limit to the number of case flags that can be defined?

48. Templates are very important to all the Winnebago County applications. Explain how an administrative user creates mailing, notice, or form letter templates, and configures them for automatic generation on one or more docket entries, i.e. a continuance notice on a docket entry to continue the case and notify the participant(s). Indicate what file type the template editor uses, i.e. Adobe PDF, Word, etc. Winnebago County desires a high level of sophistication in designing and using templates for report preparation, electronic orders, notice generation, etc.

- Indicate if the templates can support user-definable fields that offer the ability to insert or extract data from the form in order to exchange data with the CMS or with a data integration service. If this is possible, explain briefly how it works.

- Indicate if the template in progress can be routed to workbaskets/work queues for comments or approval before finalizing the draft.

- Indicate if finalizing the draft renders the document read-only and unable to be modified.

- DEMO – The Circuit Clerk would like to see how a docket entry for a future court date creates a notice for a standard notice of a court appearance date, how the data is pulled from the court case records, and how the notices are generated and queued for printing automatically.

- DEMO – Court Services generates many status reports that should be prepopulated with some case data, and then edited prior to being filed with the court. We would like to see a template that pulls in case events (i.e. probation appointments, drug test results, program compliance, etc.) and the ability to edit the report prior to formal filings.

- DEMO – The Attorney CMS audience would like to see a template created to subpoena a party on the case to appear at a future court date, using information in the case record to prepopulate the subpoena.

49. Describe what methods of communication are supported for communicating with a person, including parties, court services clients, victims, witnesses, attorneys, etc. Please indicate any third-party software for this feature, and estimated cost, volume cost or cost per message, cost per mailing (USPS), if any. Also describe how communication records (i.e. addresses, phone numbers, etc.) are versioned, as prior address records must be preserved in the platform.

- Indicate if your platform has a feature to allow a user, with security, the ability to send notifications, either by text, email or automated phone call, to immediately notify parties and case participants in the event of a court session or courthouse closure.

- Indicate if such text or email communications can be automated, such as a reminder 3 days in advance, etc.

- Please describe if the platform allows for two-way communication into the platform, such as an email inquiry, a question sent through text, etc. and how an internal user can respond to the person.

- Confirm that all communications with a person are recorded in the platform, e.g. stored text messages, emails, reminders, form letters, etc.

50. Describe document or image management features within the general case work of the application(s).

- How a document can be shared among docket entries on more than one case, i.e. an order that affects more than one case number.

- Describe the ability to redact or annotate a document, and how document versions are managed in terms of confidentiality and accessibility. Can the unredacted version be preserved?

- Does the system have the ability to track requests for documents that were released or shared with external recipients (requests from attorneys, prosecutors, law enforcement, offender or family member etc.).

- Indicate if the platform has the ability to OCR a document, or perform a text search within documents.

- Explain the options for distributing a document, such as email to one or more destinations, requesting read receipts, using internal and external email addresses, the email address on attorney profiles, etc.

51. Briefly describe how custom workflows or workbaskets are created, configured and used in your platform. Include some information on:

- The different ways workflows or workbaskets can be triggered, by date, elapsed time, based on an event, upcoming court date, etc.

- How workflow tasks can be categorized with a severity, marked as complete, or manually routed to another user, have notes applied, etc.
- How case events (i.e. new case initiation or case status change) or docket entries are configured to appear in one or more work queues.

DEMO- Please prepare a scenario where an order being signed by a judge is the trigger for a workflow, where the order will appear in a queue so that the Circuit Clerk CMS user can take action on the order, i.e. deliver a signed OOP to the sheriff for service, arrange to publish a notice in the newspaper, etc.

DEMO- For the Court Services demo, please prepare a demonstration of a case from arrest through sentencing to include multiple workflows that includes a Pretrial Evaluation, to a request for a presentence report, to the creation of an adult probation case post-sentence.

DEMO- The Attorney CMS audience would like to see how to set up a workflow that gets triggered. While events that trigger these workflows are frequently external events (an arrest, a court case filing, an appointment), we would like to see how an arrest triggers a pretrial workflow, or a case filing triggers a workflow to assign an attorney and for the attorney to work the case. You have flexibility to design the demo to illustrate the capabilities without having the external triggers.

52. Describe the general reporting features. Describe how an administrator creates a custom report, configures the users who can access the report, and adds it to the platform. Can any database field, either off-the-shelf or custom, be included in a report? Can any database field be used as a filter or sort option?

- Explain what the CMS can do to limit overly broad searches that would return too large of a dataset, e.g. limiting result set to 100 records, requiring more than one field in a search, etc.

- Describe the reporting tools, business intelligence tools, or data analysis tools available in the platform, e.g. report formatting, scheduled delivery of reports, graphing tools, etc.

- Indicate the formats that are available to obtain the results of the report query, e.g. PDF file, Excel download, CSV download, etc.

- Describe, or provide a list, of the standard off-the-shelf reports that are provided, if any.

F. **Circuit Clerk CMS Specific Features**

53. Please explain, at a high level, if the Circuit Clerk CMS is a case-based application or a party-based application, or some combination thereof.

54. The Circuit Clerk CMS is responsible for the case number assignment of the case being filed. The Illinois case number is comprised of a 4-digit year, and 2-letter case category, and an 8-digit case sequence number. You can refer to Appendix D: Illinois Manual on RecordKeeping; Section B. Please confirm that your CMS application will determine and assign the appropriate case number, considering the following:

  - There is a hierarchy of case categories that determine the assignment in criminal cases where there may be more than one offense charge in a case. Each offense charge is assigned to a case category, and the charge with the most severe category is the charge that determines the case number.

  - Civil case numbers are assigned for the current year, the case's category code and an incremented sequence number.

  - The Clerk requires the ability to manually specify a case number during case initiation, including a number from a prior case year.

  - The Clerk requires the ability to create a future year case number in order to reserve a small set of case numbers that are re-used year-over-year for the same purpose, i.e. 2020TX1, 2021TX1, 2022TX1 are always created in advance and reserved every year.

  - Indicate if a case number can be re-used if one was created in error.

55. Winnebago County follows a <u>one case-one defendant model</u> in the Criminal Division. However, cases with co-defendants may need to move through the court together. Please explain how your platform can associate two or more cases together to move through the court system.

  - The application must also have the ability to cross-link criminal cases with civil cases as well, for example a domestic violence criminal case with an order of protection case.

  - Please explain how juvenile delinquency cases (JD) are handled in the application, i.e. if the proceedings against the juvenile are handled similarly to criminal case counts, or if the application offers any special juvenile case handling off-the-shelf.

56. It is a requirement that the platform support multiple criminal counts within one case. It is desirable that the platform support multiple civil causes of action within one civil case. Please indicate if both can be accomplished.

  - The application must be able to maintain a distinct count-level status, in addition to the case level status. The case may not be closed until each count-level status is also closed.

  - Please explain if confidentiality indicators (R45) can be applied at the count level. For example, on a two-count criminal case, can only one count may be impounded, sealed or expunged?

57. Can your application distinguish between case-level data and count-specific data? For example, the defendant party can be considered case-level data, while a sentencing order may only apply to one count on the case, or if some financial charges can be applied at the case level (i.e. copy requests) or at the count level (i.e. fines and fees for one count).

- Winnebago is a mentoring Domestic Violence Coordinated Court, and uses specialized reports to assign qualifying cases to certain courts, both civil and criminal. An "intimate partner violence" (IPV) flag is tracked at the case level, when any single criminal charge has this flag, or when the prosecutor specifically identifies this case with an IPV flag. This is an example of data that can exist at the case and/or count level.

58. Explain how an administrative user loads the offense code table for criminal offenses, makes modifications to offenses, manually creates new offenses, etc.

- Offense codes have a lot of metadata associated with them, e.g. moving violation indicator, certain overweight flags, etc. Can offense codes be enhanced to support additional offense code metadata?

- Explain how an administrative user adds ordinance violations outside of the state's criminal offense list. Ordinance violations must be specific to a municipality, e.g. Rockford local ordinances are only allowed in cases where Rockford PD is the arresting agency.

- Please attach some screen images of offense and violation configuration data, if possible.

59. Each docket entry (or Register of Actions) must be created with a unique code, an effective/inactivate date, filing fees, confidentiality indicators (R45) (impounded, sealed etc.), and accessibility indicators (R46) (public, non-public, attorney of record only, judge only, clerk only, court services only, etc.) Please explain how to create docket entries, add custom fields to a docket entry and how to customize the docket entry screens to collect custom data.

- Each docket entry (or Register of Actions) must be able to be restricted to one or more court divisions, (e.g. criminal, quasi-criminal, civil, juvenile, probate, administrative); may be limited to zero, one or more case categories (e.g. CH, PR, LA); and zero, one or more case types (e.g. contract, tort, etc). Please explain the data collected on a docket entry and how to customize the docket entry to collect custom data. Examples of customization would be limiting a docket code to a certain case file, case type or case category, a docket code that requires a document image, a docket code that can trigger a workflow, etc.

- Please reference the EFileIL Trial Court Public Facing Codes 4.0; Document Filing Codes in Appendix A for examples. Confirm that the platform can manage case categories, case types and document filing codes to conform to this reference.

60. A court hearing or a counter transaction may be comprised of many docket entries and financial transactions, applicable to many cases and case parties. More than one document may be generated, and many integration messages may be generated. In the current environment, the CMS batches these transactions together until the whole batch data entry is completed, in order to prevent unnecessary events from being triggered or messages being sent for incomplete events.

Please explain how your application handles the groups of cases on a court call or counter transactions until data entry is completed and the transactions can be fully committed.

- DEMO - The Circuit Clerk would like to see a demonstration of a batch of transactions, either from a court call with several cases or a series of counter transactions for different cases. We are expecting that all the required fields and data entry are complete before the batch can be closed. If there is an ability for a supervisor or quality assurance review of this batch, we would like to see this as well. While your software might not implement a "batch" process exactly as described here, the functionality here should reflect the ability for the platform to delay the integration triggers or automatic document creation until the data entry has been performed.

61. Winnebago County desires the ability for direct electronic filing or quick filing through an interface or integration process, <u>outside</u> of the statewide e-filing system. This will allow an internal user to file and stamp a document immediately. Describe any ways a user (with appropriate security) can "quick-file" a document on to a case, including other examples such as law enforcement returning a proof of service though a website, or a public defender filing an appearance on a case from the Attorney CMS, or a probation officer filing a report into the Circuit Clerk CMS. Explain how a CMS user file stamps a document within the CMS application, ideally automatically in certain situations. This includes documents direct filed from the Court Services application into the Circuit Clerk CMS, or another partner agency, or a Court Services supervisor could apply a signature approval stamp on a document.

- Explain how the variety of stamps is configured in the system, i.e. signature stamps, the clerk file stamp, summons stamp, certified copy stamp, dates, custom text, etc. It is <u>critical</u> that a stamp configuration allow for a document to be un-modifiable or locked after a stamp is applied, if a stamp is configured in that manner. The platform must be able to ensure the integrity of a document that has been electronically signed and/or file stamped and prevent any changes to the content of the document.

- Explain how a CMS user file stamps a document within the CMS application. Note that this does not refer to the court's statewide electronic filing integration service, but rather the way a clerk could accept or reject a document that was exempted from electronic filing, or direct filed from Court Services or another partner agency, or a supervisor could apply a signature approval stamp on a document.

- Does the platform must have the ability to scan a document directly into a case, assign a docket code and complete data entry all in one step?

- DEMO – if available, please demonstrate how a clerk user could file stamp a document or a court services user could apply a signature stamp internally in the platform.

62. Bulk/batch handling of cases – the clerk needs the ability to take action on multiple cases at a time. This might be moving a set of cases to another courtroom, closing a set of cases that meets a set of search criteria, or adding a docket entry to a group of cases, etc., ideally without editing each file individually. How does the application let the Circuit Clerk CMS user identify the list of cases and the action that needs to be taken?

- Reassign or transfer a <u>group</u> of cases to another courtroom or judge where entire or partial caseloads can be transferred.

- Ensure that the history (who executed the process, datetime, prior judge, new judge, etc.) of this transaction is recorded on each of the cases.

- DEMO- The Circuit Clerk would like to see a demonstration of how to take action on a set of cases, such as adding a continuance date/time to a list of cases on the docket, and/or a list of cases returned from a search. Other examples could be reassigning a set of cases to a different courtroom or judge, etc.

63. Dashboards – Explain how dashboards are created and customized. Explain how supervisors can monitor the progress of their department activities and progress, through dashboards or reports, etc. Explain the dashboards that are relevant to court administration for tracking the progress of cases through the court system. Please indicate if dashboards can display graphs or charts, and if there is way to publish dashboard information to the Clerk's website.

- DEMO – Winnebago would like to see a dashboard that displays the time standards metrics for two to three case categories, including the targets, number of active cases, number of inactive cases, etc. – OR – please show us how to create or customize a dashboard and what metrics can be used.

64. The application must be able to produce a list of active attorneys of record on a case by analyzing the appearances and withdrawals on the case, and be able to immediately determine if an attorney is an active attorney of record on a case. Winnebago County also strongly desires the ability to group attorneys together into one Firm, which allows colleagues within a Firm to participate in the case even though a different attorney name is the attorney of record. Please suggest a way that your Circuit Clerk CMS could provide this functionality.

- Confirm that attorneys and other non-litigant parties can be linked to one or more parties on a case, either civil or criminal.

65. The following case status are required for Illinois: Open, Closed, Inactive, Reactive, and Reinstated. The rules for moving between two statuses are defined in the Recordkeeping Manual. Please confirm that these rules can be implemented. See the Manual on Recordkeeping Appendix D, Part 2, which contains sections for civil and criminal status changes.

- Confirm that the application supports this list of status values.
- The application must be able to define docket entries to trigger case and count status changes, i.e. a Dismissal will move the status to Closed, but also apply rules to the status change. For example, a criminal case may not be closed until each count in the case has a closing disposition (one that changes the count to closed).
- The Time Standards reporting requirements require a clear indication of the post-judgment point in the case. Post-judgment activity is anything that happens in court when the case has a Closed status. Can your application provide reports that can measure this?

- Please note that the status values are not the same across the Circuit Clerk CMS and the Court Services CMS, if you are responding with multiple applications.

66. The Clerk's office requires a public access portal that only provides information that is considered publicly available as determined by the Clerk's office, i.e. the clerk's office will determine the content displayed to a public user. No login should be required for public access to information. Requirements are:

- The public access portal must be able to detect data-scraping behavior and temporarily suspend case query access for the source.

- Ability to query for both civil and criminal cases, by various fields, e.g. name, name/DOB, case number, ticket number, and return one or more cases.

- View case details of one or more cases in the result including case history, upcoming court dates, a list of available document images, etc.

- The public access portal must display the court calendar that is maintained by the Circuit Clerk CMS, for the purposes of identifying date availability on a courtroom and judge level.

- Ability to pay outstanding balances, either partially or in full, on a civil, criminal or restitution case.

- Ability to pay for copies of any available document image.

- List the payment methods offered, and if a third-party processor is used, please elaborate. Include the service fee structure that the payee pays as part of the transaction.

- Is the public portal accessible by a mobile device? Is any functionality limited?

- Is there any support or help for languages other than English? Spanish is preferred.

- Is a newly-added docket entry or image immediately viewable from the public access portal?

- The public access portal must also allow pre-payable traffic cases to be handled in advance of court, with the defendant entering a plea of guilty, optionally requesting court supervision, and paying 100% of the balance owed with a credit card. This must also include a configurable credit card processing fee. Please describe at a high level, or provide screen shots of the process. More information on electronic pleas of guilty can be found in Appendix B Standards for Accepting Electronic Pleas of Guilty and Supreme Court Rules 529, 530 and 531.

- DEMO- Please show us your public access portal, and demonstrate querying for a case, viewing public details, and paying an outstanding balance with a credit card. We would like to see what is reflected on the court case after payment, and the financial details. If you can, we'd like to see the mobile or table version of the public portal.

67. The Clerk's office requires a substantially robust protected access portal that provides information to justice partner users who have registered for access to the portal. The access to information presented through this portal will be determined by the Clerk's office, i.e. the clerk's office will determine the content displayed by using the accessibility indicators (R46).   Access includes

attorneys who need to remotely access their cases, law enforcement agencies, public services agencies, etc. This access must be available from the outside internet, and may be through a separate URL if necessary. Does your application offer such a portal, does it require enhancements or customizations, or will it be created for this project?

- Access to the Protected Access portal must be through a user account and user role configured in the Circuit Clerk CMS. This portal must not contain replicated data, and must not be a separate login configured exclusively for the Protected Access Portal. For example, a private attorney of record will have a user configured in the Circuit Clerk CMS, with a user role of private attorney, and appropriate security access, which grants the user the same role and access in the portal.

- Access to cases, docket entries and images will be determined by the configuration of the user in the Circuit Clerk CMS, and the presence of the attorney as an attorney of record on individual cases.

- The protected access portal must be able to detect data-scraping behavior and temporarily suspend case query access for the source.

- The protected access portal must provide the ability to query for both civil and criminal cases, by various fields, e.g. name, name/DOB, case number, ticket number, and return one or more cases.

- Ability to search for cases or obtain a report in which attorney has filed an appearance.

- View case details of one or more cases in the result including case history, upcoming court dates, a list of available document images, etc.

- Ability to pay outstanding balances, either partially or in full, on a civil, criminal or restitution case.

- Ability to pay for copies of any available document image.

- Ability to access reporting features.

- The Protected Access Portal must display the court calendar that is maintained by the Circuit Clerk CMS, for the purposes of identifying date availability on a courtroom and judge level.

- Can the portal be accessed by a mobile device?

- Is a newly-added docket entry or image immediately viewable from the portal?

68. The State of Illinois requires a substantial set of statistical reports, which can be found in Part 2 (page 79) of the Manual on Recordkeeping in Appendix D. Are any of these reports offered off-the-shelf for an Illinois implementation, or will they need to be customized during implementation?

69. Please attach some screen images or provide a description on how a court administrator can set the court calendar for the court. This includes managing the metadata for a courtroom (civil cases, certain case categories only, certain case types only, first appearances only, etc.), different schedules and exclusions for each court room, maximum number of cases that be on the session docket, different timeslots for different reasons (returns, motions), managing judicial assignments, randomization guidelines (i.e. 25% to Room A, 75% to Room B) etc. Screen images are welcome.

- The courtroom "definitions" should also require effective dates and end dates, so that changing parameters can be implemented in advance of the change.

- DEMO - Please show us how a court administrator can set the court calendar for a courtroom, including any way to define what cases are heard in that room, maximum number of cases on the court session, and how assignment randomization works. Please show us how we can implement courtroom assignment protocols and what options are available.

70. The Clerk's office strongly desires the ability to use templates to create a draft of an electronic order and share it with the Judge's user interface for review, signature and/or a collaborative exchange of the draft contents.

- The Clerk envisions several ways to accomplish this, from attorney access to the Protected Access Portal being used to access order templates in the CMS for orders, to storing drafts temporarily in the Circuit Clerk CMS, etc.

- The Clerk also envisions judges being able to create orders, or have their staff draft orders for cases. This includes judges being able to send orders to other judges as well, for example in the event of a transfer order being sent to a presiding judge.

- Please explain any possible solutions for such a feature.
- Any demo of electronic order functionality would be welcome if the functionality exists in your product, and can be combined with the following judge's bench demo.

71. Please describe (or provide some screen images of) the judge's bench or the screens that the judges use to manage their court calls, view cases on the call, enter orders, dispose of cases, counts or civil actions, etc. Screen images are welcome.

- Traffic court and first appearance court volumes are quite high in Winnebago County. The ability to quickly and efficiently move through cases on the call is critical to the operation of those courts. Please show the different options for displaying and working a high-volume call, for the clerk and for the judge, i.e. checking in attorneys, sorting the cases, ordering ex-parte convictions, setting continuance dates, etc.

- Civil courts also need to manage complex litigation involving multiple parties and multiple attorneys, and multiple causes of action that need to be addressed separately.

- Can judge screens be customized according to the individual judge's preferences? I.e. what columns to display, sort orders, color coding, etc.

- Does your application allow calls to be combined, or an unassigned judge to work another judge's call?

- Does your application use or integrate with any third-party bench software providers?

- Please prepare a DEMO of this functionality. Include the judge's ability to manage bench or jury trials, accept or deny trial exhibits, filing the trial exhibits, enter judge's notes, etc.

72. Does the Circuit Clerk CMS application provide any kind of sophisticated sentencing module or feature that will apply several sets of logic calculations to compute fines, fees and costs, time spent in custody, credit for time served, mark financial assessments as waived, and calculate fee waivers, etc.?

73. Court orders are sometimes vacated, reversing whatever action was originally ordered. A vacate order must link to one or more previous orders, and may serve as the trigger for more actions. For example, an order vacating a sentence that closed a criminal count must now change the status of that count and re-open the case. In situations such as these, the actions that need to be taken on a vacate order are determined by the original order that was vacated, not by the vacate order itself. Can your application handle this logic? What would be your recommended approach?

74. Court Administration is heavily invested in using a variety of court performance measures and court performance dashboards to maintain a highly efficient court. Courts also report sizable metrics to the AOIC, who in turn report to the National Center for State Courts.
- Does your CMS offer any off-the-shelf support for Court Statistical Reporting (CSP) reporting (See Appendix F) or NODS (see Appendix G) or the Child Protection Data Courts Project (CPDC) (See Appendix I)?

- Does your CMS offer any off-the-shelf support for NCSC CourTools Trial Court Performance Measures (See Appendix H)?

75. Explain the financial subsystem of the Circuit Clerk CMS. The Circuit Clerk collects payments from a variety of sources and disburses them to a variety of recipients, and will require an accounting subsystem for general ledger features, accounts payable, accounts receivable, cash management, etc.

- Note - The accounting subsystem for the Circuit Clerk is not responsible for budgeting, payroll, asset tracking.

- Note – The Statistical Reports for Illinois Courts provide significant information on the payable accounts for which the circuit clerk is responsible. Please see Appendix J for more information.

- The financial subsystem must support disbursement of funds through ACH or electronic funds transfer. The financial subsystem must support printing/voiding/reissuing checks for refunds to parties, attorneys of record, surety refunds, etc. as well as printing checks for disbursements of funds owed to other agencies. Also, please indicate if your platform has the ability to offer debit cards for refunds rather than checks.

- Explain the ability to define a complex fee schedule or a fee grouping, which is a schedule of fees that contain multiple detail records with a breakdown of the total fee as it is owed to different local and state agencies. Please refer to Appendix C for the Winnebago County fee schedules. Explain how fees are associated with case types (like a filing fee), or how copy fees are calculated, i.e. $2.00 for the first page, $0.10 per subsequent page.

- Fees may be paid in partial payments, so the partial amounts must have a way of being allocated to the multiple detail records. The partial amounts can be allocated and distributed in assessment detail order through a hierarchy (currently preferred) or through some other logic. Please explain how the application works, or what options are available.

- The platform must be able to accept a payment from a party, and if the party has multiple cases with outstanding balances, choose how divide those funds to pay outstanding balances on multiple cases. The application must ensure that the divided funds equal the amount of the payment. Partial payments must be accepted and applied to outstanding fees according to the definition of the complex fee schedules.

- The financial subsystem must support setting up payment plans for one or more cases, for amounts owed in fines, fees, program costs, restitution and other assessed costs. The Clerk must be able to configure payment plans for different payment expectations, e.g. monthly or by a certain date. The financial subsystem must be able to identify payment plans that are in compliance or not, and be able to add or remove associated cases from debt collection.

- Please explain what PositivePay features are offered by the application, such as exception file processing within the application, etc.

- DEMO - Please provide a general overview of the financial subsystem, including the chart of accounts, how to receive a payment and apply it to multiple cases, how the payment is divided into disbursements, and how the disbursement process runs to disburse the funds.

- DEMO - Describe how to correct a mistaken deposit or a mistaken fee assessment, how to back out or move a misapplied amount, and the financial audit trail recording such actions.

76. The financial subsystem must support the following features:

- Ability to define different account types, such as an escrow account or a restitution account, and cross referenced to one or more cases.

- Ability to identify a fund on a case as "held" and held as such, that fund(s) is not eligible to be refunded or disbursed. A "held" fund must also have the ability to be "un-held" or released. A document, such as a court order, must be able to be tied or linked to the action holding or releasing a fund on a case.

- The application must allow a case to be over-paid. For example, a $110 check must be able to be applied to a case with $100 outstanding balance. The extra amount could be applied to a "held" fund or to a "refund" fund, at the user's discretion.

- The platform must be able to produce the results of a query (or a report) to show all payments received from a single party, and drill down into a list of cases to which those payments were applied.

77. Fee Waivers – A case may incur multiple assessments for one or more reasons, at more than one point in the case.   The state statutes allow for low income parties to petition for a reduction or a waiver of more or more of these court costs. The court may order a civil fee waiver for 25%, 50%, 75% or 100% of the courts, and similar percentage for criminal case fines and costs. These fee waivers are in effect for one calendar year. Explain how your application applies a waiver to one or more fees, fines or costs on a case, and consider the following:

- The date that the fee waiver order is signed should not be the effective date of the fee waiver, i.e. a fee may be assessed and the waiver might be signed days later.

- A waiver might be vacated at any time, or expire after a year.

- The original amounts must be available for reporting purposes, as well as the dollar amount waived and the final amount assessed. E.g. $100 fee, 25% waiver, $25 waived, $75 outstanding.

- The distribution amounts for complex fees are also reduced by the same percentage, e.g. a $100 fee may be distributed as $60 and $40 to different payable agencies, but a 50% fee waiver will distribute $30 and $20.

- DEMO- Please provide a demonstration of a case that has been assessed fines and/or fees in a criminal case, as apply a 25% fee waiver. Please show us how the system records the original assessed amounts, the waived amounts, and the outstanding balance due.

78. Does the application allow a payment to be accepted without an association with a court case? Workarounds may be considered such as creating an internal case type, i.e. "WED" for a wedding case, etc.

79. Are there any features of the Circuit Clerk CMS software that you feel are unique in the industry or wish to highlight here?

G. **Court Services CMS Specific Features**

80. Is this response a standalone Court Services case management system, or is this proposal a Court Services (probation/supervision/pretrial) CMS that is integrated with a Circuit Clerk CMS system as part of this bid?

- Does the platform require a separate user ID for each application within the platform?

- If this Court Services CMS is integrated with a Circuit Clerk CMS system, please explain at a high level, what court services entities are distinct from the Circuit Clerk CMS records. For example, are court services client IDs different from clerk party IDs, or can probation activity records be categorized separately from court activities?

- Explain what happens to the client case files for the defendant when one or more of the Circuit Clerk CMS cases is marked with one of the confidentiality flags. If this is a standalone application, please explain if the four confidentiality settings in R45 are available at the case, activity, record, or document level within the Court Services CMS.

- Please specifically explain any effects of expunging the court case record.

81. Please explain, at a high level, if the Court Services CMS is a case-based application or a party-based application, or some combination thereof.

    - Expanding on R41, please explain how all the party records, including master parties (aka the defendant client) and the non-litigant party records are managed in the application.   Non-litigant parties may be attorneys, witnesses, victims, family members, advocates, etc. and how they are cross-linked among case files with varying party roles.   For example, a parent in one case file may be a defendant in other case files, but it is the same party.

82. Explain how your Court Services CMS would be able to provide the following features. The Court Services department is responsible for pre-trial, pre-sentence and post-sentence functions, handled by different departments. These functions, performed for the same client party, can be separated by a span of months to years. Each of the departments manage multiple programs that offer services to the client, and each program contain many individual tasks assigned to court services users to complete.   These programs and tasks are overlapping, separately managed, and separately tracked in separate client case files currently.

    - How are client files, or case files, numbered? What is the case numbering scheme (for example alphanumeric values for year, case type, and case sequence number)? In our current environment as an example, each department uses a different prefix (pretrial case files begin with a PTS prefix, juvenile probation begins with JUV, etc.) and third-party services also create client files with unique prefixes (Rosecrans in-patient rehab services create files with ROS). How would client files like this be best handled in your application?

    - Explain how the Court Services CMS can associate their records to one or more Circuit Clerk CMS case numbers. In some cases, the client enters the Court Services system prior to a court case being filed, in some cases the court case is created first, and post-sentencing may sentence two or more cases concurrently to court services programs.

    - DEMO - display what a long-time repeat offender or a complex case looks like to a Court Services user, and how to navigate the records. Show us how the case history of a client party is viewed by the court services user.   The user (with appropriate security) expects to see the client case files for pretrial reports, investigative reports, special program reports, presentencing reports, probation/supervision monitoring reports, etc. for a party, including juvenile and adult activities as allowed by their role, and explain what court file information is presented to the user.

83. How do you recommend the Court Services CMS configure these different services - programs, tasks or deliverables such as pretrial investigation, juvenile assessment and intake evaluations,

presentence reports, supervision, monitoring, therapeutic interventions, etc. with the ability to associate them with types of cases, for example – a domestic violence case may have different requirements of supervision. Each court service has different timelines, different deliverables and task expectations. Also consider:

- These services are separately assigned to different court services staff, tracked separately, and closed independently of each other.

- A client party is assigned to participate in one or more of these services, either simultaneously or serially.
- Tasks are assigned to resources within the client case. The task, or program, should optionally have start and end dates, deadlines, notifications, reminders, milestones, and a priority level. Do programs within a client case have an individual status and can they be independently managed?

- Do your programs currently support individual and group appointments, including but not limited to: date, time, duration, name of appointment, type, participants, location, reoccurring programs, priority level, and allow free-form notes etc.?

- Does your application offer any off-the-shelf programs that are already available because they are commonly used in Illinois?   For example, use of the Family First Prevention Services Act (FFPSA) programs?

- DEMO – Please prepare a demonstration that shows your application's ability to track different programs and their specific tasks, and deadlines. We would like to see start and end dates for the tasks, deadlines, workflow assignments, milestones, etc. This is a significant aspect of the Court Services department, so time is well spent on this demonstration to showcase the application's features. These features would be used to track juveniles who come through the assessment center, the resource intervention center programs, the juvenile detention center programs, etc.

84. What court services or standards are substantially ready off-the-shelf? Specifically:

- In pretrial services, what risk assessment tools are available? Winnebago currently uses the Virginia Revised Risk Assessment Tool; however, the State of Illinois may require a different tool in the future.

- In pretrial services, do you offer any standard measurements and reports for outcome and performance metrics, such as the Measuring What Matters 2nd Ed. (2021) from the National Institute of Corrections?

- Do you offer or integrate with any of the University of Cincinnati Corrections Institute (UCCI) products for assessments, interventions or evaluations?

- Do you offer any of the Illinois/AOIC Probation ARA or JRA risk assessment platforms or the followup programs?

DEMO- please be prepared to demo how a pretrial risk assessment and full pretrial report is created.

85. Explain how court services records (pretrial or probation records) are assembled and exported for transfer to another jurisdiction. Confirm that the record can reflect the transfer, generate the transfer confirmation form, receive the transfer form back, and record the acceptance or rejection of the client records. (This may include transfers of records to or from the Office of Pretrial Services in the future.)

86. Explain how court services records (pretrial or probation records) are received and imported from another jurisdiction, and if client case metadata can be imported to reduce data entry on a new case file. Confirm that the application can record the acceptance form, and record the acceptance or rejection of the client records. The rejection of the records must be recorded in the application, i.e., using a docket entry code on a client file case that shows the file being rejected.

87. How can a user reassign or transfer a group of probation cases to another unit or case officer where entire or partial caseloads can be transferred without editing each file individually? Does this require a special security role? Ensure that the history (who executed the process, datetime, prior officer, new officer, etc.) of this transaction is recorded on each of the cases.

88. Workflows – referring to R51, the Court Services application also requires customized workflows, that trigger notifications, reports to be generated, etc. Does your application support these types of customized workflows? Examples are:

- A notification of an arrest from the jail integrations or charges being filed from the Circuit Clerk CMS should create a pretrial task notification.

- An order for a presentence report in the Circuit Clerk CMS must notify the correct probation department to produce the report, which we expect will require an integration.

- A user should be notified, or alerted, in advance that a task is due to expire or a court-ordered date is approaching to allow case managers sufficient time to ensure court-ordered conditions are met, or to ensure reports are completed before court. This may be a date-driven events are used to trigger a workflow, prompt or alert that indicate an upcoming deadline, period about to expire, etc. or it may be an elapsed period of time, i.e. 30 days later, 2 days before, etc.

89. Explain how dashboards can be customized by probation officers, supervisors and managers to view caseloads including names, compliance status, next reporting date, custody status, tasks approaching/missing deadlines, etc.

- Explain other ways supervisors can monitor the progress of their department activities and progress, such as the ability to show a caseload or task load, number of individuals, etc.

- A user needs to be able highlight and track a program's upcoming calendared events/appointments on a dashboard.

- DEMO- Please show us some dashboards and how they might be customized. We would like to see something that a supervisor would use to monitor their department activities, and/or something that tracks a program's upcoming calendared events.

90. Templates – Explain how to create a template in your application, either to create a notice, mailing or an editable report, or an individual case plan.

    - Notices or mailings would include reminders of appointments, notifications of missed appointments, completion certificates, etc.

    - Winnebago Court Services currently generates a probation status report in a Word document using pre-populated data from the case files, allows the user to edit and add information, then saves the report as a PDF once complete.

    - Case plans, or care plans/action plan reports are generated using some case file data and then individualized.   Explain how the goals and objectives of those plans can be tracked, and overall success or failure of aspects of those plans.

    - Checklist templates are used to track progress along a certain path of services.

91. Reporting – Explain what services- probation- or detention-related activity or status reports are offered off-the-shelf with your application.

    - See Appendix K for some sample Court Services reports.

92. Are there any features of the Court Services CMS software that you feel are unique in the industry or wish to highlight here?

H. Attorney CMS Specific Features

93. Does your platform offer two separate Prosecutor and Public Defender applications? If so, please elaborate in the following answers if there are any discrepancies between the two.

94. Please explain, at a high level, if the Attorney CMS is a case-based application or a party-based application, or some combination thereof. Does the application have the ability to cross-reference multiple cases under one party?

95. The Attorney application will be integrated with both the Circuit Clerk CMS, the Court Services CMS, as well as the third-party jail application for booking information, etc. Both case events and images will be shared back and forth between all the applications. The Integration Architecture section describes the technical requirements of the integrations, but please explain any limitations of the integration that would prohibit information sharing between the stakeholder applications.

96. Does the Attorney application provide a feature for local law enforcement to upload documents, video or audio records to the case files, and a feature for exchanging discovery with other outside (privately hired) attorneys?

97. Does the Attorney application provide any methods for communication with case participants, victims, witnesses or law enforcement, i.e. to remind them of court dates, prompt for records, etc.?

98. How are case files numbered internally?   What is the internal case numbering scheme, for example alphanumeric values for year, case type, location, and case sequence number?

   - How are different types of cases defined in the Attorney application? These may include investigation case files or law enforcement reports that may create an internal case file, which may not be filed into the Circuit Clerk CMS.

   - Explain how the Attorney CMS can associate their records to Circuit Clerk CMS case numbers. In some cases, the prosecutor creates a case file prior to a court case being filed in the Circuit Clerk CMS, in some cases the court case is created first. Is your application restricted to one flow or the other?

   - The State's Attorney's Office also has a substantial civil caseload. The Public Defender does not have a civil caseload.

   - The Attorney CMS must also allow legacy cases to be added to the system, with case numbers for prior periods.

99. How does the Attorney CMS application define what information is necessary for case initiation, i.e. with required fields such as a case initiation date, defendant/suspect name, demographic indicators, charges, law enforcement agency and officer, etc.?

100.   Does the Attorney CMS application have the ability to define a large set of party characteristics (e.g., registered sex offender, gang affiliation, language, ADA requirements, gender, family relationships, etc.) in order to manage a substantial set of reporting requirements and data requests?

101.   Does the Attorney CMS application have the ability to add a variety of additional case participants with roles such as witness, victim, parent, advocate, etc.?

102.   Does the application have the ability to generate a case schedule with multiple events and deadlines, and define a workflow to manage the schedule for different types of cases? For example, domestic violence cases or juvenile cases follow different case paths, as do cases of a civil nature.

   - DEMO – Please provide a demonstration of how custom defendant characteristics are defined in the application and added to user entry screens, show the different types of case participants and their roles, charges, and perform the case initiation.   Then show a case schedule with several types of events, and a how a workflow is managed for the assigned attorney.

103.   Describe how offenses are managed within the Attorney CMS application. It is strongly recommended that the offenses are managed within the Circuit Clerk CMS application. If your response is a stand-alone Attorney application, explain how the offenses can be imported or managed through an integration service. If your response is for both an Attorney application and

Circuit Clerk CMS, describe your recommendation for managing one consistent set of offenses throughout the platform.

104.   Does the application allow easy entry of charges, and the ability to copy one charge to another in order to easily enter multiple counts of the same charge?

105.   With respect to sentencing procedures, please answer the following:

- Does the Attorney CMS application provide a sophisticated sentencing module or feature that will apply several sets of logic calculations to compute fines, fees and costs, time spent in custody, credit for time served, etc.?

- Does the Attorney CMS application allow management of sentencing guidelines that can be applied while sentencing any individual count? For example, a prompt of a guideline that would indicate a 5-10 year range DOC sentence on a charge. If so, please elaborate as Illinois has parameters that modify the standard sentencing provisions.

- Does the application have the ability to track original, additional added, and amended charges?

106.   Winnebago County follows a one case-one defendant model in the Criminal Division. However, cases with co-defendants may need to move through the court together.   Please explain how your application can associate two or more cases together to move through the court system.

- The application must also have the ability to cross-link criminal cases with civil cases as well, for example a domestic violence criminal case with an order of protection case.

- Please explain how juvenile delinquency cases (JD) are handled in the application, i.e. if the proceedings against the juvenile are handled similarly to criminal case counts, or if the application offers any special juvenile case handling off-the-shelf.

107.   Please list the case status values if there are fixed values, or indicate if status values can be defined within the application.
- The case cannot be closed unless each charge in the case has a closing disposition.

DEMO - Please initiate a case, either felony or misdemeanor, and add three charges, complete with data entry. Show us how to amend charges to a different statute, dismiss charges, enter guilty dispositions, and sentencing information.

108.   How are diversion or specialty court programs defined in the application, and then suggest how are cases monitored and managed through the application.

109.   The State's Attorney's Office users are divided into different divisions that are responsible for different case types.   There is a Felony Division, a Misdemeanor Division, a Traffic Division, a Civil Division, and a Juvenile Division, along with several other investigators and administration. The Public Defender's Office has a Felony, Misdemeanor and Juvenile division, with administration. Each division may be further organized into sub-specialties.

- Confirm that the Attorney CMS application can support the Confidentiality indicators in R45, including confidentiality settings to protect juvenile records from outside the Juvenile Division, and the ability to restrict a case file to a single user with explicit permission to access the file, as well as securing information on minors, witnesses, etc.

- Confirm that attorneys and administrative staff access to cases can be controlled according to division(s) to which they are assigned.

110.   For general case management, please indicate support for the following:

- The ability to track a criminal case from arrest through to disposition, and then post-judgment activity with a full audit trail, and to track a civil case from case initiation through to final judgment, and then post-judgment activity with a full audit trail.

- Can the application re-assign groups of cases?

- Can attorneys be assigned as primary (lead) attorney of record, or somehow identified in a hierarchy?

- Can cases be assigned different severities or priorities?

- Does the Attorney CMS application support the financials for managing restitution cases?

111.   Does the application support easy and fast creation of templates? How are they created and used by the application? These templates might be used for case filings in civil, various petitions i.e. to revoke, to deny release, subpoenas, summons, warrants, etc. How are these templates saved as final documents in the CMS after being in draft status?

- Does your application offer any options for creating electronic order templates, and allowing the attorney to draft an order, send it to a judge for either a signature, a denial or a return to the attorney for modification. If it does, please prepare a demo of this functionality.

- Does your application have the ability to file documents in the Circuit Clerk CMS through a direct integration, or through the statewide e-filing system?

- DEMO- Please demonstrate the template functionality. We would like to see how to create or customize a template that could be used for an indictment or an order, and show us how to apply signatures and other useful features.

112.   Does the Attorney CMS application have a feature to print labels for physical case files, evidence or exhibit management?

113.   Does the Attorney CMS application have the ability to Bates number (or Bates stamp) PDF documents?

114.   What reports are available off-the-shelf in your application?   Are there workload reports, pending case reports, win/loss reports, reports measuring case length/case aging, case and trial calendars for an attorney, gang activity reports, any federal crime reporting reports, etc.

115.   Are there any features of the Attorney CMS software that you feel are unique in the industry or wish to highlight here?

I. **Corporate Health, Background and Project Management**

Winnebago County seeks a vendor possessing proven experience in delivering solutions similar to what is required in this RFP. This section is in addition to **Proposer Qualifications and Litigation History (Section 4.2) and Project Design, Staffing and Organization (Section 5.1)** in your Response documentation.

116.   Vendor must employ enough staff to provide all services and meet all requirements. Subcontractors are allowed. Please list the staff by role that will be dedicated to our deployment and post-deployment contractual term.

Role	#staff	#contractors	Deployment Period	Post-deployment Period
Project Manager				
Business Analysts				
Developers				
Customer Support				
Others – please add				

117.   Please indicate your expected time (in months) to deploy all the requirements in this RFP that encompass your bid response, i.e. if you are only proposing one application, your expected time to deploy would be relevant to only one application and the integration features. Please explain your recommendation to deploy the sequence of applications in your bid response, if you recommend that the deployments or certain features are staggered, etc. and expected time (in months) to deploy the staggered deployments.

118.   Please explain the process by which AOIC-mandated or Illinois Supreme Court-mandated changes will be delivered in the proposed platform, including formal or informal procedures to determine the scope and the cost, how quickly work will be performed, and options for rapid response to mandated changes.

119.   Please list all the features offered or proposed in this response that will be billed as Time & Materials (hourly costs) rather than included in the specific pricing in the Pricing Section.   For example, an evidence management feature (R18) is not required but may be considered, so integration with third-party software may be proposed under a Time & Materials option.

List of RFP Appendices

Appendix A – EfileIL Trial Court Public Facing Codes Version 4.0, available here: https://ilcourtsaudio.blob.core.windows.net/antilles-resources/resources/94cbffb1-1583-435f-9044-aeacb9e15b9b/Trial_Court_Public_Facing_Standards_4.0.xlsx

Appendix B - Standards for Accepting Electronic Pleas of Guilty Pursuant to [Illinois] Supreme Court Rules 529, 530 & 531 (Revised Effective July 1, 2019) available at: https://www.illinoiscourts.gov/Resources/5920728b-c32b-448e-8333-202df8fbe972/Epleas_Guilty.pdf

Appendix C – Winnebago County Fee Schedules.   The criminal fee schedules are defined by the Criminal and Traffic Assessment Act, (705 ILCS 135/15-5) and the Clerk of the Courts Act (705 ILCS 105/1 et seq.), however Winnebago County has adopted a county resolution for civil and criminal fees.   2022 Establishing CTAA Fees

Appendix D – Illinois Manual on Recordkeeping for the Circuit Clerks, available at https://www.illinoiscourts.gov/courts/circuit-court/manual-on-recordkeeping/.   (Please be careful to avoid using the Cook County manual.)

Appendix E – Data and Insights Schema Interfaces (Socrata), available at:
- Trial Court (required for Circuit Clerk CMS) - AOIC_TrialCourt_Data_Elements_v2.1.1.1
- Problem Solving Courts (required for Circuit Clerk CMS) - AOIC_PSC_Data_Elements_v2.1.1
- Probation (required for Court Services CMS) - AOIC_Probation_Data_Elements_v2.1.1
- Pretrial (required for Court Services CMS) - AOIC_Pretrial_Data_Elements_v2.1.1

Appendix F – State Court Guide to Statistical Reporting (CSP) version 2.2.2 Jan 5, 2023

Appendix G – The National Open Court Data Standards (NODS) April 2020, available at : https://www.ncsc.org/consulting-and-research/areas-of-expertise/data/national-open-court-data-standards-nods

Appendix H – National Center for State Courts Trial Court Performance Measures (CourTools), available at: https://www.ncsc.org/courtools/trial-court-performance-measures

Appendix I - Child Protection Data Courts Project (CPDC) from the AOIC Courts, Children and Families Division.   At-A-Glance Summary

Appendix J – Annual Statistical Reports of the Illinois Courts, available at: https://www.illinoiscourts.gov/reports/annual-report-illinois-courts/

Appendix K – Same Court Services Reports available for download at:
- PSC Report
- CSCD Report
- CSR Report
- CS Report

Appendix L – Automated Disposition Reporting Manual, 2002-08; including Pretrial ADR reporting from May 2024

Bids must be all inclusive, if subcontractors are required it is the responsibility of the successful Proposer to obtain, coordinate, and compensate them. Subcontractors are to be listed on Bid Subcontractor Form.

END OF SECTION FOUR: SCOPE OF WORK

SECTION FIVE: RESPONSE REQUIREMENTS & EVALUATION CRITERIA

CRITERIA OF AWARD

Evaluation of Proposals will be performed by the County's selected Evaluation Committee.

Proposals may not be considered, and may be rejected as non-responsive, unless the Proposal includes complete responses to everything addressed in the Scope of Work and Proposer Response Requirements.

METHOD OF PROPOSAL EVALUATION FACTORS

Award will be made to the Proposer whose Proposal is in the best interest of the County. Proposals will be evaluated by an Evaluation Committee according to the following criteria:

#	Criteria	Maximum Point Values	Comment
1	**Firm Qualifications**	10 points	Provide references which closely relate to the requirements of this RFP. Describe experience performing work similar in scope and volume to that being solicited, and when this work was performed. References <u>outside</u> Illinois are appreciated when available.
2	**Statement of Work (SOW) Requirements Section**	20 points	Demonstrate detailed understanding of project infrastructure, implementation and deployment, and how you will carry out those responsibilities.
3	**Application-Specific Requirements Response**	25 points	Demonstrate detailed understanding of our application requirements and how your software can accomplish what we are seeking.
4	**Demo Evaluation**	30 points	Take the opportunity to show us how your application(s) work using some specific scenarios that we have defined. You may expand the demo with any special features you want to highlight.
5	**Cost Pricing**	15 points	Please price individual applications, deployment costs, annual maintenance costs and one final summary price.

PROPOSER RESPONSE REQUIREMENTS

Please follow the Proposal instructions as laid out below;

Proposal Title Page (Section 1)

The title page should include, at minimum, the following:

- **Name of Project /RFP**
- **Submitted by** [Proposer's Name]
- **Date of Submittal** [MM/DD/YYYY]

Letter of Transmittal (Section 2)

The transmittal letter shall:

- Indicate the intention of the Proposer to adhere to the provisions described in the RFP without County approved modification.

- Identify the submitting organization.

- Identify the person, by name and title, authorized to contractually obligate the organization.

- Identify the contact person responsible for this response, specifying name, title, mailing address, phone, and email address.

- Acknowledge addendums made to this RFP.

- Acknowledge the Proposal is considered firm for one hundred and twenty (120) days after the due date for receipt of Proposals or receipt of the last best and final offer submitted.

- Provide the original signature of the person authorized to contractually obligate the organization.

- Signed by a company representative who is authorized to negotiate on behalf of the company.

Proposal Table of Contents (Section 3)

The Proposal table of contents should outline Proposer Response Section.

Proposal Executive Summary (Section 4.1)

Include a brief executive overview of your Proposal and any additional noteworthy information.

Proposer Qualifications and Litigation History (Section 4.2)

The Proposer should provide:

- A brief profile of the company.
- A brief description of the organization structure and primary products and services provided.
- Company's experience in performing work of a similar nature to that solicited in this RFP.

- Highlight participation in such work by key personnel proposed for assignment to this project.

- Identify where you are located and where your assigned staff will be coming from.

- A list of any litigation or arbitration resulting from contracts either completed or still under execution over the last five (5) years. If there is no litigation history, the Proposer shall specifically state that there is no litigation history over the last five (5) years.

Proposer References (Section 4.3)

List a minimum of four (4) references, **(Forms are in Section 6: REFERENCES)** whom you have provided similar size and scope of services. All references will be contacted. References outside of Illinois would be appreciated, but not required.

Project Design, Staffing and Organization (Section 5.1)

This section shall identify key personnel who will be assigned to the project, assuming a 2024 start date. Preferably, identify the Account Executive, Project Manager(s), and key off-site team members, as deemed appropriate.

The specific key staff identified in the Proposal may not be changed prior to commencement of work or during the course of the project without the specific approval of County's designee and two-week notice. Replacement candidates must have the same or higher level of similar experience as the original project team member they replace. Resumes of replacements shall be submitted with all applicable information.

As part of their duties, Proposer personnel may come in contact with confidential information, and are required to hold confidential any such information. The Proposer must attest that team members have not been convicted of a felony offense and a background check has been performed. Proposer is responsible for background check.

Proposal Narrative (Section 5.2)

Project Management:
- Please describe the experience and qualifications of key members of the project team.

- Please provide specific risks you see related to this project and how your organization will manage/mitigate these risks.

Solution Profile:
- This section should address the general and application specific requirements described previously in this RFP in **SECTION 4: SCOPE OF WORK**.

Specification Exceptions:
- This section should include any specification exceptions you are taking from the RFP.

- Include your work around or alternative, if applicable.

Termination:

- Please clearly outline any provisions and/or penalties if the County were to stop the project prior to completion without cause.

END OF SECTION FIVE: RESPONSE REQUIREMENTS & EVALUATION CRITERIA

SECTION SIX: PRICING

Proposal Pricing (Section 6)

Pricing is an important aspect of the overall evaluation of the Proposer's response. Please provide the level of detail necessary to clearly identify up-front and continuing costs. Clarification regarding responses may be sought.

Because County requirements and budgetary limitations are subject to change, pricing should be for itemized units of work **(See Pricing Page).** This pricing must be at a level of detail that will match future invoice line items. Itemized rates and a not-to-exceed total should be specified based on the effort described in this RFP.

PRICING:

Please copy this section for each of the proposed applications, and add any additional feature pricing or additional costs being proposed.

Application: [Choose one] Circuit Clerk CMS, Court Services CMS, Attorney CMS

	One-Time Cost	Annual Re-occurring Costs	Annual Increases
Core System			
Other Feature			
Other Feature			
Hosting Costs(*)			
Annual Support			
Professional Deployment Services			
Data Migration			
Other cost			

Subtotal:	Deployment Cost	Year 1 Annual Cost	
	$	$	

(*) Hosting costs must include Test and Production environments, full integration capabilities, production environment disaster recovery costs, production backups, and server maintenance and monitoring services.

Complete this section to summarize the entire proposal cost pricing for deployment costs, and the total of five (5) year of annual re-occurring costs.

Total:	Deployment Cost	5 Years Sum of Annual Costs
	$	$

Please list any other costs associated with fulfilling this project not listed above in your Proposal.

_____

_____

_____

_____

_____

_____

END OF SECTION SIX: PRICING

SECTION SEVEN: REFERENCES

List below a minimum of four (4) references, including governmental entities, to whom you have provided similar services. (All references will be contacted)

1. Business: _____

    Address: _____

    City, State, Zip: _____

    Telephone and Email:_____

    Contact Person: _____

    Date and scope of Project: _____

    _____

2. Business: _____

    Address: _____

    City, State, Zip: _____

    Telephone and Email:_____

    Contact Person: _____

    Date and scope of Project: _____

    _____

3. Business: _____

    Address: _____

    City, State, Zip: _____

    Telephone and Email: _____

    Contact Person: _____

    Date and scope of Project: _____

    _____

4. Business _____

   Address: _____

   City, State, Zip: _____ _____

   Telephone and Email: _____

   Contact Person: _____

   Date and scope of Project: _____

   _____

END OF SECTION SEVEN: REFERENCES

SECTION EIGHT: PROPOSAL SIGNATURE FORM

Name of Proposer	
Contact Person	
Address	
City, State, ZIP	
Telephone	**FEIN No.**
Email(s)	

TO: Winnebago County Purchasing Department

The undersigned, being duly sworn, certifies they
are an:

☐ OWNER/SOLE
PROPRIETOR

☐ MEMBER OF
PARTNERSHIP

☐ AN OFFICER OF
CORPORATION

☐ MEMBER OF JOINT
VENTURE

Further, as the Proposer, declares that the only person or parties interested in this Proposal as principals are those named herein; that this Proposal is made without collusion with any other person, firm or corporation; that he/she has fully examined the proposed forms of agreement and the scope of services or work specifications for the above designated service, and all other documents referred to or mentioned in the solicitation documents, specifications and attached exhibits, including Addenda.

(Proposer must list below any and all Addenda or your offer will be rejected, as non-responsive)

No(s):_____ and_____ and _____ issued thereto;

Further, the undersigned certifies and warrants that he/she is duly authorized to execute this certification/affidavit on behalf of the Proposer and in accordance with the Partnership Agreement or By-laws of the Corporation, and the laws of the State of Illinois and that this Certification is binding upon the Proposer and is true and accurate. The Affiant deposes and says that he/she has examined and carefully prepared this Proposal and has checked the same in detail before submitting this Proposal, and that the statements contained herein are true and correct.

Further, the Proposer certifies that he/she has provided equipment; supplies or services comparable to the items specified in this solicitation to the parties listed in the Business Reference Form and authorizes the County to verify references of business and credit at its option. Finally, the Proposer, if awarded a contract, agrees to do all other things required by the solicitation documents, and that he/she will take in full payment therefore the sums set forth in any resulting contract award.

SIGNATURE OF PROPOSER

SIGNATURE _____

Name and Title of Signer _____

Dated this _____ day of _____ 2024

AUTHORIZED PROPOSER NEGOTIATOR

Name and Title_____

Phone and Email_____

END OF SECTION EIGHT: PROPOSAL SIGNATURE FORM
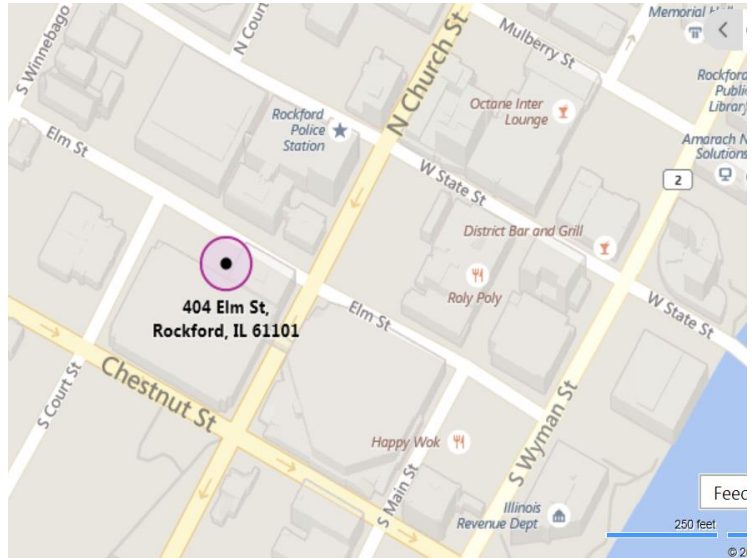
RETURN PROPOSAL LABEL

The County of Winnebago, Illinois will receive sealed Proposals at:

WINNEBAGO COUNTY
PURCHASING DEPARTMENT
404 ELM STREET, ROOM 202
ROCKFORD, ILLINOIS 61101

All Proposals must be enclosed in sealed envelopes marked:

"Circuit Clerk CMS, Attorney CMS, and Court Services Management"

ALL SUBMITTALS SHOULD BE LABELED ACCORDINGLY – PLEASE USE BELOW FOR YOUR CONVENIENCE

✂ -

PROPOSAL# **24P-2331** **PURCHASING DEPARTMENT** **PROPOSAL NAME:** Circuit Clerk CMS, Attorney CMS, and Court Services **PROPOSAL DUE DATE/TIME:** **8/9/2024– 11:00 AM**	**WINNEBAGO COUNTY** **PURCHASING DEPARTMENT** **404 ELM STREET, ROOM 202** **ROCKFORD, ILLINOIS 61101**