King County

Department of Judicial Administration

Electronic Court Records (ECR)

APPENDIX 7:

Project Detail from

Request for Proposal

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SJI State Justice Institute

This document provides details for the Core ECR Project extracted from the actual RFP document. The RFP was issued June 3, 1998 to 6 firms who had been qualified as proposers by the Department of Judicial Administration through a Request for Qualifications (RFQ) process earlier in the year. This document is for information only. We hope it can serve as a model for similar procurements elsewhere.

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SECTION I - BOILERPLATE PROCUREMENT PROVISIONS

[These provisions will vary with jurisdiction, organization, etc. They would provide the necessary details governing the Request for Proposal and procurement process.]

SECTION II - PROJECT DESCRIPTION AND REQUIREMENTS

1. Core ECR: Procurement Overview

1.1. What is Core ECR?

Core ECR, part of a multi-year program known as "Electronic Court Records (ECR)" (described below in Section 1.3 on page 8), includes:

- **Imaging** — document capture, labeling (indexing), storage, and retrieval of (a) active documents received by DJA in current court cases and (b) archival (retired) court case files
- **Workflow** — routing and work processing from electronic documents (images and non-images) within DJA
- **Computer Output to Microfilm (COM)** — output of indexed document images for archival microfilm by automated means
- **Architecture suitable for later extensions of ECR** — proposed architecture must be extensible for expansion of access to the Court, other law, safety, & justice system agencies, and beyond that to litigants and the public; it must accommodate digital documents with images in the same document systems

1.2. Objective of the Request for Proposal (RFP)

The primary objective of this Request for Proposal (RFP) is to procure competitively a Core ECR system for the King County Department of Judicial Administration (DJA) and the services required to implement it in a timely, cost-effective manner. Core ECR is to be operational in all case types for new cases beginning January 4, 1999.

The fundamental objective of the ECR program is to replace paper documents with electronic documents as the official documents of record of the Superior Court. This will be accomplished by Core ECR once the successful proposer has achieved the following objectives:

1.2.1. Establish imaging system for active cases submitted to DJA for filing in the official Superior Court case file

This system will provide for capturing incoming documents at intake points among the geographically separated offices of DJA. Images may also be captured by external faxing, which will be integrated with the document system (without DJA printing and scanning the faxed images). Imaged documents are to be indexed as to date/time filed, case number, and other data necessary to support workflow processing. Quick retrieval of documents from a given case shall be enabled by additional index terms such as identifying document number and descriptive title. Retrieval must be possible at multiple geographic sites.

1.2.2. Replace the existing imaging of archived (retired, inactive) cases

This system was obtained from Image-X on a month-to-month rental basis pending the implementation pursuant to this procurement. The selected proposer will replicate the existing scanning system.

1.2.3. Provide electronic document routing and processing within DJA with a full-featured workflow system.

This workflow system must manage the workload and serve DJA staff workstations. It must be extensible, allowing for adding new workstations. It must be able to link with workflow steps or systems of other agencies. It must permit document image replacement, revision, or deletion by DJA and must prevent document alteration by unauthorized persons. It must provide for strict security against unauthorized ac-

cess for documents and case files which are sealed; it must allow authorized persons to have access to sealed documents and case files. It must be linked with the Superior Court Online Management Information System (SCOMIS) at the screen level. It must be capable of being linked with other state and County systems.

1.2.4. Provide Computer Output to Microfilm

Computer Output to Microfilm (COM) is the transfer of images to microfilm for permanent storage. COM is required before destruction or deletion of files from the image repository. (In this RFP, COM is a feature provided as software; actual film production is contemplated for an outside service bureau.)

1.2.5. Implement the system so it can be used for new cases filed in 1999 and after

This means the system, including active case imaging and workflow, must be tested and operational for the first new cases in 1999, starting on Monday, January 4, 1999.

1.3. What is ECR?

The ECR *Program* is a multi-year effort by the Superior Court and DJA to implement electronic case records. Electronic records include "digitized" documents imaged[1] through scanning and "digital" electronic text documents.[2] Both types of electronic objects substitute for hard copy. They can be stored on magnetic, optical, or other electronic media. For a clear, comprehensive presentation about ECR, see the "ECR Master Plan," Appendix 6.1, beginning on page 53.

ECR is planned to occur in stages. Because of the significance of the case files of the Superior Court, DJA intends that records not be jeopardized in any way by new technology. A cautious, "safe-mode" approach has been followed.

1.3.1. Archival Scanning Project

This was the first stage of ECR, begun in 1997 to replace microfilming DJA's completed, inactive case files for long-term preservation and reference. With a rented imaging software platform, purchased scanners, and labor allotted for document preparation, DJA implemented a system which is scanning 35,000 pages per day. With new equipment being added, daily production levels will rise soon to 55,000 pages per day. Over 2,000,000 images are now on file. Retrieval of images is between 2 and 3 seconds from geographically separate sites connected to the King County Wide Area Network (WAN).

1.3.2. Core ECR

In Core ECR, DJA will work from images made from hard copy in day-to-day processing of documents through DJA. The hard copy record will be kept (for 1 or 2 years) and used for check-out to the Court, staff, and public. The Archival Scanning Project will continue, converting older closed cases from paper to images. DJA will have a workflow system so clerks can process documents as images. Ultimately, images are to be converted to microfilm for permanent retention, using automated Computer Output to Microfilm (COM).

1.3.3. Extended ECR (Superior Court and law, safety, & justice agencies)

Extended ECR will be planned for operations to start in 1999. This will provide electronic access to images beyond the walls of DJA within the King County Wide Area Network. Workflow could be expanded to incorporate

[1] **Images** ("digitized") are electronic pictures of paper documents. Imaging involves capturing, storing, and retrieving these pictures. Images are electronic hard copy. They have to be converted to digital form if automated processing is to be done. Compressed images use an average of 20,000 to 50,000 or more bytes per page in storage or transmission bandwidth.

[2] **Electronic text documents** ("digital") are made of text created in a computer, with codes representing words and symbols. They are machine-readable, as evidenced by the fact they can be electronically searched or spell-checked. Text searches can be performed and data can be pointed to with "markup language," enabling automated processing. Text files take up about 2,000 to 4,000 bytes per page.

work processes of the Court and agencies. DJA will then be working out how to include digital documents and digital signatures in ECR.

1.3.4. Extended ECR (all litigants)

This further extension of ECR should be developed in 2000 and after. Electronic filing will become possible for litigants outside King County's networks and the law, safety, & justice system. Remote access may be through dial-up, Internet, Extranet, or other secure means. Remote access to case files will have restrictions to protect sealed matters. Safeguards on items affecting personal privacy will be included.

1.4. The Core ECR Contractor

The winning proposer for Core ECR will be the prime or general contractor, who may form a team of sub-contractors. The winning proposer will be responsible for delivering the Core ECR system as a whole. The system is not just a group of hardware and software components, but an integrated system designed to perform clear functions. The contractor will be responsible for the performance of the whole system. Proposers will likely have preferred combinations of hardware and software. Latitude is given to allow proposers to choose or suggest components and combinations of components they believe best suited to meet King County's needs.

1.5. Contracting Requirements

Standard language associated with King County contracting requirements were given to proposer representatives at the Orientation sessions held in Seattle on May 7 and 8, 1998. It is the standard King County contract "boilerplate" which DJA will use for the contract awarded pursuant to this RFP. Attention should also be paid to the language in Section 3.13, System Compatibility, on page 45, which King County will require in the contract. Also, proposer should study provisions in Sections III through VIII, pages 78 through 90.

The firm which is awarded the bid under this procurement will be free to propose its own contractual language, but it must substantially conform with these provisions. DJA is concerned that substantial contracting differences would unduly delay implementation under this contract and is not inclined to accept proposed provisions which will require extensive County review and approval processes.

If the first review of a proposer's proposal shows that a proposer's response will clearly fail to fulfill all contractual requirements, the proposal will be rejected and eliminated from further review.

1.6. Women/Minority Business Requirements

King County has established Countywide annual goals of 6% MBE and 15% WBE for the participation of certified businesses in King County general consulting contracts. To the greatest extent possible, proposers are requested to establish and detail a plan to utilize certified minority and women business enterprises consistent with the policy cited in King County Code 4.18. The proposal evaluation model for Core ECR has been designed based on these considerations.

1.7. Proposal Evaluation Criteria and Weights

Based upon review of the written materials submitted in response to this Request for Proposals, DJA will assign points to proposals based on the following scale.

Proposer Experience and Capability	150 points
Technology Risk Minimization	200 points
Functionality	250 points
Implementation Capability	200 points
Costs	200 points

Firms eligible for M/WBE may earn additional points as indicated:

M/WBE Participation	100 points
SUBTOTAL	1100 points

DJA may at its option require the highest-rated firm(s) to provide demonstrations, presentations, and/or participate in interviews. These activities will be used both to confirm the capacity and ability of the proposer to meet DJA's requirements and to develop the final ranking of proposals.

Proposer Presentation / Interviews	200 points
TOTAL	1300 points

1.8. Indicators Considered in Applying Evaluation Criteria

Criteria which DJA's evaluators will consider when assessing proposals are listed in Appendix 6.2, beginning on page 54.

2. DJA Organization & Technical Environment

This section of the RFP provides an overview of the Department of Judicial Administration's organization, functions, and present technology architecture and environment.

2.1. Overview of the King County Department of Judicial Administration

The case files of the Superior Court, for which the Department of Judicial Administration (also called DJA, the Superior Court Clerk, or "the Clerk's Office") has custodial responsibility, are composed of original, signed documents organized into one file for each case. The case file documents are usually presented on 8½" by 11" bond paper, following standard formats described in the *Rules of Court*. The Clerk accepts a document for filing if it clearly carries a valid King County case number and caption, is capable of the long-term preservation required by law, and is otherwise appropriate for filing.

2.2. Problem Statement

Each day more than 6,000 documents are filed with the Superior Court Clerk, more than 28,000 pages. If stacked, an average day's documents would be 8⅓ feet high. An estimated seven million (7,000,000) new pages a year are added to the court files. Active files are at any of 3 different courthouses (downtown Seattle, Regional Justice Center, Juvenile). File folders are placed in 7-tier open shelving units. Shelving takes over 7,500 square feet in the downtown Courthouse alone (other shelves of files are in the Regional Justice Center and Juvenile Clerk's Office).

It takes up to 5 days from the time a document is filed with the Clerk until it can be available for reference in its case file folder. Only one user at a time can access a file. Each file can be accessed at one and only one place.

The hard copy case file is at risk for loss, misfiling, or mischief. A number transposition error in reshelving a file folder makes it "lost" until located through time-consuming searching, by accident, or when archived. Some people try to alter documents, remove papers from a file, or take the file away.

Most of DJA's staff (just over 200 persons) handle hard copy. Many of them perform repetitive actions like stamping, sorting, retrieving, refiling, searching, delivering, and boxing. Currently about 20 staff are needed to prepare documents for scanning in DJA's Archival Scanning Project.

The parties to the case, the Court, and the Clerk file most documents in a case. Case file folders are referenced by the judge who manages the case, hears motions, or conducts the trial. They are used by the parties to the case. They may be read, unless sealed, by the public. Files are used by staff, court reporters, researchers, investigators, title companies, information compilers/resellers, the press, and the public.

The Superior Court and the King County Department of Judicial Administration have concluded it is necessary to convert to a system where case files will be composed of electronic documents.

2.3. Statutory Responsibilities of DJA

The duties of the Clerk, including record-keeping requirements, are stated in the Revised Code of Washington (RCW). It is important to understand the laws on which the functions of the Clerk are based, especially regarding court documents and records. The most important statutory requirements are presented in Appendix 6.3, beginning on page 58.

2.4. DJA and the Superior Court Administrator

DJA is the Superior Court Clerk. The Clerk is an appointee of a majority of the Judges. The Judges are independently elected officials. DJA is a department in the executive branch of King County government and its employees are executive branch employees.

The Superior Court Administrator is organized and staffed within the judicial branch of King County government. The Court Administrator's Office, though separately organized, also supports the Court. The functions managed by Superior Court Administration (SCA) include court operations, court support staff (e.g., bailiffs, judicial assistants, but *not* the courtroom clerks), court reporting, jury administration, and special programs (Arbitration Services, Courthouse Domestic Relations Facilitators, Interpreter Services, and Social Services such as special advocates, family court services, guardian *ad litem* program, and "Unified Family Court").

Most of the Clerk's work is document-driven. That is, any given action taken in the Clerk's office involves, responds to, or creates a document related to a court case file (or an associated computer record). This gives the Clerk a somewhat different perspective from that of the Superior Court Administrator.

ECR is a project of the Department of Judicial Administration.

2.5. DJA and King County Government

DJA is an Executive department within King County government. Except for the Director and Confidential Secretary, its employees are under the Executive Branch of County government.

Budgeting for DJA (and for the Court and Court Administrator) is organized by the King County Executive and Council as part of the annual budget process for Metropolitan King County.

In 1996, the County organized a system for review and allocation of bond-based funds earmarked for technology in the County. Overseeing the process is the Information Resource Council (IRC) chaired by the Deputy King County Executive. Several Business Area Committees, whose members are the chairs of departments and agencies, report to the IRC. DJA and the Court are on the Law, Safety, & Justice Business Area Committee (LSJ BAC) with the King County Sheriff, the Prosecutor, the Office of Public Defense, the Department of Youth Services, the Jail, and District Court. When technology projects were reviewed and prioritized by the LSJ BAC in 1997, all 8 departments named ECR as their first priority.

The Department of Information and Administrative Services (DIAS), through its Information and Telecommunications Services (ITS) Division, provides a range of technology services, including planning and coordination, standards, information, and direct technology services. ITS provides and oversees the County's Wide Area Network (WAN) and overall security for King County data systems. ITS runs County-wide e-mail messaging services (MS Exchange), Internet access, and Web Pages. A Web Team in ITS ensures a common interface and structure for all web services, including information pages, downloadable forms, and other features.

ECR is intended to be well coordinated with related King County systems. To that end, in 1995, DJA and DIAS's Records and Elections Division formed the "Electronic Document Management Advisory Committee" (EDMAC) for a forum to explore common interests in electronic documents. The King County Council later created an "Electronic Records Access Committee" (ERAC), to explore issues around new technology in records and information systems. ERAC is currently working on standards and electronic revenues.

Within the family of law, safety, & justice agencies, DJA is a leading partner.

2.6. DJA and Washington State Courts

The Department of Judicial Administration as the County Clerk's Office is associated with the other 38 counties of Washington through a number of state agencies and associations.

All Superior Courts in the State of Washington are served by the Office of the Administrator of the Courts (OAC) in Olympia. OAC oversees the Judicial Information System (JIS), which includes major data systems supporting the courts. Of main concern for DJA is SCOMIS, the Superior Court Online Management Information System. SCOMIS provides for many of the legally required records maintained by Superior Court Clerks. Since its creation in 1979, SCOMIS has replaced ledger books and index cards with computer data entry. SCOMIS is supplemented with the Judicial Receipting System (JRS) managing payments and receipts in Clerks' offices, and JASS (Judicial Accounting Sub System) tracking financial obligations and other information related to litigant judgments and accounts.

DJA participates with courts of all levels in policy and rule development in the Records Management Advisory Committee (RMAC), formed in 1995 to advise JIS and the Court Management Council. DJA expects that ECR will strongly influence other Clerks and courts developing plans for electronic court files.

2.7. DJA and Stakeholder Groups

ECR is the product of many years of consideration, study, and conceptual development. While the project has a defined scope serving the mission of DJA, it will have wide-ranging consequences. While imaging has been used in a number of court record applications, ECR is designed to move beyond imaging by including digitally signed electronic text documents in the same folders. ECR is not just about bringing efficiencies and accessibility to case files, it is about a change in the legal culture. It will trigger re-design of processes at many levels.

2.7.1. ECR Advisory Bodies

2.7.1.1. Steering Committee

DJA organized a Steering Committee in 1995 for broad based advice and support from key stakeholders. It includes representation from Superior Court judges, Court of Appeals, Prosecuting Attorney, Public Defense, District Court, Records and Elections, County Council Clerk, Law Library, ITS, State and County bar associations, and private practice attorneys. It is an advisory board and "think tank" for ECR. Sub-committees have dealt with issues such as Privacy, "What's the Record?", Court Rules, and ECR Web Pages.

2.7.1.2. State Advisory Committee

A higher level advisory body, this group includes a Supreme Court Justice, the State Law Library, judges from other courts, the Office of the Administrator for the Courts, and members of the Bar. This group receives periodic reports on ECR and advises on policy issues with state-wide implications.

2.7.2. ECR Program Management

An ECR Program Manager and an ECR technology expert provide leadership to the ECR Program. The Superior Court and DJA will soon jointly select a technology manager to oversee large court projects including ECR. DJA's former Director, now Director of the Washington State Bar, consults with DJA on ECR. Supportive Court leaders include past and present Presiding Judges.

DJA has an ECR Operations Committee as an in-house think-tank and information resource. An ECR Communications Committee composed of DJA staff holds educational and focus groups with staff and stakeholders.

DJA has a staff TQM team studying workflow routes for documents in criminal cases. Their charts and diagrams will help the contractor to design workflow routes.

2.7.3. Criminal Demonstration Project

This project, planned by an inter-departmental committee, is supported by Bureau of Justice Assistance (BJA) grant funds. It will demonstrate how having access to an electronic file folder can enhance the work of the Court, prosecutors, defenders, and others in "live" criminal cases. Documents in selected cases will be scanned. Im-

ages will be accessible over the WAN by those participating in the project. Participants will report on how it is to use the electronic file. This project is limited-term beginning in June and continuing into the fall, 1998.

2.7.4. Consultants

A "technology consultant," Cary Information Consulting (CIC), provided with funds from the County's IRC, has researched similar efforts in other courts; surveyed King County law, safety, & justice agencies to learn their technology needs; specified what DJA needed to set up archival scanning; advised on this RFP; and presented an overall ECR architecture recommendation.

Thanks to a grant from the State Justice Institute (SJI), SMG/Columbia Consulting gave DJA process and project planning support in 1997-1998. They wrote a chronicle of project development and designed a detailed assessment tool. Further consultant support is being sought from SJI.

2.7.5. Other ECR-Related Groups

DJA has involved itself with many groups which touch on issues and concerns related to ECR. The groups include:

- Washington State Bar Association's Electronic Communications Committee (EC^2)
- Washington State Bar Association's Court Rules Committee
- Secretary of State's Digital Signature Implementation Committee
- Washington Association of County Clerks (WSACC)
- Washington State Archivist's Technology Advisory Group
- Association of Records Managers and Administrators (ARMA), Seattle Chapter
- Association for Information and Image Management (AIIM), Puget Sound Chapter
- Association of Local Agency Records Managers (ALARM)

DJA has participated in national dialogue about electronic court records through groups including:

- Judicial Electronic Data and Document Interchange Foundation (JEDDI)
- Counsel Connect International Forum on Electronic Court Files
- XML Work Group on Electronic Court Files

2.8. DJA Organization and Locations

DJA is headed by the Clerk of the Court, who is also DJA's Department Director. The Department is organized into a number of divisions headed by managers as shown in the chart at Appendix 6.6, page 70.

DJA operates at 5 different sites with case files kept at 3 of the sites. Two couriers provide daily deliveries of documents, files, exhibits, and other materials. *The substantial work and time devoted to moving papers and files among sites is an area for potentially substantial cost savings associated with ECR.*

2.8.1. The Courthouse.

The Courthouse (KCCH) in downtown Seattle is DJA's largest office. The downtown office takes up more than half of the 6th floor of the King County Courthouse and has a secured Exhibit Room in the basement of the building. Administration, financial systems, and microfilm access are centralized in the KCCH.

2.8.2. Regional Justice Center

The Regional Justice Center (RJC) in Kent, Washington, opened in March 1997. Like the KCCH site, the RJC maintains its own hard copy file system. (Cases are assigned either to Seattle [SEA] or Kent [KNT] based on court rules.)

2.8.3. Juvenile Court Division

This office ("Juvenile") is located on First Hill in Seattle with the Department of Youth Services, which manages the juvenile detention facility. Juvenile serves the Juvenile Court (part of Superior Court), including Courtroom Clerks, shelving and files, and customer services for juvenile Superior Court cases.

2.8.4. Mental Illness Courtroom

Located in Harborview Hall on First Hill, this Court holds non-public mental illness proceedings.

2.8.5. Eastside Satellite

Occupying a service window in the Bellevue District Court, this site receives filings on a part-time basis as a convenience for Eastside litigants and attorneys.

2.8.6. Future Site

There is a plan for a future Regional Justice Center in Bellevue.

2.9. King County & DJA Technology Infrastructure

2.9.1. DJA Technology Deployment (approximate)

a. The Courthouse (KCCH) in downtown Seattle has 120 personal computers (PCs)
b. The RJC in Kent has 60
c. Juvenile has 15
d. Harborview Hall (Mental Illness) has 2
e. Eastside Satellite has 2
f. Additional satellite offices are contemplated
g. Key Tower (ITS facility), downtown Seattle has the RS/6000, storage, and 1 DJA PC

2.9.2. DJA's Local Area Network (LAN) Environment

2.9.2.1. Protocol

IP (Microsoft Windows 95 version)

2.9.2.2. Physical Layout

Category 5 Twisted Pair Cabling - all sites (a couple of cat 4 leftovers will be upgraded)

- KCCH - 10BaseT, mixture of hubs and switches - 10 MB to Router on ATM WAN
- RJC - 10/100BaseT VLAN, managed by KC ITS - 100 MB to Router. 4 T1 lines to WAN
- Juvenile - 10BaseT, hub - 10MB to Router on ATM WAN.
- Mental Illness - 10BaseT, hub - 10MB to Router. T1 to WAN
- Eastside - 10baseT, hub - 10MB to Router. T1 to WAN

2.9.2.3. Network Operating System

NT Server 4.0, Service pack 3, on all servers

2.9.2.4. Servers

- Primary Domain Controller (KCCH)
- Backup Domain Controller (KCCH)
- Data Server, CRIMS application (KCCH) - a high-volume Visual Foxpro 5.0 inventory application
- Backup Domain Controller (RJC)

2.9.2.5. Workstations

Approximately 200 workstations.

All run on Windows 95 except a few cash registers, which are not on DJA LAN, and which run Windows For Workgroups 3.11.

Hardware ranges from 486/33 to Pentium 200. Newly obtained scanners have servers that are 300 Mhz Pentium II.

2.9.2.6. Printing

Printers usable for ECR purposes are HP Laserjet, all models (5N, 5P, 5si, 5siMX). Fast printing is necessary, so XIP printing is currently installed on a few printers.

2.9.3. King County's Wide Area Network (WAN)

King County Wide Area Network: ATM. The King County WAN connects most of its primary downtown Seattle sites with 156 MB ATM. Most secondary sites are connected with T1.

2.9.4. King County's ITS Technology Direction

- DBMS: Oracle and SQL Server
- Messaging System: Microsoft Exchange
- Server Operating Systems: NT
- Client Operating Systems: Microsoft Windows 95/98 and NT

2.9.5. Superior Court's Technology Direction

The Superior Court Administrator is one of DJA's primary business partners. Technical staff and others from both organizations often work closely together.

Superior Court is well into development of CMIS, its real-time court management information system. CMIS will almost certainly have an ECR linkage using CMIS's Informix as the back-end database. Superior Court is also beginning to develop a smaller auxiliary management system, also using Informix as the back-end database. For these reasons, along with the necessary support-assistance factors between Superior Court and DJA, Informix would rank with Oracle (King County ITS's large database preference) as one of the preferred back-end database choices. Proposers may propose alternatives.

2.9.6. SCOMIS (Superior Court Online Management Information System)

SCOMIS is the Superior Court Online Management Information System, a statewide DB2 mainframe system operated and maintained by the Office of the Administrator for the Courts (OAC) in Olympia, Washington. Every document filed in a King County Superior Court case is "docketed" into SCOMIS by DJA staff. Certain DJA staff have *ad hoc* and production reporting skills and access to this data, including exchanging data between SCOMIS and local systems by downloading the data and running batch import processes. It is part of DJA's vision eventually to access SCOMIS and other systems simultaneously using true client-server practices, *e.g.*, a single screen with data fields linked to multiple databases, including SCOMIS, which exist on different platforms operated and maintained by different political subdivisions.

Communication between DJA and the OAC mainframe moves from DJA's LAN to King County's WAN to a Washington State router (provided through OAC/State Department of Information Services). From there, it goes through the secure Washington State Justice Information Network frame relay cloud to the state agency router in Olympia, Washington, and from there to OAC and the mainframe. This communication is exclusively IP. The backbones of both King County and the State WANs are secure router-to-router without workstation access except for restricted staff for troubleshooting purposes. Network latency is guaranteed not to exceed 1 second, half by the county network and half by the state network. In practice, a full page of docket information is returned to DJA users in well under a second from hitting <Enter>. Download speeds for 2MB structured file transfers under TSO are approximately 5½ to 6 kb/sec. This communications link is fast for the ECR intended usage, which is likely to include screen scrapes and screen-level (text) integration between ECR and SCOMIS.

DJA accesses SCOMIS using TN3270. OAC has a statewide site license for HostExplorer, version 4.0, a communications software package from Hummingbird Communications Ltd. DJA's current environment contains a mixture of HostExplorer and EXTRA! from Attachmate. We intend to replace all EXTRA! with the free (to DJA and the Court) HostExplorer in the near future. HostExplorer contains its own object-oriented VB compatible macro language. HostExplorer supports the multiple HLLAPI DLLs for complete compatibility with Attachmate's® Extra! for Windows™ and DCA's Irma for Windows™. These interfaces allow other Windows programs to communicate and control the 3270 and 5250 emulator.

OAC and DJA have agreed that data traveling between SCOMIS and DJA should be encrypted at the workstation in the future. OAC has agreed to assume responsibility for following up on this project.

Core ECR envisions communication with SCOMIS, but not with other applications operated and maintained by JIS / OAC which DJA uses on an ongoing basis, that is, the Judicial Accounting Sub System - JASS and Judicial Receipting System - JRS. Extended phases of ECR contemplate data exchanges between ECR and these other systems.

2.9.7. Archival Scanning Project

In addition to our primary LANs, DJA has in place a pilot imaging system installed by Image-X International of Santa Barbara, California, in the fall of 1997. This system is used to image archived court files with a goal of approximately 7 million pages to be imaged per year. It uses printed pages containing barcodes of case numbers to identify and index cases as they are scanned. Entire cases are entered as a single entity, rather than being entered as multiple documents in each case.

This project is described in detail in Appendix 6.4, beginning on page 61.

The proposer may choose to bid based on the existing RS/6000 AIX UNIX version 4.2.1 configuration, or may propose a different ECR Server configuration.

2.9.8. Future Plans

- Rewiring of KCCH - fiber to all floors
- Replace hub with switch at Juvenile
- Replace all hubs with switches at KCCH and Mental Illness
- Replace all 486 computers with Pentiums
- Replace all EXTRA! communications software with HostExplorer
- Workstation encryption for communications with SCOMIS
- Possible upgrade of workstations to Windows 98 in 1999

2.9.9. Technical Staffing

DJA now has one staff person with expertise in both technology and DJA's business operations assigned to ECR. Other technical staff in DJA, e.g. LAN administrators, will be available for limited help as needed.

2.9.10. Business Partners

DJA has numerous business partners who will become consumers of, and contributors to, the records contained in ECR. The Extended ECR system will be required to provide full service to these partners. The systems below illustrate the variety of environments in which ECR will be required to successfully operate.

King County Superior Court, our primary business partner, currently runs approximately 350 PCs (486-33 to Pentium 166) within the following environments in 3 physical locations:

- TCP/IP and IPX/SPX protocols
- TOKEN-RING, TOKEN-RING-SNAP & 802.2 Frames
- Ethernet 10/100 BaseT
- Novell 3.12, Novell 4.11 and Windows NT Server 4.0
- 4 MB Token Ring
- 16 MB Token Ring
- Hubs, Switches and Multiple Access Units
- Mostly Windows 95 on desktops; a few Windows 3.1 and some WFW 3.11 are still operating.

Other important business partners (Prosecutor, Defenders, Jail, Sheriff) will run systems similar to those of DJA and Superior Court, i.e. Windows, Windows 95/98, Novell 3.12 through current, Microsoft NT Server, TCP/IP, IPX/SPX, Token Ring, Ethernet, and 486s and Pentiums. They will connect to King County's WAN via T1 or ATM, depending on location.

2.10. Overview of DJA Operations

2.10.1. Hours of Operation

DJA's hours when open to the public are between 8:30 a.m. and 4:30 p.m., Monday through Friday. The Clerk's Office has staff working from 5:00 a.m. until midnight on any given weekday and maintains weekend staffing as needed to support the court or meet required service levels, e.g., overtime work to maintain the 5-day filing-to-file standard. Most employees work a 40-hour week.

2.10.2. Services Provided by the Clerk

2.10.2.1. Telephone Information and Call Routing

Daily DJA receives 400 to 700 telephone calls. Staff in Customer Services downtown field these calls. *Having case files available to help staff answer questions is a potential new level of service ECR may make possible (with a staffing impact to support more time with callers).*

2.10.2.2. Correspondence and File Research

DJA receives inquiries in the mail for basic information, for help presenting papers to the Court, for information from case files, and for official copies of documents. *The significant amount of time it takes to retrieve files from open shelving, to disassemble them, make copies, reassemble files, and return them to the shelves is a potential area for substantial cost savings from ECR.*

2.10.2.3. New Case Filings and Other Transactions

New cases are filed at Cashier windows at the Courthouse and RJC. Cashiers receive payments for fees and other services. In new cases, Cashiers provide litigants with the case number and provide other directions. In over 90% of the cases, a *Case Schedule* is presented by the Cashier at the time of filing. The Schedule assigns the Judge, the trial date, and due dates for milestone actions or filings.

2.10.3. Document Processing and Filing

The major activity Core ECR will change is the receipt, processing, and filing of the more than 6,000 documents an average day brings to the Clerk. The flow of work in the present system is shown in the flow chart provided as Appendix 6.7, page 71.

Documents by rule are not to exceed 8½" by 11" in size. Filers are encouraged to use only single-sided documents; duplexed papers are discouraged, but some are filed. Fewer than 15% of papers are duplexed. A document is made up of one or more pages presented and fastened together. Documents vary from 1 page to *any length*. By rule, a document is supposed to move through processing and be placed into its hard copy file folder within 5 working days of its receipt. It is a 1½ to 2 day process to sort and distribute DJA's volume of papers to the file folders. It takes 3 to 3½ days for intake, routing, data entry, and review of the documents.

2.10.3.1. Document Intake

Documents are date and time stamped. The date stamp shows when a document has been officially received by the Clerk. Filers who want a receipt to show when they left documents at the Clerk's Office make themselves "conformed copies" of documents filed, using RECEIVED stamps provided for this purpose. Documents must be received in the DJA office (or be in the personal custody of a Courtroom Clerk) by 4:30 p.m. on a business day in order to be considered "Filed" on that date. Documents received after the 4:30 deadline are "Filed" the next working day.

a. Documents are filed in person with a Clerk in the courtroom by handing the documents to the Clerk for that purpose. The Clerk date-stamps (often, date/time-stamps) them.

b. Documents are placed in receptacles at the entrances of DJA facilities.

c. Documents are left with Clerks at office windows, including the Information Window in the Courthouse Clerk's Office, Cashiers, other service windows, and the Eastside Satellite.

d. Documents are submitted by mail, date-stamped with the date received.

e. Documents are submitted to the Clerk by fax machine in conformity with General Rule 17 of the Washington Rules of Court and DJA fax filing procedures.[3] Once received, fax filings are stamped and treated like any other hard copy document.

f. Documents created by the Court are submitted to the Clerk in the Courtroom or handed to attorneys or parties to a case so they can file them at the Clerk's Office.

g. Courtroom Clerks create documents which are filed, e.g., Minutes of court proceedings and Exhibit Lists.

h. Many documents are created within the Clerk's Office and filed in the court file.

i. There are a number of Court case related documents *not* included in the court case file. These include verbatim records of proceedings from Court Reporters or videotape transcriptions, unpublished depositions, non-microfilmable items (such as tape recordings), and items which should instead be submitted for Court review and acceptance as exhibits. When identified as having been wrongly included in the DJA hard copy workflow system, such items may be removed from the case file.

[3] These documents are an exception to the "original signature" principle for filed case documents. The source document is held by the filer. The filer uses a standard DJA Fax Cover Sheet. The person submitting the filing signs a certification and promise to pay the fax filing fee. The person filing must retain the original signature document on file until at least 60 days following case completion. This ensures the Court can command any document to be presented when needed. Fax filings received while the Clerk's fax machine is busy or off line divert to a "Never-Busy Fax" service where they are date/time-stamped. Faxed filings are to be marked "Filed by fax in the King County Superior on [date]," so they will be treated as "originals."

2.10.3.2. Processing

The DJA hard copy workflow system includes data entry about *every* document in SCOMIS; *at least* the title, date filed, and sub number assigned to each document is entered. This results in a "Docket," a table of contents to each file. Other data entry is done as needed. Required Clerk's actions are triggered. Financial data is extracted. Notations are made on the document, most on the cover page.

a. Sorting and distribution begins with intake. Sealed documents are identified and segregated for confidential handling.

b. Assignment is the next step. Routines are followed for filings with similar purposes. Sometimes documents do not fit defined categories and need review and assignment by a supervisor. *Electronic processing of documents through workflow must provide both for the standard processes and individualized routes.*

c. Data entry: Any clerk who has data entry access to SCOMIS may modify the SCOMIS record. Some data entry is highly specialized, assigned and performed based on function or subject matter expertise.

d. Docketing adds to the "table of contents" for a case. Every document has its sub-number, SCOMIS code if any (a code of up to 7 alphanumeric), and document title entered. This is usually the last step before the document is sent to the file.

e. Routing and forwarding is a step for documents that require special actions. Review and data entry could be by staff in Judgments, Disbursements, or elsewhere. Information may be noted on the first page of a document to show steps taken.

2.10.3.3. Sorting and Filing

The hard copy work flow process ends with sorting and placing papers in their respective file folders. Documents committed to the case file are not to be altered (except by court order in rare circumstances). They are the basis for "certified" or "exemplified" copies which, when made by the Clerk, are legal equivalents of the originals. These copies are used by agencies, litigants, and the public.

a. Review by representatives of title companies lets them capture information which may affect liens upon real property. Non-sealed documents are available to them for a short time prior to final sorting and filing.

b. Sorting is done separately at KCCH, RJC, and Juvenile. Staff remove clips and binders from documents, drill 2 holes in the papers (so they will fit on pins in the file folder), and then sort documents based on their "terminal digits[4]." Terminal digit filing is used to order files on shelves and in microfilm reels. *While ECR eliminates some need for it, terminal digit order will continue to be used in various ways.*

c. Bulky Subs are documents too large to fit in a normal file folder. Staff create target sheets that go into the file folder to show the document is in an envelope or box located somewhere near the file.

d. Jumbo Files are whole files which have grown too large for general shelving; their place is marked with an out-guide and the folders are kept in the Jumbo Files area.

[4] Terminal digit filing is used throughout DJA systems. In any standard case number, whose format is YEAR + dash + CASE TYPE + dash + 5-DIGIT UNIQUE NUMBER + dash + CHECK DIGIT, the "terminal digit" is always the last 3 numbers in the 5-digit unique number. Thus a file numbered 79-3-04673-2 belongs to the "terminal digit" group "673," and a file numbered 2001-03-45382-9 belongs to the "terminal digit" group "382." On the shelves, on microfilm, or wherever used, terminal digit groups are sorted next by Case Type, then by Year, then by the unique number.

e. Sealed Subs are documents in non-sealed files which have been sealed by rule or court order. Staff put a target sheet in the file folder that shows the sealed document is being kept in an envelope in the Exhibit Room.

f. Pinning is the term for putting documents into their respective hard copy file folders.

2.10.4. Case Types

Superior Court case types are identified by a number in a 2-digit field which appears in all SCOMIS case numbers. The case types are:

a. Type 01: Criminal

b. Type 02: Civil

c. Type 03: Domestic Relations

d. Type 04: Probate, Guardianship

e. Type 05: Adoption, Parentage (SEALED)

f. Type 06: Mental Illness (SEALED)

g. Type 07: Juvenile Dependency (SEALED)

h. Type 08: Juvenile Offender

i. Type 09: Judgments (SCOMIS record only—no paper filings)

2.10.5. Sealed Records

Sealed records are extremely important. They must be kept securely. Access to them must be limited, without exception. Case types 5, 6, and 7 are sealed by statute. Specific cases in other case types, by court order, may be sealed in whole or in part, with or without sealing the SCOMIS index.

2.10.6. Record Modification

Modification of filed records is rarely done, but it is the Clerk's responsibility to make court ordered changes. For example, a Judge might issue an order that a document be removed from a file *as though it had never existed*. The Clerk is responsible to carry out the order. A name or other detail might be ordered physically removed from a document. *For these reasons, it must be physically possible for the Clerk to modify any image created. An image management system which makes rewriting of images impossible cannot be accepted. Severing the connection between an index entry and the image is not sufficient.*

2.10.7. Judgments

Civil and criminal judgments are managed by the Clerk. A criminal case judgment is described in the *Judgment and Sentence* document. DJA's criminal judgments staff take actions carrying out the judgment. DJA Judgments staff establish special judgments case numbers (using case type #09) to track monetary judgments in SCOMIS to satisfaction, completion, or termination.

2.10.8. The Registry of the Court

Finance staff keep records related to the receipt, investment, and disbursement of funds held in carrying out decrees and judgments of the Court.

2.10.9. Records Access

Court/Public access to case records is provided by the Records Access Section. About 2,000 files are accessed on an average day.

a. A public access area is provided in the downtown, RJC, and Juvenile sites where court case files can be examined.

b. Case files are bar-coded for tracking by the Court Records Inventory Management System (CRIMS), managing check-outs to courts, staff, and the public.

c. Daily delivery of case files for courts is provided in groups based on calendars.

d. "Will-Call" telephoned case file orders are filled for pickup by courtroom staff and others.

e. A Copy Center in the Access area allows purchase of certified and non-certified copies, court forms, and videotapes from court proceedings.

f. Microfilmed images and microfiche indexes for archived case files are available for reference.

g. Scanned document images are available on a public terminal in the access area for cases archived in 1997 and after.

h. Restricted access to sealed records is provided to those entitled to it by law or court order.

i. The *Ex Parte* file runner takes file folders to and from the *Ex Parte* and Family Law courts at 15-minute intervals.

j. Trained "bulk users," from business or government, have self-service access.

The day-to-day retrieval, check-out, delivery, distribution, return, check-in, and re-shelving of case files is a major area for savings based on implementation of full-service, Extended ECR. During Core ECR it is expected that these functions will continue to be performed.

3. Contractor Services, Functional & System Requirements

IMPORTANT: *The proposer will be directed in section 4 to provide a response on every paragraph or sub-section in the "Contractor Services, Functional & System Requirements" section which is marked with a symbol, except those marked* **(I)***, provided as information items only. Symbols show that the marked items (whether a paragraph, an option, or a whole sub-section) are considered as: Required* ***(R)****, Highly Desirable* ***(HD)****, Desirable* ***(D)****, or Optional* ***(O)*** *for Core ECR. See Section 4.1, Proposal Narrative, on page 45 for instructions.*

GUARANTEE OF FUNCTIONALITY: The contractor will integrate and put in place a complete system which is functional and working in real time by the scheduled start date (January 4, 1999). The system is more than the sum of hardware and software components, it is a working operational system which meets DJA's work requirements for full operation. Functionality is provided through the installation and operation of all hardware, software and communications components so that they function in an operational environment and in conjunction with each other. See also language on page 45.

3.1. Project Management

The contractor will be responsible for providing and implementing a detailed Project Plan. The planning function is the responsibility of the prime contractor, though functions may be performed by subcontractors.

Proposers are to show how they as contractor will develop each of the activities and plans.

3.1.1. Contractor's Project Team

The proposer is to detail how it will prepare its management team **(R)**

3.1.1.1. Project Manager

The project manager is to be someone who has successful experience in similar installations. The project manager is to be available on a full- or near-full-time basis during installation and should be physically located in the Seattle metropolitan area. **(HD)**

3.1.1.2. Key Personnel

Identify key personnel with a list of the names, titles, functions, and qualifications, and indicate their respective assigned responsibilities for Core ECR. **(R)**

3.1.1.3. Continuity of Staff Support

The proposer is to explain how it will maintain continuity of staff support, e.g., by promising to pay reasonable costs to retain key personnel until the completion of their respective assignments, or committing to replace key personnel immediately with comparably qualified, trained, and fully briefed replacements. **(HD)**

3.1.2. Coordinate Team with DJA

The proposer is to present its plan for coordinating the proposer's project team with the DJA project team. The DJA project team includes the ECR Program Manger, the ECR Technical Manager, and others. Contact with other King County officials and agencies by the contractor will be coordinated through the DJA team. **(R)**

3.1.3. Implementation Plan

The proposer is to present its Implementation Plan to demonstrate how the components of Core ECR will be planned, developed, designed, acquired, tested, installed, tested in actual conditions, evaluated, and accepted. **(R)**

3.1.4. Project Schedule

The proposer is to show how it, as contractor, will develop and submit the detailed Project Schedule containing a detailed work plan, assignments, and due dates. **(R)**

Proposer will present in the RFP response a proposed Project Schedule showing when key milestones and deliverables may be expected for Core ECR. Proposer is to indicate the project management software, if any, to be used. **(R)**

The contractor and DJA will recommend the Project Schedule to the DJA Director. (It is expected that the Schedule will be set up in *Microsoft Project 4.1*, which DJA has, or a similar project management tool.) The Director will have the authority to approve the Schedule. Thereafter, the Director must approve any substantial modification of the Project Schedule which affects the critical path. (The critical path are those items which, if delayed, affect the projected end date for the project.) **(I)**

3.1.5. Communications Plan

Proposer is to present a Communications Plan for managing communication with DJA on all issues related to Core ECR and the contract. This Plan will assign clear roles to contractor's personnel. It will make clear who is responsible for communicating about the contract and Scope of Services, who for technical communication (hardware and/or software), who for communication about costs, billings, and payments, and so forth. **(R)**

3.1.6. Documentation Plan

The proposer is to present a Documentation Plan for the project that logically categorizes all documents which relate to the Core ECR project, organized for ease of retrieval. The documentation plan will provide for an official hard copy set of documentation to be retained by the DJA ECR Program Manager and by the contractor's project manager. An electronic version of all documents, including images from hard copy where digital source documents are not available, will be maintained by DJA and the contractor. (This section is not meant to apply to other requirements for documentation, *e.g.*, software.) **(R)**

3.1.7. Training Plan **(R)**

The proposer will present a Training Plan showing how the proposer will provide for training of:

- system administrators (including operating, imaging, workflow, security, and database management systems)
- staff (how to use the features in imaging, data entry, workflow, etc. on a day-to-day basis), including training for all staff in basic operation of Core ECR and specialist staff training in aspects of Core ECR applicable to them (technicians, scanning staff, docketing/data entry clerks, etc.)
- public (program[s] DJA can use to train the public on how to access, search, retrieve, and display images)
- site for each type of training
- tuition or training fees per person
- projected length for the training

3.1.8. Change Order Process

Requests for Change Orders by either DJA or the contractor will be conducted in accordance with King County contract modification procedures. The proposer will indicate agreement with this procedure. **(R)**

3.1.9. Confidentiality

Personnel associated with the contractor are prohibited from having access to any sealed files or records. The proposer will guarantee in writing that every person on staff or in a supplier or sub-contractor relationship with the contractor for the Core ECR project will be trained regarding confidentiality restrictions. Specifically, each such person will be required to sign a statement promising not to disclose, except in the course of performing duties and responsibilities in the Core ECR project, information about any King County Superior Court case files they see, nor about King County's computers, networks, or other such information. **(R)**

3.2. Functional Requirements and Capacity (I)

General performance requirements for active filing (new documents in 1999 and subsequent year cases filed after the system start date, January 4, 1999) are shown in tables 1 - 5, below. Requirements for the Archival Scanning Project are shown in tables 6 - 7 below.

DJA estimates that the ECR system must be designed to accommodate the entire annual case file record encompassing a 5-year period. That is, beginning with 1999 cases, the system must be able to hold all case records through 2003. At an estimated 7,000,000 pages per year, the total capacity for active cases is to be planned for a minimum of 35,000,000 pages.

For Archival Scanning, DJA projects that at a time to be determined, existing hard copy records will finally be completely converted to images and/or to microfilm, so the hard copy can be eliminated. The ECR system must be designed to accommodate at any given time at least 2 years' worth of archived case files. At an estimated 7,000,000 pages per year, the total capacity for archived cases is to be planned for 14,000,000 pages.

It is DJA's intention that archived cases will ultimately be converted to microfilm to create the permanent case file record required by law. DJA plans to have a "Computer Output to Microfilm (COM)" program to accomplish this. For the purposes of Core ECR, COM is addressed as a software service within the image management system. DJA assumes that early conversions to microfilm will be achieved through a service bureau working from CD, tape, FTP, on-line, or other output of images being converted. In the future, DJA may elect to obtain a COM production system of its own.

The total planned on-line capacity for ECR should therefore be a minimum of 49,000,000 pages by the year 2003. To estimate capacity in a conservative way, assume images average 50,000 bytes per page. This would result in a total storage capacity requirement of 2.45 terabytes. Given that digital documents are planned for 2000 and after, a 2 terabyte estimate may be adequate.

3.2.1. Table #1: Approximate Present Input Volume
(probable average ECR input volume)

	NEW, PER DAY			NEW, PER YEAR		
LOCATION	**CASES**	**DOCUMENTS**	**PAGES**	**CASES**	**DOCUMENTS**	**PAGES**
Courthouse	180	3,600	16,800	45,000	900,000	4,200,000
RJC	90	1,800	8,400	22,500	450,000	2,100,000
Juvenile	30	600	2,800	7,500	150,000	700,000
TOTAL DJA	300	6,000	28,000	75,000	1,500,000	7,000,000

3.2.2. Table # 2: Required Daily ECR Input Capacity
(40% higher than Table #1 in order to accommodate peak workloads)

	NEW, PER DAY		
LOCATION	**CASES**	**DOCUMENTS**	**PAGES**
Courthouse	252	5,040	23,520
RJC	126	2,520	11,760
Juvenile	42	840	3,920
TOTAL DJA	420	8,400	**39,200**

3.2.3. Table # 3: Storage Requirements: Up To 5 Years On-Line, Active Cases
(in pages)

1 Year	**7,000,000**
3 Years	**21,000,000**
5 Years	**35,000,000**

3.2.4. Table #4 Estimated Number of People Accessing Documents
(expressed as total and concurrent users)

	CORE ECR*		EXTENDED ECR	
	TOTAL	**CONCURRENT**	**TOTAL**	**CONCURRENT**
DJA	80	50	80	50
Public Access	0	0	30	30
Court	0	0	175	45
Prosecutor	0	0	156	10
Defense	0	0	286	20
Jail	0	0	100	25
Youth Services	0	0	15	4
TOTAL	**80**	**50**	**842**	**184**

* NOTE: In Core ECR, the paper file folder will be maintained for use by the Court, public, and non-DJA staff for reference for each imaged case file. (Public access terminals will be maintained for access to images in the Archival Scanning Project only.) Electronic access outside DJA is a to be provided under the Extended ECR Project, planned for 2000 and afterwards.

3.2.5. Table #5: Required Retrieval Performance at County "A" sites

"A" sites include the County Courthouse, RJC, and ITS. Note: Retrieval speed assumes wide area and local area network at optimum. Present response time of between 1.5 and 3 seconds is now being achieved by the pilot Archival Scanning Project when the WAN is at optimum.

DJA expects that a user will be able to retrieve an entire case file (by case number), a specific document in a case file (by case number and sub-number), or a specified page in a document (by case number, sub-number, and page). In these instances, the system will intelligently pre-fetch related documents according to built-in logic. For example, upon receiving page 1 in a document, pages 2 and following will be pre-fetched in the background, allowing fast retrieval speed from local cache. The proposer will explain the logic built in to its proposed Core ECR system. **(HD)**

DJA also wants the user to be able to peruse a case file by looking at the 1st pages of each of the documents in a file. This should be a retrieval option the user can select. Retrieval logic in this case would pre-fetch only the 1st pages of the case's 2nd and subsequent documents, queuing them in local cache behind the 1st page of the 1st document. The user should be able to select a document from this review, immediately having the subsequent pages of that document retrieved by pre-fetch logic. Proposer is to explain whether, an how these features would work. **(D)**

DJA desires that display options include the ability to display thumbnails of pages (including the 1st page preview option) from which a user can make a selection. **(D)**

Retrieval Speed 1st Page (seconds)	**3**
Retrieval Speed, 2nd Page, cached (seconds)	**1**
Retrieval Speed, pages in cache (seconds)	**<1**
Retrieval Speed, any page requested (seconds)	**3**

3.2.6. Table #6: Required Daily Input Capacity Archival (Continuation of Present Archival Scanning Project)

	SCANNED PER DAY		
	Cases	Documents	Images
Archival @ 100%	300	6,000	28,000
Archival @ 200%	600	12,000	56,000

3.2.7. Table #7: Required Storage Capacity for Archival Cases

1 Year	7,000,000 images
2 Years	14,000,000 images

3.3. ECR Architecture

3.3.1. Year 2000 Compliance

DJA requires that all components of the Core ECR system, without exception, be fully compliant with Year 2000 standards. Compliance is defined in accordance with the Federal Acquisition Regulations (FAR) - Section 39.

3.3.1.1. Definition **(I)**

Year 2000 compliant means, with respect to information technology, that the information technology accurately processes date/time data (including, but not limited to calculating, comparing, and sequencing) from, into, and between the twentieth and twenty-first centuries, and the years 1999 and 2000 and leap

year calculations, to the extent that other information technology, used in combination with the information technology being acquired, properly exchanges date/time data with it.

3.3.1.2. Year 2000 Compliance **(R)**

The proposer will certify that technology that will be used with Core ECR will be Year 2000 compliant. The contractor will warrant that any Core ECR technology that will be required to perform date/time processing involving dates subsequent to December 31, 1999:

a. will be Year 2000 compliant; or

b. non-compliant information technology will be upgraded to be Year 2000 compliant prior to the earlier of (i) the earliest date on which the technology may be required to perform date/time processing involving dates later than December 31, 1999, or (ii) December 31, 1999.

3.3.2. Client Server

DJA requires a client server architecture for the ECR system. The document server is the "server" and the workstation PC's are the "clients." The client server model utilizes the already existing County infrastructure including WANs and LANs and the installed base of PCs. **(R)**

3.3.3. Internet/Intranet

Browser based solutions may be added or used to enhance the client server architecture. **(HD)**

3.3.4. Open Systems

As far as possible and practical, the system should be an open non-proprietary system. **(HD)**

3.3.5. Electronic Folders

At the center of the ECR system is the concept of the case file. ECR accordingly must appear to the user to be an electronic foldering system (EFS). Each folder will contain a different Superior Court case. The folders act as electronic virtual folders which can contain various objects. During the Core ECR phase the objects will be TIFF images. In Extended ECR, objects will include other electronic documents, *e.g.*, word processed, RTF, ASCII, HTML, PDF, XML. Whatever the method for managing the objects in the folders, to the user there must appear to be distinct individual case file folders. Indexing will be at the folder (case number), document (sub number), and page level. The user should be able to tell at a glance that s/he is looking at page #X in document #Y in the file folder for case #Z. **(R)**

3.3.6. Document Formats

In subsequent phases, ECR must be capable of supporting many objects (document formats) including TIFF images, word processed, ASCII, RTF, HTML, XML, and PDF. Any document in the folder must be equally viewable by users. (For example, it would not be acceptable for a user to have to wait on a viewer to load when moving from one document format to another in the same file.) The contractor will show how this will be done (multi-purpose viewer, browser plug-ins, etc.). **(HD)**

3.3.7. Links with Other Systems

The system must be linked with SCOMIS, and capable of linkage with other OAC systems, local data bases, and applications such as CMIS and CRIMS. **(R)**

3.3.8. Networks

The system must be able to run on the King County Wide Area Network (WAN) and DJA Local Area Networks (LANs). **(R)**

3.3.9. Standards **(HD)**

The System should as far as possible be based on accepted standards.

The Association of Information and Image Management (AIIM) as the authorized document management body for the American National Standards Institute (ANSI), has developed many industry standards pertaining to imaging and document management. Of these, the following standards are critical to the ECR Project:

- Open Document Management API (ODMA) is an API (Application Program Interface) specification that assigns a document ID which is then forwarded across various server platforms. It is based around creating interpretable document management applications on the client side of the network. ODMA is an AIIM standard.
- Document Header Standards: See Software, Imaging, below, Section 3.5.3.2, page 32.
- Compression Standards: See Software, Imaging, below, Section 3.5.3.3, page 32.
- Workflow Management Coalition (WfMC). See Software, Workflow, below, Section 3.6, page 34. ECR requires that its workflow software subscribe to this AIIM standard. This will allow ECR workflow software to inter-operate with any other workflow software system subscribing to the same standard.

3.3.10. Scalability

The system must be scaleable. Subsequent phases of ECR will result in increased usage by an increased number of departments and the public. The system must be capable of expanding to meet future need. The total storage capacity projected for ECR is 49,000,000 pages by the year 2003. **(R)**

3.3.11. System Fault Tolerance

The system should as far as possible be fault tolerant. That means the system should be designed as far as possible and practical to continue operation even when individual components fail. **(R)**

3.4. Hardware

3.4.1. The ECR Server

The server is the heart of the system. There could be more than one server. The server can be RISC or CISC (Intel type). DJA uses King County's RS/6000 (RISC) in its current Archival Scanning Project (RS/6000 SP 2 way PowerPC SMP with 256 MB RAM). See Appendix 6.4 beginning on page 61 for details about the Archival Scanning Project, including the equipment and software being used. DJA is open to proposed alternatives. **(I)**

DJA is currently using an ADSM based backup and restore system provided through ITS for backing up the images on the RS/6000. This is available for use in the proposer's system, assuming servers are compatible. **(D)**

The proposer is to describe the server architecture in detail. Whatever architecture is proposed, it must satisfy all present and future performance requirements (see 3.2.1 - 3.2.7). **(R)**

The proposer is free to propose multiple servers (more than one). For example, a second server might be proposed for the Archival Scanning Project. Whatever the server configuration, the imaging system needs to act as a unit. The index and retrieval system will need to span all images on all servers seamlessly. (For example, the user should not have to specify which server an image is on when retrieving it.)

3.4.1.1. Server Operating System

Proposer will identify the server operating system(s) to be used and explain why chosen for this use. **(R)**

3.4.1.2. Location of Server(s)

DJA prefers that the ECR server(s) be located at the ITS facility, where such equipment can be operated and maintained by ITS personnel who are equipped, trained, and available around the clock. **(HD)**

3.4.1.3. Server Operating Costs

Proposers are to provide the details regarding the server(s) they are proposing and indicate whether the server(s) will be housed in ITS and/or maintained by staff there. The costs to the ECR project of the ITS services cannot be known until the proposer's submission has been received. It is impractical to ask proposers to take hypothetical configurations to ITS for cost estimates. Therefore, DJA will take the RFP responses to ITS and will calculate the costs to DJA for ITS to support the proposer's configuration. This cost will be added in to the total cost presented by the proposer so DJA can know the total likely cost to DJA for servers and all support. **(R)**

3.4.1.3.1. RS/6000 Based Proposals

Proposers planning to use the RS/6000 will so state. **(D)**

3.4.1.3.2. ADSM Backup Based Proposals

Proposers expecting to use the backup systems in ITS's ADSM system will so state. **(HD)**

3.4.1.3.3. ITS-Supported System (Not RS/6000) Based Proposals

Proposers electing to propose other servers which will be housed and maintained at ITS must provide the estimated square footage required for all associated equipment. If ITS technical support is to be required, proposers are to estimate the number of hours per month for this support. ITS is staffed with expert support for Oracle and SQL Server. If ITS support is needed for other DBMS platforms, that must also be stated here. **(HD)**

3.4.2. Application Servers

Application servers such as FAX servers, print servers, or scanner servers may be RISC or CISC, running UNIX or NT. RISC or CISC **(D)**

3.4.3. Storage

DJA believes magnetic media should be the main media for storing images and electronic documents. WORM drives or CD ROM's may be used for distribution or specialized auxiliary storage but not as the main storage media. If optical storage solutions are proposed, the proposer must show to DJA's satisfaction how required retrieval performance will be achieved with optical storage (for example, with "cache servers" for "hot" or "active" case records). Magnetic **(HD+)** Optical **(O)**

3.4.3.1. RS/6000 Storage Media

The present Archival Scanning Project uses IBM storage devices attached to the IBM RS/6000. It is possible to use other manufacturers' compatible storage devices in the RS/6000. Cost, performance, reliability, and scalability should be the determining factors. **(O)**

3.4.3.2. Storage Location

Image and index storage should be centralized in the ITS location (as it is presently is for the Archival Scanning Project). If a different location is proposed, proposer will show how it is advantageous to DJA. **(HD)**

3.4.3.3. Archival Storage Location(s)

The proposer may propose an additional storage site for archival images. **(O)**

3.4.3.4. Network Attached Storage

DJA has been advised to consider the potential advantages of network attached storage. **(O)**

3.4.3.5. Disk Fault Tolerance

RAID level 5 or equivalent is needed for fault tolerance. **(HD)**

3.4.3.6. Storage Unit Fault Tolerance

Storage unit(s) are to be fault tolerant (in addition to RAID), *i.e.*, no single point of failure in the storage devices, in addition to the disks. **(R)**

3.4.4. Scanners

The ECR system requires some combination of high speed scanners and medium speed desktop scanners. **(R)**

3.4.4.1. Present Scanner Inventory

- 2 high speed scanners (Fujitsu 3099): 1 in operation, 1 being ordered. These are located in RJC and are for the Archival Scanning Project.
- 2 medium speed scanners (Fujitsu 3097 E+): at RJC for the Archival Scanning Project.
- 1 additional medium speed scanner (Fujitsu 3097 E+) is being ordered for the Criminal Demonstration Project at KCCH. After that project ends, it will be available for Core ECR.
- 1 Fujitsu 600C scanner is being ordered for quality control operations at the RJC for the Archival Scanning Project.

3.4.4.2. ECR Scanners

- KCCH: Assume that the Fujitsu 3097 E+ used for the Criminal Demonstration Project will be available for Core ECR. Proposer will determine and provide whatever additional scanner resources will be required to perform successfully at the Core ECR volumes indicated in Section 3.2.2, page 24. **(R)**
- Juvenile: Proposer must determine and provide the scanner resources which will be required to perform successfully at the Core ECR volumes indicated in Section 3.2.2, page 24. **(R)**
- RJC: Assume that the existing scanner resources will be maintained for and used by the Archival Scanning Project. Proposer must determine and provide the additional scanner resources which will be required to perform successfully at the Core ECR volumes indicated in Section 3.2.2, page 24. **(R)**

3.4.4.3. High Speed Scanner Features **(R)**

- Fujitsu 3099 or equivalent
- Rugged
- Jam resistant
- Easy to clear jams
- Easy to load, with >=500 sheet feeder tray
- Easy to clean and service by DJA staff
- Duplex unnecessary
- Rated speed of at least 80 ppm
- End of page detect
- Normal resolution of 200 dpi, easily adjusted to at least 300 dpi

3.4.4.4. Medium Speed Scanner Features **(R)**

- Fujitsu 3097 or equivalent
- Rugged
- Jam resistant
- Easy to clear jams

- Easy to clean and service by DJA staff
- Duplex unnecessary
- End of page detect
- Normal resolution of 200, easily adjusted to at least 300 dpi
- Rated speed at least 30 ppm

3.4.4.5. Scanner Servers & PC Monitors

Each scanner requires a server (PC). PC monitors must be at least 20" color with sufficient resolution to support quality control by scanner operator. Proposer will state requirements for proposed scanner servers which will permit scanners to operated at rated speed. **(R)**

3.4.4.6. Scanner Interface Cards

Each scanner will be appropriately connected to its server via a SCSI interface, a video board connection, or other means. Whatever type of connection, it must allow the scanner to operate at full rated speed. **(R)**

3.4.4.7. Change of Scanning Resolution (dpi/ppi)

Normal scanning resolution will be 200 dpi (dots per inch)/ppi (pixels per inch). When encountering a document requiring 300 or greater dpi, the operator must be able to change resolution for it. This would ideally be done on the fly (without stopping scanning and changing resolution). Proposer will recommend its best method for accomplishing this. **(R)**

3.4.5. PC Workstations

3.4.5.1. New PCs **(R)**

Proposer may assume that all docketing workstations will be supplied by King County with a proper PC equipped with a linkage to SCOMIS. The proposer must determine what additional PCs to recommend for adequately managing workflow, providing for public access, and ensuring quality control. Scanner servers are to be proposed with the respective scanners.

- Distribution (Workflow Routing): number to be determined by what the proposed workflow system needs
- Docketing: 0
- Public Access: 0

3.4.5.2. Desired New PC Standard Minimum Configuration **(HD)**

- Pentium II 233 MHz CPU
- 32 MB of RAM
- Hard disk space should be at least 2.5 GB
- Intel motherboard with 512K of cache
- 2 MB PCI Video Card, appropriate card for monitor
- Mouse or other pointing device
- Keyboard (ergonomic only)
- Windows NT or Windows 95/98
- 10/100 Network Card

- Monitors should be 20” or 21” color. Refreshment rate should be above 70 Hz, non-interleaved. Occasional or infrequent users should be able to use 17” or less monitors, as small as 13”.

3.4.5.3. Support for Existing PCs **(R)**

- Pentium 90 Mhz CPU machines now in operation must be suitable for use in Core ECR systems

3.4.6. Printers

Proposer should recommend whether new printers are needed, how many of what type, where deployed, and whether printers are attached to the LAN or directly to a PC. Print accelerator cards should be identified to be installed in a printer when needed for acceptable print speed. Print speed should be at least 20 pages per minute. **(HD)**

3.4.7. CD Writers

At least 3 CD writers are needed, one for the County Courthouse, one for the RJC, and one for the Juvenile Court. Core ECR is to allow images to be copied to CDs in whatever order the user specifies. **(R)**

3.5. Software

General: The ECR application may be described as an electronic document (imaging) system with workflow. The application is supported by other software such as routines for uploading index or docketing data, fax server modules, OCR, bar code reading, hierarchical storage management (HSM), and operating systems. These are described in this section.

3.5.1. Software Reporting Functionality

Software systems should be capable of providing reports on performance indicators. This will of course vary with the purpose of each software package. Proposer is to describe the statistical measures which can be obtained from reports built into software systems and to indicate what provision there is for DJA to obtain customized reporting as needed. **(HD)**

3.5.2. Operating Systems

UNIX or Microsoft NT Server may be proposed as the ECR server(s). UNIX is preferred if a RISC server is proposed. The present Archival Scanning Project uses IBM AIX (UNIX) operating system on the IBM RS/6000. If the proposer proposes NT, it must be shown that it can meet performance and scalability requirements. UNIX **(HD)** NT **(D)**

a. If the proposer proposes CISC (Intel type) for the ECR server(s), the preferred operating system would be NT Server. **(HD)**

b. NT is preferred for application servers such as scanner servers, print servers, FAX servers. **(HD)**

c. Proposer may propose either UNIX or NT for Workflow server(s). **(O)**

d. Proposer may propose either Windows 95/98 or NT Client for client PC operating systems. **(HD)**

3.5.3. Imaging Software

3.5.3.1. Imaging System Software

At the center of the ECR software system is what could be described as an Electronic Folder Management (EFM). Whatever the methods whereby the overall system accepts, manages, indexes, stores, retrieves displays and outputs electronic documents, to the user each case will appear to have its own folder. The EFM system could be the manager of all documents of every type. That would provide an independent repository for the *Documents of Record*. The virtual folders and sub-folders will be able to

contain TIFF images, HTML, RTF, XML, PDF, Word Processing, ASCII and perhaps other document types. Documents will be organized by case (unit record). Whether documents are filed all at once or piece by piece over an extended time, they are organized into a virtual case folder. **(R)**

3.5.3.2. Image File Headers and File System

DJA desires standard, non-proprietary image file headers. Since even some standard headers such as Tagged Image Format (TIFF) are available in a variety of implementations, the proposer should supply a detailed definition of the image file header structure employed. If a proprietary header is used, the system should provide a bridge to ANSI/AIIM's non-proprietary header label standard, ANSI/AIIM MS53-1993 "Standard Recommended Practice; File Format for Storage and Exchange of Electronic Images." MS53 specifies a Tagged Image File Format (TIFF) Bi-Level format for applications that require file transfer across different platforms. The standard defines a format for a file containing one page with one image. If not provided by the supplier, the contractor should procure software to effect output for each document image index data in ASCII, either comma or record delimited, into a flat file and image data into MS-53 format. **(HD)**

3.5.3.3. Compression Techniques

DJA has been advised to use Consultative Committee on International Telegraphy and Telephony (CCITT) Group 3 or Group 4 compression techniques without proprietary alteration to the algorithm, as this standard is currently the industry norm. It is noted that JBIG (Joint Bi-Level Imaging Group) compression is a standard (ISO/IEC 11544:1993) and an acceptable alternative to CCITT. JBIG is supposed to be more compression-efficient than G3 or G4 (achieves ratios of 10% to 50% greater than Group 4) and can compress both gray scale and bitonal images. If the use of a proprietary compression algorithm is unavoidable, then the system must provide a bridge to Group 4 standards or any compression standard subsequently adopted by ANSI. **(R)**

3.5.3.4. Scanning

Imaging system must include scanning control software. The software will control the scanning process, receive the file from the scanner, display the image for quality control, compress the image, and perhaps do preliminary indexing. There should be a batch process routine which allows images to be scanned in batches for better control. Alternatively, proposer may propose third party capture software designed for high volume scanning. **(HD)**

3.5.3.5. Bar Codes

Scanning software should be able to read bar codes during the scanning process in order to capture index information. See Appendix 6.4 for a description of this process in present Archival Scanning Project. **(R)**

3.5.3.6. Re-Scanning

Scanning software must make it easy to re-scan pages and insert the re-scanned pages in the proper position in the document or batch. This includes capability of inserting re-scanned images at a higher resolution. **(R)**

3.5.3.7. Quality Control

Scanning software should allow quality control at the scan station and elsewhere. **(HD)**

3.5.3.8. Image Clean-up

Scanning software should support de-skewing, clean-up, reduction of "noise", removal of unwanted borders, rotating images, etc. **(HD)**

3.5.3.9. Software or Hardware Control?

Proposer should state whether scanning functions described above are controlled by software or hardware (video card, etc.) or a combination. DJA tends to favor software control but is open to recommendations from proposer. **(O)**

3.5.3.10. Duplexing

Duplexing is not required since fewer than 15% of documents are two sided. However, this feature may be proposed as long as it can be turned on or off by DJA staff. **(D)**

3.5.3.11. Description of Scanning Procedures

Proposer should describe in the response how the scanning system software and/or hardware works. What kind of scanning display window will be provided? Proposer must show how batch scanning routines work, and how one of a kind routines function. Proposer should show how corrections are made. **(R)**

3.5.3.12. FAX Input

The system must provide for FAX documents to be input into the imaging system as if they were imaged locally. Faxed documents will enter into a workflow queue just as locally imaged documents do. There could be a separate queue for faxed documents if necessary for DJA clerks to inspect them, index them, and enter them into the system. **(R)**

3.5.4. Document Indexing Software

3.5.4.1. Indexing Software

ECR requires a “back end” indexing function to manage images and electronic documents on magnetic, optical, or other media. This is not to be confused with docketing or indexing to the ECR data base. Indexing includes loading images and documents onto the storage system, ready for access. The current Archival Scanning Project uses the Image-X indexing software “MINDS” for this purpose. Proposers should describe the indexing or other system that will be used to manage images and documents. For example, will it be a Data Base Management System (DBMS)? If so, which one? **(R)**

3.5.4.2. Indexing in Subsequent Phases

In further phases of ECR, documents will be accepted from FAX, Internet, electronic forms, workflow, or other methods which also must be indexed. **(I)**

3.5.4.3. Indexing Performance for Core ECR

So indexing can be done on the ECR server, the images will have to be moved from the scanners to the ECR server(s) (as is being done with the current Archival Scanning Project). Indexing performance, as described below, is defined as the time it takes to move the images, index them, and load them into storage ready for use. Proposer is to indicate what this time will be. **(R)**

3.5.4.4. Active Cases: Document Indexing

System must be able to index at least 10,000 documents per day (approximately 40,000 pages). **(R)**

3.5.4.5. Archival Cases: Document Indexing

Same as Active, above. **(R)**

Total estimated daily indexing requirements are 20,000 documents or 80,000 pages per day. The process of moving the images, indexing them, and storing them must be completed by 12:00 a.m. (midnight) on the day they are scanned. **(R)**

3.5.5. Document Storage Software

Hierarchical Storage Management (HSM) software should be a component of ECR. HSM means software that moves electronic documents and images systematically and progressively from active magnetic storage to other kinds of storage such as magneto-optical, optical disks, CDs, digital tape, and microfilm. The movement of the documents down (and back up) the storage hierarchy should be determined by business rules established by ECR management. HSM may be part of the imaging software or supplied by a third party. The HSM software should not be limited to simple rules such as "When magnetic storage is 85% full, move images to optical storage until magnetic storage is only 80% full." HSM should provide DJA with selective control over the storage of images or electronic documents. HSM, for example, may provide the means to move inactive cases from magnetic storage to tape or other media for output to COM. **(HD**)

3.5.6. Electronic Input

Electronic input is not part of the Core ECR system. Nevertheless, the proposer should show how the system can accept documents in electronic format. These should include HTML, XML, Word Processing, "smart forms," or ASCII text. The proposer should demonstrate how this would be done. **(HD)**

3.5.7. Viewing

3.5.7.1. Display Screens

Proposer must describe how staff would look up documents and how the documents will be presented. Describe screen functions where display is "read only." Explain how those individuals with image control authority will gain access for that purpose. **(R)**

3.5.7.2. Public Display Screens

Proposer must describe how the public would look up documents and how the documents will be presented. Public customer screens must be self-service and easy-to-use. They are to allow access *only* to screens and functions that are allowed for public use. Customers must *not* be allowed to print images without going to Access staff, as there are fees to be charged for copies. Customers are not to be allowed to exit the display system, i.e., they are not to have access to other parts of the access workstation. **(R)**

3.5.7.3. Annotation

Even though DJA plans to track most document centered actions taken by the clerk in a document history file, DJA requires the ability to annotate documents (e.g., red-line, highlight, electronic sticky notes). Proposer should describe these capabilities. **(R)**

3.5.8. New or Additional Applications

DJA should be able to use the software to create other uses not necessarily connected with Core ECR. For example, DJA may wish to image files containing "administrative papers" or "personnel files." **(HD)**

3.6. Workflow Software

3.6.1. Workflow Definition

"Workflow" means intelligent routing of documents and data. A workflow (W/F) system is a computer based technology that logically and sometimes physically moves documents (images or electronic documents) and related data. It must not be restricted to digital or electronic imaging. DJA requires a workflow system that takes a process, its related tasks, the route that the information follows, and automates it. **(R)**

3.6.2. Workflow Description

ECR requires a high volume, medium complexity workflow system. For the Core ECR system, workflow will move images from scanning stations to the processing and routing stations, docketing (indexing) stations, quality control, and to the electronic file folders. Several sub-routes will also be needed. See the flow chart in Appendix 6.7, DJA Work Flow Overview, on page 71 for a high-level overview of the flow of work within DJA. **(R)**

Examples of DJA workflows were provided to proposers at the May 7-8 project orientation. These examples are not enclosed with this RFP. Copies will be provided on request. The examples provided were: 1) "Conditions for Release for Defendant Pending Trial" (a 2-page flowchart) and 2) "Judgment and Sentence" (a 6-page flowchart). The first is a "typical" workflow of average complexity. The second is the single most complex document processed by DJA. **(I)**

3.6.3. Workflow Management

The workflow manager should be able to see workflow volumes in queues and at task points. The manager should be able to make load level adjustments and to reassign work based on staff absences, etc. **(HD)**

3.6.4. Transaction Volume

The workflow system must be robust enough to handle the ECR requirements. The workflow software proposed must be capable of moving at least 8,500 documents per day through multiple steps. **(R)**

3.6.5. Workflow Statistics

The workflow system is to be capable of providing pre-packaged reports on transaction levels, time-in-process, and the like. Proposer is to describe the statistical measures which can be obtained from standard reports built into the system. Further, the system needs to allow for DJA to design customized queries to generate statistics on system volumes, performance, etc. as needed. **(HD)**

3.6.6. Workflow Strategy

The proposer may offer the proposer's own workflow software, a third party software, or a combination. The proposer may offer a production (transaction level) workflow system, or, it may propose a messaging based system. **(O)**

3.6.7. Messaging Based Workflow

If a messaging based system is proposed, it should be designed for Microsoft Exchange, the County messaging and e-mail standard. If a messaging type workflow system is proposed, the proposer must show how it will support the volumes indicated. It should be noted that ITS believes King County's Exchange system is fully capable of the volumes and traffic expected with ECR. **(O)**

3.6.8. Workflow Locations

There will be at least 3 locations to be served by workflow routing and task structures: King County Courthouse, RJC, and Juvenile. Workflow, however organized, must be accessible at all 3 sites. **(R)**

3.6.9. Workflow Routes

The workflow software must permit the definition of various routes depending on requirements. In addition to pre-determined routes, there needs to be the ability to override the route based on a worker's or supervisor's decision. In other words, there must also be *ad hoc* capability. **(R)**

3.6.10. Developing DJA's Routes

The proposer must assist DJA in developing the workflow routes, queues, and tasks. DJA staff, with help from the contractor, must, after on-the-job training, be able to create or modify these workflow routes themselves. **(R)**

3.6.11. Future Workflow Capabilities

For later stages of ECR, more complex workflow will be needed. For example, images heading to or coming from the Jail may be from workflow applications. Electronic filing of documents by the Prosecutor may come via workflow. Workflows in the future might begin at points on the Intranet or Internet. Workflow may or may not require a separate server(s). Proposer should explain how such expansions will be possible. **(D)**

3.6.12. Workflow Indexing and Tracking

The proposer is to show how work packets containing documents or scanned images will be indexed during the workflow process. This indexing function is not necessarily the same as document indexes as discussed elsewhere, but relates to how packets are tracked within the software. A case of interest would be the instance at the beginning of the workflow when a SCOMIS case number or sub-number has not yet been assigned. **(HD)**

3.6.13. Workflow Task Types **(HD)**

A task is an action step on a workflow route. Examples of tasks that may be required are scanning, data entry, quality control, and commitment to the system for storage.

- Decision: Document arrives in a queue. Clerk makes a decision about the document of process on a workflow screen and forwards to proper route, depending on the decision.
- Split: Parallel processing can reduce elapsed time. Document could be copied, with the copies being routed simultaneously via two or more routes. Alternatively, all workers who need to see the document could be notified, with the work done on the original, not on separated copies which have to be re-integrated later.
- Merge: Parallel copies of documents are reunited and reduced to one copy. Or, a document must wait at a merge queue until another document arrives and is joined up with it.
- Hold: Document must await some event before it can be processed.
- Data Entry: Example: Workflow presents an image of a document to a docketing clerk in the ECR window. The clerk types in the SCOMIS number, or workflow has automatically looked up and called the SCOMIS screen needed. This data entry screen accepts index data entered by the clerk or transferred intelligently from the workflow system. After a review and acceptance by the clerk, the workflow send the information for SCOMIS entry. Workflow then brings up the next document image in queue.
- Print: Print document or data
- Download: Workflow can be used to download selected documents to CDs, COM, the Internet, or other destination.

3.6.14. Workflow and Calls to SCOMIS

It is desired that the workflow system save keystroke labor by DJA clerks by pre-fetching SCOMIS screens with which they will be working. As a given document moves in the queue to a workstation, since it is associated with its case number, an automatic call to SCOMIS to bring up appropriate SCOMIS screens is wanted. It must be possible for the command issued to SCOMIS from workflow to be modified by DJA as needed. Similarly, when the sub number for a document is assigned by or known to the imaging system and is not yet entered into SCOMIS, it should be copied to the appropriate SCOMIS field automatically when a SCOMIS docket screen is opened during workflow. (Similarly, SCOMIS should be able to call ECR to bring forward selected documents or pages to the requester's workstation in an ECR window.) **(HD)**

3.6.15. Workflow Development and Modification Tool

DJA desires a "point and click" graphical interface which will allow DJA to create or modify applications, routes, tasks, etc., with minimal or no writing of code. **(HD)**

The tool should be connected to a library of functions so that the application or modification is actually written by the point and click interface. Not desired are workflow graphical user interfaces which are limited mapping and flowcharting tools which do not actually build the application. **(HD)**

3.6.16. Workflow Standards

The Workflow software system should be compliant with Management Coalition (WfMC) standards. This will allow interoperability with other workflow systems as long as they are also WfMC compliant. **(HD+)**

3.7. Security Requirements

ECR must be designed with security clearly in mind.

3.7.1. Security Copy of Original Documents

RCW 36.23.065 (See Appendix 6.3, beginning on page 58) requires the Clerk to adopt a method for certification of completeness and accuracy of records before hard copy is destroyed. A method to comply with this requirement is being developed in conjunction with the Archival Scanning Project. This procedure, not yet finalized, will be implemented in Core ECR by the contractor once it has been defined. **(I)**

3.7.2. Security Levels of Files And Documents

- Certain file types, such as Civil and Domestic, are open to public viewing. **(I)**
- By order of the Court, part of a document, a document, or documents in an open file may be sealed from public view, completely or available only to specified parties. **(I)**
- By order of the Court, an entire open file may be sealed from public view, completely or available only to specified parties. **(I)**
- Arbitration awards in civil cases which are undergoing appeal and retrial are open to everyone *except* the trial judge. **(I)**
- Certain file types, such as Paternity, are sealed by statute. **(I)**
- Certain document types in Sealed Cases, such as Judgments of Parentage in Paternity cases, are open for public viewing. **(I)**

The sealing of documents, cases, and case types is a serious matter, not lightly undertaken by the legislature and the court. The consequences of security breaches at either the client or the server level are potentially life-threatening. **(I)**

ECR must provide both technical and business-level security at the client, network, and server levels. Access restrictions must be available at the case type, case file, document, and page levels. **(R)** Sub-page access control is desired. **(HD)**

Non-sealed documents and cases, which anyone may view, must provide adequate security against unauthorized add, delete, or update functions. **(R)**

3.7.3. Passwords

3.7.3.1. Categories

End-users will fall into various categories which allow different security functionality. For example, various staff may or may not have Add and/or Update authority; the authority to delete documents may differ from the authority to delete case files; some staff might have view authority in sealed files and Add/Update authority in others; some staff might have access to paternity cases but not juvenile dependencies. **(R)**

3.7.3.2. Security Groups

ECR must allow users to fall into many security "groups," and then add or subtract specific functionality at the individual user level. **(R)**

3.7.3.3. Password Structure

Passwords must be at least 6 characters in length and must contain both alpha and numeric characters. They must be checked against a comprehensive dictionary to ensure that they are not a real word, or a real word with simply numbers inserted. Users must be forced by ECR to change their passwords at least every 90 days, and may not reuse previous passwords. User password tables should be encrypted. **(R)**

3.7.3.4. Password Security

ECR must generate appropriate control logs to monitor ECR activity and security. In order to prevent unauthorized access by guessing a user's password, the involved user-id must be locked out of ECR either for a specified number of minutes, or until re-authorized by a system administrator after a specified number of concurrent incorrect password login attempts. ECR must notify the system administrator of this, or other patterns of activity which indicate possible attempts to breach security. If dial-up or other external network connections are involved, they must be disconnected. **(R)**

3.8. Integration with SCOMIS (and Other Systems)

The ECR system needs to be integrated with the Superior Court Online Management Information System (SCOMIS) at the screen level.[5] **(R)**

3.8.1. Screen Level Integration

This integration at the PC screen level would use OLE (Object Linking and Embedding) or another method of integrating the folder in the image window(s) with the SCOMIS file in a mainframe emulation window. In other words, the SCOMIS window and the ECR window appear simultaneously on the screen, linked with common index terms, which would at least be the SCOMIS case number and document sub-number. A search could be done in SCOMIS, the desired case record brought to the SCOMIS screen, and the corresponding documents from the ECR system should also come up in the image or document window. **(R)**

3.8.2. Image Access

Images must be accessible without SCOMIS, using the ECR system alone, or by integrating with other data bases or applications (such as CMIS or CRIMS). When SCOMIS is active, image access should be well coordinated with SCOMIS activity; when SCOMIS is down or unavailable, the user must still be able to retrieve images in more or less the same way. **(R)**

3.8.3. Integration with Other Systems

The image system will also have to be able to be integrated in due time with other data bases or applications (such as the Court Administrator's Court Management Information System, CMIS[6], and perhaps with the Clerk's Court Records Inventory Management System, CRIMS[7], and with JASS[8]). **(R)**

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[5] This is known as "image enabling a legacy system." This is a classical and generally successful concept. SCOMIS would be the legacy system. SCOMIS is proven, well supported, and already developed. Image enabling has several benefits: it extends the life of existing investments in line-of-business applications, minimizes training/retraining by providing an incremental change, and provides seamless information retrieval.

[6] CMIS is a system which is designed to manage "real time" information relative to a case's progress within the Court. Its area of concern is the scheduling of judicial officers, resources, and litigants and the orderly flow of information related to managing and coordinating those activities.

7 CRIMS has as its main purpose the tracking of hard copy case file folders through bar codes assigned to each folder and to each file user. While ECR is meant to supplant the hard copy file folder, during the transitional years it may be important to attempt to integrate the file-requesting function of CRIMS with that of ECR systems, since a given user will probably not know whether a given file is electronic or hard copy.

3.8.4. SCOMIS Case Numbers

3.8.4.1. Case Number Identification

It is of the utmost importance that records in ECR be properly assigned to the correct court case number. **(R)**

3.8.4.2. Case Number Formats **(I)**

Superior Court case numbers have undergone format changes twice in the past 20 years, and it is not unreasonable to believe that this may happen again. Assuming ECR is a success, its application could be extended to other courts or court levels. In order to ensure that ECR records can be associated with the correct court case, the underlying database may assign a unique identifier or token for each case number, but it will also have to keep a unique reference to the case number through 5 distinct fields, which are identified in the following table:

Field	Format	Note
Court ID	A3	Always "S17" for King County Superior Court Cases
Year	A4	4-digit year for SCOMIS, cases, 4 blanks for pre-SCOMIS cases
Case Type	A2	Currently 1 through 9. Potentially, up to 99. Leading zero if less than 10.
Serial	A7	Pad with leading zeros for SCOMIS cases. Pad with leading blanks for pre-SCOMIS cases. Pre-SCOMIS cases may begin with a letter, e.g., D123345.
Check Digit	A1	Single blank for pre-SCOMIS cases.

The combination of Court ID + Year + Case Type + Serial provides a composite key which uniquely and completely identifies every case. The check digit is a digit between 0 and 9, calculated using the rest of the case number. The check digit applies only to SCOMIS (not pre-SCOMIS) cases.

3.8.4.3. SCOMIS and Pre-SCOMIS Cases

SCOMIS cases are defined as those which were filed on or after July 1, 1979. Pre-SCOMIS cases are defined as those filed prior to July 1, 1979. Both SCOMIS and pre-SCOMIS cases remain active in the Court, and ECR must properly and seamlessly deal with both classes of case. **(R)**

3.8.4.4. Case Assignment Area Designation

RJC (below) refers to the case assignment area flag, currently SEA or KNT (with more values to be added), which DJA currently uses to identify the location of the case and the case file, and which customers may inadvertently enter into the ECR system when attempting to view a case. **(R)**

3.8.4.5. Accepting Multiple Formats

The user interface must accept case numbers from users in varying formats. It must decipher the formats to determine the unique case which is being referenced. When a SCOMIS case number is entered by a user, ECR must calculate the check digit, applying a formula ("Modulus 11," to be provided to the contractor) to ensure that the number was typed in correctly. When the check digit is incorrect, ECR must so inform the user. **(R)**

[8] JASS is the Judicial Accounting Sub System, also part of JIS. It is necessary that during the processing of documents DJA updates the JASS "person database" which tracks defendant information in all criminal cases, and the Domestic Violence (DV) database which also tracks extensive personal identification information. JASS is also used for significant financial tracking and future bridges between ECR and JASS systems will be needed.

3.8.5. Formats for SCOMIS Case Numbers **(R)**

In the following formats, all of which must be accepted and recognized correctly by Core ECR systems, Y represents a year digit, T is a case type digit, S is a serial digit or character, C is a check digit, and RJC is a case assignment area (currently SEA or KNT, representing Seattle-downtown Courthouse and Kent-Regional Justice Center).

YYTSSSSSC
YYYYTSSSSSC
YYTTSSSSSC
YYYYTTSSSSSC

YY T SSSSS C
YYYY T SSSSS C
YY TT SSSSS C
YYYY TT SSSSS C
YY-T-SSSSS-C
YYYY-T-SSSSS-C
YY-TT-SSSSS-C
YYYY-TT-SSSSS-C

YYTSSSSSC RJC
YYYYTSSSSSC RJC
YYTTSSSSSC RJC
YYYYTTSSSSSC RJC
YY T SSSSS C RJC
YYYY T SSSSS C RJC
YY TT SSSSS C RJC
YYYY TT SSSSS C RJC

YY-T-SSSSS-C RJC
YYYY-T-SSSSS-C RJC
YY-TT-SSSSS-C RJC
YYYY-TT-SSSSS-C RJC

YYTSSSSSCRJC
YYYYTSSSSSCRJC
YYTTSSSSSCRJC
YYYYTTSSSSSCRJC

YY T SSSSS CRJC
YYYY T SSSSS CRJC
YY TT SSSSS CRJC
YYYY TT SSSSS CRJC

YY-T-SSSSS-CRJC
YYYY-T-SSSSS-CRJC
YY-TT-SSSSS-CRJC
YYYY-TT-SSSSS-CRJC

3.8.6. Formats for Pre-SCOMIS Case Numbers **(R)**

T-S through T-SSSSSSS
TT-S through TT-SSSSSSS
T-SRJC through T-SSSSSSSRJC
TT-SRJC through TT-SSSSSSSRJC
T-S RJC through T-SSSSSSS RJC
TT-S RJC through T-SSSSSSS RCR

The serial number in pre-SCOMIS cases is an optional letter followed by from 1 to 6 digits, e.g., D6, G77, E123456, 65123, 786543.

3.9. The ECR Data Base

3.9.1. Function and Structure of the ECR Database **(HD)**

ECR requires an auxiliary index in addition to SCOMIS. This index should be based on a SQL compliant data base management system (DBMS). The King County DBMS standards are Oracle and Microsoft SQL Server. DJA desires that one of these be used. However, if the proposer uses a DBMS other than these for indexing and managing images, DJA will consider using that DBMS for the auxiliary index to avoid the need for 2 DBMSs. The added costs as estimated by DJA of such a strategy will be factored in.

ECR users must be able to bring up images using SCOMIS as an index, by means of screen level integration. However, not all ECR users will have access to SCOMIS; therefore, images *must* be retrievable without SCOMIS. The auxiliary data base index must be available to ECR users via client PCs. The DBMS index will be used to look up electronic case folders and documents by various index terms (data elements) and will link the images to the case folders. Documents must be retrievable by means of either SCOMIS or the auxiliary index data base.

The ECR data base will contain data elements that are in SCOMIS, such as case number and sub-number, plus others that are not in SCOMIS. This means ECR is more than an electronic foldering system for organizing images. The underlying database will be required to capture and retain certain data about each document, and in some cases sub-portions of a document.

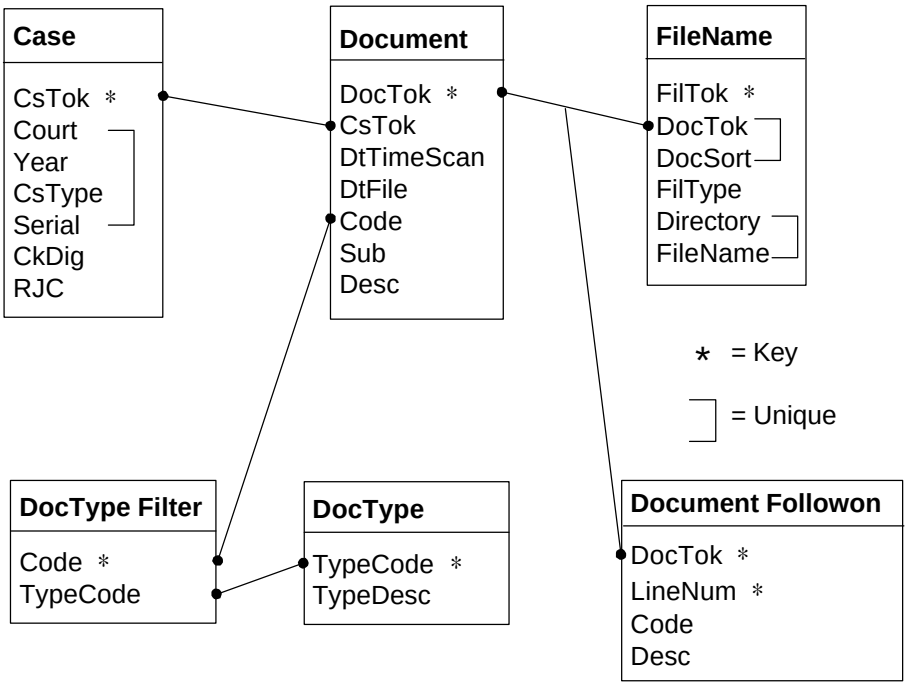
ECR will be required to interface with SCOMIS. ECR will capture certain data about each document scanned during SCOMIS indexing. This will facilitate presentation of case files through showing a description of each document without the necessity of end-user-viewer concurrent linking to SCOMIS. End-user-viewers will also be able to filter documents by document type, as defined and maintained locally. Each SCOMIS docket code will be categorized into a table of document types, including but not limited to:

- Pleadings
- Timing documents
- Appearance documents
- Documents in support of requests for court ruling or action
- Court Orders, judgments, and decrees
- Case management documents and entries
- Administrative documents
- Minutes / proceedings held

The end-user-viewer will be able to select either a single category of documents for viewing, or all documents in the case.

In order to plan for Extended ECR, DJA recognizes that individual documents may be received with components of differing file types, e.g. an MS Word document which contains embedded images.

The following diagram shows some of the *possible* representative database tables and their relationships. It is meant to be suggestive, not restrictive.



3.9.2. ECR Data Base Capacity **(R)**

The index will be based on the folder (case) and documents filed within the case folder. The index must be capable of containing all active cases. There are about 75,000 active cases in a given court year. The DBMS must be capable of maintaining records for 5 years' worth of active case records plus 2 years of archived case records. At 7,000,000 pages estimated per year, the "average case" can be assumed to have 93⅓ pages. In actuality a given case may range in size from 1 page to thousands of pages. The average number of documents per case also varies widely.

3.9.2.1. Performance

Index records must be retrievable within 1 to 2 seconds from a key field. **(R)**

3.9.2.2. Staffing

The proposer must state the staffing requirements for maintaining the auxiliary data base index, including backup and maintenance. **(R)**

3.9.2.3. Maintenance

Maintenance should include upgrade to new revisions of the DBMS. **(R)**

3.10. Data Capture & Upload

It is necessary that there be an exact match between the "Docket" in SCOMIS (as a "table of contents" to each court file) and the imaging database, so that each recognizes a document in terms of its case number, subnumber, title, SCOMIS code, and pages. During data entry, whether into SCOMIS or the imaging database (depending on the proposer's design), the same data must be placed into both systems. This could be done by a screen scraper or other means. Proposer will describe how this will be accomplished. **(R)**

During subsequent phases of ECR, data must be captured and entered into the correct corresponding data entry fields for SCOMIS, JASS, etc. (creating, in effect, automated docketing or data entry without human keystrokes). The contractor is to explain how the software to do this is available or can be developed. DJA will work closely with the Office of the Administrator for the Courts (OAC) before implementing automated or semi-automated data capture, particularly the possibility of uploading data to SCOMIS, JASS, or other databases. **(HD)**

Because SCOMIS is a major system within the Judicial Information System (JIS) family, all operations which have the potential to affect SCOMIS security, traffic, or integrity must be carefully coordinated with OAC officials and technical staff. **(R)**

3.10.1. Data Capture

The primary means of data capture during Core ECR will be by key entry. Data will be entered into SCOMIS during the docketing (indexing) process which will be a workflow step. Index data will also be entered into the ECR data base. **(HD)**

Data entry usually will be from the image, although DJA may elect to enter data in some cases from the hard copy document. When docketing into SCOMIS, SCOMIS in a terminal emulation window should appear on the screen at the same time as the image in the image window. SCOMIS data will be entered by keystroke while the SCOMIS emulation window is active. **(HD)**

3.10.2. Indexing (Docketing) Performance Requirements

The ECR system must have the peak load capacity to index 8,400 documents per day (present average volume plus 40%). At present, over 30 docketing clerks perform this function and this is not expected to change during Core ECR. Therefore each docketing station must be able to index 280 documents per day (8,400 documents / 30), about 40 per hour. Of these, about 420 will represent new cases. **(R)**

The system must also maintain indexing associated with the Archival Scanning Project. **(R)**

3.10.3. Data Capture During Subsequent Phases

In Extended ECR, an increasing percentage of filings will be machine readable electronic documents rather than images. The goal will be to capture index data automatically and enter it into corresponding data entry fields for SCOMIS (creating in effect, automated docketing or data entry without human keystrokes). The captured data elements would not be automatically entered into SCOMIS but would be placed into a buffer during a workflow step, in order that a clerk could perform quality control before passing the data to SCOMIS and the auxiliary index. The contractor should show how the software to do this is available or can be developed. **(HD)**

DJA will work closely with the Office of the Administrator of the Courts (OAC) before implementing automated or semi-automated data capture, particularly regarding possibly uploading data into SCOMIS. **(I)**

3.11. Converting Existing Images and Implementing Computer Output Microfilm (COM)

The Core ECR contractor must convert previously scanned images and index information created during the 1997 scanning process. **(R)**

The following must be part of the work performed by the Core ECR contractor:

3.11.1. Plan for Archival Scanning Project Continuation **(R)**

a. Develop a migration strategy and work plan to preserve and use the legacy images captured under the temporary arrangement with the imaging vendor. (Image-X currently provides basic imaging services on a software rental basis, with the contractual obligation to cooperate fully with the selected Core ECR contractor in transferring the images to a successor system.)

b. Develop an equipment utilization plan which addresses how the existing scanning equipment will be used or replaced. Explain how replacement will work, accounting for any projected change in production plans or schedules.

c. Provide in the project training plan actions to ensure all workers involved with Archival Scanning Project activities are up to speed on new procedures necessitated by new systems, software, etc.

d. Explain how user access will work, how software will work, be distributed, and priced.

e. Explain in the project training plan how user training will be done (help screens, tutorials, etc.).

f. Verify that image output will meet minimum standards for archival quality as established by DJA testing, the Secretary of State Division of Archives and Records Management, and applicable statutes and court rules.

3.11.2. Computer Output Microfilm (COM)

COM is an important feature of the proposed Core ECR architecture. Recently adopted legislation revises Washington State law on long-term court record retention by allowing for use of electronic media, but only if: (1) the stored records will be continuously refreshed or upgraded as media, software, and hardware are changed, *or* (2) the records are scheduled for being transferred to microfilm. **(I)**

For now, DJA requires COM software which will create an electronic record (using tape, CDs, FTP, or other method) which can be converted to film by an outside service provider. **(R)**

3.12. Support, Warranties, and Maintenance

3.12.1. Post-Implementation Support **(R)**

The contractor will provide post-implementation support on an hourly basis. The proposer shall indicate the hourly cost of such support. Contractor is to show how long such support can be expected to be available.

Such services shall include:

- Effect County initiated changes, *e.g.*, to screens, workflows, database structure, and scanning software.

- Resolve problems with the hardware or software supplied under this agreement which arise at any time after the warranty or maintenance periods.
- Create or modify custom software as required by the County.

3.12.2. Warranties and Maintenance

The continuous availability of court files and documents is a major concern, for so many court cases literally are matters of life and death. There are likely to be dire consequences from any down time in the ECR system. ECR must be designed to minimize risks. Every possible safeguard must be installed and every prudent practice observed. In the event of an interruption in the ECR system, in whole or in part, action to correct problems and resume full operation must be immediate and effective. **(R)**

The contractor must understand and agree with the vital importance given to maintaining a fully operational system capable of providing court case files on demand. The contractor must accordingly guarantee in writing (and implement in internal written policies and procedures) that action to maintain or repair ECR will be given the highest priority. **(R)**

The proposer shall provide a detailed description of all warranties and maintenance services to be provided on hardware and software supplied by the proposer or its subcontractors. Maintenance shall be described in terms of preventive, on-call, and emergency service, showing guaranteed response times. All maintenance, except software, shall be on-site at County locations. Proposer will indicate whether the proposer or another supplier will be the provider of maintenance. The contractor shall coordinate the resolution of problems with the hardware or software supplied under this proposal which may arise upon delivery or at any time during the warranty or maintenance periods. Problems shall be resolved by the contractor to the County's satisfaction. **(R)**

3.12.2.1. Warranties

Proposer must state terms and conditions of warranties of all hardware and software components, including the lengths of coverage for each item of hardware or software. *The County deems that coverage begins the first day of full system operation.* **(R)**

3.12.2.2. Hardware

Proposer must agree to maintain the equipment to original performance specifications and in accordance with maintenance terms and conditions to be stated in the contract. The proposer's maintenance program must ensure continuous operation of the system. Proposer must state the cost of maintenance over a 5-year period. **(R)**

3.12.2.3. Software

Proposer must agree to maintain the software, provided directly or by 3rd party suppliers. Maintenance is to include "bug" fixes, changes required by changes to other components, configuration problems, memory conflicts, and any other conditions which prevent normal operation of the software, unless created by actions of the County. Maintenance also includes routine updating of the software by supplying new revisions, versions, or upgrades of any of the software components, including installation services or instructions. Proposer must state the cost of maintenance over a 5-year period. **(R)**

Proposer must provide a Help Desk with a 24-hour, 7-day per week toll-free number for King County to call. **(R)**

3.12.2.4. Custom Code

Software applications which have been modified by the contractor to meet customer needs shall be included as part of normal software maintenance. **(R)**

3.12.2.5. Source Code Security

The Department and King County must protect the right to change vendors during Core ECR construction, to solicit and select other vendors during Extended ECR implementation, and to maintain, enhance, and modify ECR indefinitely into the future. **(I)**

The successful bidder must submit a plan using code-escrow or other reliable methods which establish DJA's ownership and other rights to source code and other software components. Proposers must describe how DJA will have the authority and the ability to go forward on its own or with another vendor in the event that the relationship is dissolved between DJA and the contractor for any reason. **(R)**

3.12.2.6. Software Testing

The contractor will be required to "smoke-test" software and software changes in their own laboratories or offices prior to delivery. The proposer will describe how software and upgrades will be fully tested for all functionality and under simulated full-load conditions after each change and prior to delivery to DJA. **(HD)**

3.13. System Compatibility (R)

The contractor shall be responsible for the procurement of the hardware and software components of the system. The contractor will be responsible for the whole system integration and guarantees the functionality of the integrated system as a whole. This provision will constitute an express warranty on the part of the contractor. **(R)**

3.13.1. Guarantee of Functionality **(R)**

Functionality shall mean that the configuration as specified by the Contractor, i.e., software, software updates, hardware, specifications, of the communications network from the hardware up to the modems, and services shall operate together efficiently in light of industry standards, so long as the system is maintained in accordance with the manufacturer's specifications. The Contractor warrants and represents that the unmodified configuration identified in the contract document has been specifically selected and designed for the County as being an operationally efficient integration of hardware, software, communications network and services, in light of the County's current identified specifications and projected expansion.

3.13.2. Guarantee of System Integration **(R)**

System integration means the installation and operation of all hardware, software, and communications components so that they function in an operational environment and in conjunction with each other. By executing this Agreement, the Contractor acknowledges its commitment to successful integration of hardware/software/communications capabilities and warrants that the capabilities being supplied under this contract will be successfully integrated, provided that, the communications network supplied and installed by any third party shall conform to the County's and Contractor's specifications and industry standards and is fully operational. The Contractor guarantees the integration of the System as specified; however, third party contractors remain ultimately liable for the installation and operation of the local-area and wide-area communications networks.

The Contractor shall coordinate the resolution of problems with the hardware or software supplied under this Agreement which arise upon delivery or at any time during the warranty or maintenance periods contained in this or other agreements between the parties. Problems shall be resolved by the Contractor to the County's satisfaction and in accordance with the published specifications.

4. Proposal Format

4.1. Proposal Narrative

This section of the RFP provides instructions on the format and content of the proposal. Proposals is to include all data and information required by this RFP. Non-conformance with the instructions can result in rejection of the proposal.

The proposal for ”King County Core Electronic Court Records (ECR) System” is to be clear, coherent, legible, and prepared in sufficient detail for effective evaluation by King County. Elaborate documentation, expensive binding, detailed art work, or other embellishments are neither necessary nor desired. The proposer is to assume that the evaluation team has no previous knowledge of this technology and will evaluate based on the information presented in the proposal.

Proposals are to address and track the numerical sequence of the specific information requested in the RFP. In writing the proposal, emphasis should be placed on brief, complete, and factual data in the areas set forth in the RFP. Maximum use should be made of tables and information summaries in describing the proposed effort.

IMPORTANT: The proposer is to provide a response on every marked item, except information-only items marked with **(I)**. Marked items may be a paragraph, a sub-section, or an option. Symbols show where items are considered to be: Required **(R)**, Highly Desirable **(HD)**, Desirable **(D)**, or Optional **(O)** for Core ECR. Proposers are cautioned to be sure that there is a response for each marked item and that there is compliance with each **(R)** marked item. If the proposer has a concern about or is unable to comply with an item, a complete explanation of the issues and the reasons should be provided.

Statements that the proposer understands, can, or will comply with all specifications or parts thereof are considered insufficient. Unless a “Yes” or “No” answer is called for, such phrases as “Yes,” “Will comply,” “Standard procedures will be employed,” “Industry standards are followed,” or “Well-known techniques will be used,” will be considered insufficient.

There is no need for the proposal to repeat sections of this RFP word-for-word. If there is a need to do so, the proposer can provide a direct section, title, and page reference. (Remember, this RFP is a component of and will be attached to any resulting Contract.)

4.2. Executive Summary

The executive summary shall serve to familiarize King County executives and evaluators with the key elements and unique features of the proposal by briefly describing how the proposer is going to accomplish the work.

The executive summary is to contain the following:

1. A summary of the proposer’s approaches to the Core ECR system requirements, including a summary of the most important aspects of all sections. The material presented in this summary will not be considered as meeting any technical requirements. **(R)**
2. A master milestone schedule of all major efforts to be undertaken in the program. **(R)**
3. A list of high risk areas that are causes for concern, such as schedule deadlines, uncomplementary technologies, or overly tight specifications. Any request to delete, change, or relax a requirement must be fully supported in this section. These concerns will be addressed with the successful proposer during contract negotiation. **(R)**

4.3. Contract Provisions

King County has provided detailed terms and conditions which King County will ask for in the contract. (A copy of these contract provisions, which was provided to bidder representatives at the May 7-8 Orientation will be made available on request.) The proposer must review all items and state in writing that the firms intends to comply with all provisions. **(R)**

The proposer is to supply a statement outlining any exceptions to the County’s requirements or pointing out needed clarifications to the requirements. **(R)**

The proposer may describe any additional services or procedures of benefit to the County not specifically required herein, which the proposer as contractor will offer to provide. **(D)**

4.4. Functional/Technical

The functional/technical proposal shall consist of complete responses to all stated requirements and questions in Section 3, beginning on page 21. Proposer responses must be keyed to the RFP section and item requirements and presented in the same order. This RFP was designed to facilitate the proposer's responses to the requirements and to provide the evaluators with a standard method for comparing proposers' responses. **(R)**

Proposers must respond in writing to each requirement or question in specific terms so that the evaluators may determine whether or not or in what degree the proposer complies with requirements or desired features. **(R)**

Proposers may include references to published manuals or documentation. However, simply supplying a reference is insufficient. Answers such as "See Appendix A, Technical Manual," will be viewed as non-responsive. Supporting materials cited in an answer must be referenced by Appendix, name of document, and page(s) to be reviewed. It is not desired that the proposer enclose entire documents in such appendices; enclose only pages that are relevant. The County reserves the right to request a copy of an entire document if desired. **(R)**

4.5. References

4.5.1. Vendor Information Form

The proposer is to complete the Vendor Information Form provided as Appendix 6.5, beginning at page 66. This form provides important information about a company which evaluators will want to have in a unified presentation. Where information requested is duplicated in the proposal itself, please provide the information fully in both places, avoiding cross-references. This form is to be completed for the proposing firm. It is also to be completed for all sub-contractors who will have significant responsibilities for any part of the Core ECR project. Where information requested is not available, that should be indicated with a brief explanation. (**R)**

4.5.2. References

Proposers are to provide references for themselves and for all sub-contractors who will have significant responsibilities for any part of the Core ECR project. References should be from contracts performed within the past 5 years or which, while performed earlier, are still in active operation. **(R)**

Reference checks will be conducted at the discretion of the evaluators. Not all references will be contacted. **(I)**

Present references in rank order by how similar the services, volumes, complexity, and systems provided for the reference are to what is being proposed for DJA. **(R)**

At least 5 references for the proposer are to be given. At least 2 references are to be given for each significant sub-contractor for this proposed project. **(R)**

At least one of the references should be a Court, County Clerk, or comparable operation. **(HD)**

At least one of the references must include an implementation and products similar to and on a scale comparable with the Core ECR's anticipated volume. **(R)**

Give the following information for each reference:

1. Name of Company **(R)**
2. Location, Address of Company **(R)**
3. Contact Person, with detailed contact information. (If the contact person will be unavailable during part of the month following the due date for this proposal, a back-up person should be named and her/his contact information supplied as well.) **(R)**
4. A synopsis of the contract and discussion of the relevancy to this project and the proposal. **(R)**
5. Contract award date and contract completion date (showing planned vs. actual). **(R)**
6. Contract award dollar value. **(R)**

4.6. Price

Complete the Cost Proposal in Section 5.

5. Cost Proposal (R)

These instructions are to assist you in submitting pricing data. Compliance with these instructions is mandatory and failure to comply will result in rejection of the proposal. The burden of proof for pricing credibility lies with the proposer.

5.1. Narrative Cost Proposal for King County

This discussion should contain but not be limited to the following:

- How pricing was computed
- Projected life cycle cost of equipment/program
- Projected yearly incremental costs
- Annual maintenance costs
- Discuss hidden/related costs that King County may not have anticipated

5.2. King County Price Quote

Pricing should be broken down into the categories indicated, each on a separate page or pages. Where not sure where to place a particular cost component, use “Other” and insert a description and the cost information.

Prices are not to include Washington State Sales Tax.

5.2.1. Planning, Implementation, Administration

List the components of this cost factor and indicate the basis for the prices presented.

5.2.2. Hardware

Break out by category (ECR Server, Other servers, Scanners, Other [specified]). List for each: 1) Description, 2) Model, 3) Quantity, 4) Cost. Describe and explain any costs associated with interfaces between and among the platforms involved in the proposed system.

5.2.3. Software

Break out by category (Operating system[s], Imaging, Workflow, Database, Interface with SCOMIS, Customized workflow[s], Other Customized, and Other [specified]). List for each: 1) Description, 2) Platform, version, etc., 3) Number of licenses/installations, 4) Hours for customization and rate charged [if applicable], and 5) Net Cost. Describe and explain any costs associated with interfaces between and among the platforms involved in the proposed system.

State clearly the basis for computing all software licensing prices. If provisions differ according to the type of software, address each type in a separate section of the narrative. Identify whether software licenses provided are:

a. Site licenses, which King County may distribute without restriction within King County. State any numerical limit on the total number of licenses.

b. Department licenses, which King County DJA may distribute to DJA regular or term-limited staff workstations and to public access work stations without per-seat charges. State any numerical limit on the total number of licenses.

c. Seat licenses, based upon a standard price per (1) workstation or (2) registered individual user. Indicate the cost of additional seats beyond those computed for the Core ECR project and included in the stated price.

d. Licenses whose cost is based on usage. If concurrent usage is the basis, the term “concurrent user” must be clearly defined. Indicate the basis for any usage charges (per access, per minute, per database hit, etc.), show how the price for the Core ECR project has been computed and show clearly how DJA is to project its exact future costs in the case of increased transactions, growth, user expansion, etc.

e. Internet/Intranet pricing, if relevant, should be explained, if different from client/server systems. (DJA is interested in knowing how the proposer intends to price Internet / Intranet access in the future.)

f. Other (a method not covered above, explaining completely and clearly the basis for software licensing costs).

If customization is required, proposer must add costs based on estimated hours and hourly charges, broken out by module.

Proposer must state hourly charges for additional custom software, after development and implementation of proposed system.

List annual support costs which DJA must assume, *e.g.*, an additional position required to serve as database administrator

5.2.4. Training/Manuals/Documentation

Explain the basis of the cost of the Training Plan in terms of 1) Types of training, 2) Number of expected trainees per type, 3) Time required per type of training, 4) Trainer cost, and 5) Cost of materials.

Explain the (1) types of manuals, (2) numbers of manuals and expected deployment, and (3) cost of materials.

Explain components of costs required to comply fully with the Documentation Plan.

In the Cost Proposal form, show net cost of 1) Manuals, 2) Classes (if applicable), and 3) Documentation.

5.2.5. Conversion of Images and Data

Detail special costs associated with converting Archival Scanning Project data from the existing system, i.e., images and index data created by Image-X, stored on the RS/6000 server. Exclude any cost components which are covered elsewhere. Assume that the number of images to be converted will be 4,000,000 pages at an average of 35,000 bytes per page.

5.2.6. Site Preparation

If the proposal involves a site other than ITS, show costs for site preparation, including power, air conditioning, raised floor, etc.

5.2.7. Other (Specify)

Use this section to detail any cost elements not covered elsewhere.

5.2.8. ITS Costs to DJA for ECR-Related Services, Equipment, etc.

Provide the exact dimensions of any equipment which is proposed for installation within ITS facilities, including square footage required. DJA and ITS will study the proposal and determine the support costs associated with it. This cost will be added to the total presented in this proposal.

5.2.9. Costs of Additional Staffing Required

This cost will be determined by DJA and added to the total presented in this proposal.

5.2.10. Cost Summary

Bring forward costs from all the above categories. Total all costs.

5.2.11. Maintenance

Annual maintenance can be expressed as a single number covering the entire Core ECR system (shown in the row labeled “Total Price”) or as an itemized list of maintenance costs broken out by components (shown in the Column headed “First Year Maintenance.” Maintenance must cover all hardware and software provided by the contractor. In the narrative, explain the cost of maintenance over a 5-year period. In the Cost Proposal form, show First Year Maintenance.

COST PROPOSAL FORM

Cost Category	Price	1st Year Maintenance*
1. Planning, Implementation, Administration		N/A
2. Hardware		N/A
ECR Server		
Other Servers		
Scanners		
Other (Specify)		
Hardware Sub-Total		
3. Software		N/A
Operating System(s)		
Imaging		
Workflow		
Database		
Interface with SCOMIS		
Customized Workflow(s)		
Other Customized Software		
Other (Specify)		
Software Sub-Total		
4. Training		N/A
Manuals		
Classes (if applicable)		
Documentation		
Training/Documentation Sub-Total		
5. Conversion of Images and Data		N/A
6. Site Preparation		N/A
7. Other (Specify)		
PROPOSER'S TOTAL PRICE		
8. ITS Costs to DJA	DJA will compute	DJA will compute
9. Costs of Additional Staffing Required	DJA will compute	N/A
TOTAL COST OF PROPOSAL TO DJA	DJA will compute	DJA will compute

***If maintenance will be higher in subsequent years, explain and show costs.**

6. APPENDICES

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6.2	Indicators to Consider in Evaluation	Page 54
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6.1. ECR Master Plan

Department of Judicial Administration
ECR Master Plan

April 1998

The Master Plan, included in the Project Report for SJI Grant No. SJI-96-06D-A-220, is not repeated here. It was included as an attachment to the Request for Proposals in the belief that its inclusion would help Proposers to understand the context in which their proposed systems should operate and that the Master Plan represented a broad consensus within King County, the Superior Court, and the Department of Judicial Administration.

6.2. Indicators to Consider in Evaluation

DJA's evaluators will consider the following when assessing proposals.

Proposer Experience and Capability

a. The longevity of the prime proposer in business. A proposer that has remained in business and has been successful in that business over the years is more likely to be able to support DJA and Core ECR in the longer term.

b. Similarly, the longevity of critical subcontractors. This includes any proposer with unique experience or products which could not be straightforwardly replaced if necessary

c. The longer term profitability of the prime proposer and subcontractors. In addition, multi-year trends in profitability of members of the consortium should be considered.

d. The ability of key proposers to withstand unprofitable years as evidenced by the balance sheets. As above, multi-year trends in equity positions should be considered.

e. The existence of owners with "deep pockets" capable of supporting the prime proposer or key subcontractors.

f. Market share and market share trends.

g. Any "strategic alliances" with other companies which might indicate their confidence in the prime contractor or subcontractor.

h. The size of the installed base for the proposed products. Trends (i.e., increases or decreases) in the installed base should also be considered.

i. The size and experience of the product development and support staff.

j. The proportion of revenues invested in product research and development.

k. The number and distribution of sales and support offices.

l. Projects are quoted where some or all of the members of the consortium have successfully worked together previously.

Technology Risk Minimization

The proposer should identify all specific information believed to demonstrate that technology risks will be minimized by providing a variety of evidence.

a. Proposing "mainstream" products supported by one or more of the major manufacturers or developers.

b. Demonstrating that the providers of the critical technologies are investing in product development in ways consistent with technology trends.

c. Demonstrating that the market share of the proposed products is growing.

d. Identifying several sites which currently operate the proposed technology.

e. Identifying sites currently operating the proposed imaging and document "platform" in conjunction with judicial record keeping workflow.

f. Proposing technology which is consistent with King County standards or which is endorsed by King County's Information and Telecommunications Systems Division (ITS).

g. Proposing technology which is based on major proposers such as Microsoft, IBM, Oracle, Unisys, Filenet, etc. (list is meant to illustrate, not restrict).

h. Providing any technology evaluations from reputable technology analysts independent of the proposers.

i. Demonstrating the technical competence of the systems integrator generally and the key personnel in particular.

j. Providing a well-considered work program which demonstrates an understanding of the issues likely to arise.

k. Contractual terms and conditions to offset any exposure of the County.

Functionality

The RFP includes a complete description of the functional requirements of DJA for the Core ECR project. Proposals are required to respond to each requirement. Evaluators will review the response to each requirement as well as any other information within the proposal which is relevant. Evaluators will assess functionality based on evidence drawn from the written response, other information in the response, the previously submitted Request for Qualifications response, and any other source of reliable information.

Implementation Capability

Implementation risks are minimized if appropriate technology is selected, a well-defined work program is established, there are systematic controls and project management mechanisms in place, project management and technical staff are competent, resource levels are appropriate, and so forth. Proposers should provide information that they believe demonstrates that implementation will be successful.

a. A comprehensive work plan is presented in the proposal which clearly defines when major interim deliverables will be delivered.

b. The proposal generally and the work plan in particular is directed at provision of a turnkey solution. In particular, the various deliverables, when taken in total, appear to “add up” to a turnkey solution.

c. The work plan clearly identifies the major milestones where DJA will assess progress and accept interim deliverables or make other key decisions.

d. The work plan includes a description of the contract administration processes and the roles of the proposer and DJA in resolving issues and disputes. This last point, of course, is not meant to contradict or supplant any contractual rights or remedies.

e. The tasks in the work plan are logical and appear “doable” within the proposed time.

f. The work plan identifies the involvement required of DJA or other County staff on the project and that commitment can be achieved.

g. The project schedule allows sufficient time to permit adjustments to be made in response to unplanned events or delays.

h. The proposal includes references for other customers using this same technology.

i. Reference checks confirm the proposer’s statements regarding the technology.

j. The proposal includes references for other customers using the same imaging and workflow applications.

k. Reference checks confirm the proposer’s statements regarding the imaging and workflow applications.

l. The proposal includes references for other customers who made use of the implementation services of the imaging or workflow software proposer.

m. Reference checks confirm the claims of the proposer regarding imaging or workflow software.

n. The proposals include references for other customers who made use of the development and project management services of the proposer or proposers responsible for the custom development aspects of the proposal.

o. Reference checks confirm these claims.

p. The proposal clearly defines the roles of the various companies participating in the consortium as prime or subcontractors.

q. The proposal also defines the mechanisms the prime contractor has available to manage a multi-proposer project team.

r. The proposal identifies certain key individuals on their project team, including:

- The proposer's project manager
- The "system architect," i.e., the person responsible for the technical integration of all hardware and software products
- The "business architect," i.e., the person responsible for redesigning business processes in DJA (and between DJA and other agencies or companies).

s. The proposal contains résumés for these "named" resources and the experience quoted confirms the claims of the proposer.

t. The project manager will be assigned "full time" to the implementation project.

u. The project manager will be "on site" or based in or very near Seattle for the duration of the project.

v. The proposer has an internal quality assurance program which reviews their performance throughout the course of the project.

w. The work plan demonstrates that major equipment or software license acquisitions are deferred until after DJA has had an opportunity to test and accept the "basic" Core ECR system.

x. The work plan clearly identifies a logical sequence of tasks and deliverables for the development and integration of segments of the system which are not provided "off the shelf," e.g., the interfaces with SCOMIS.

y. Contractual mechanisms are provided to limit or mitigate the implementation risks borne by the County.

z. Major payments by DJA occur after the acceptance of the basic Core ECR system.

Costs

a. Does the proposal itemize the hardware and licensed software products in detail?

b. Are the unit prices associated with the itemized products reasonable?

c. Does the proposal include a reasonable amount for services related to implementation?

d. Is the project work plan consistent with the services estimate?

e. Is the apparent *per diem* or hourly rate for services reasonable?

f. Has the proposer included a reasonable (e.g., 10% to 20%) contingency allowance for the services component of the proposal? Please note that a realistic proposal will include such an allowance. This may be explicit or it may be incorporated into rates charged.

g. Is there a cap on services costs?

h. What assurances are there that additional hardware or other "extras" will not be charged in order that the system has the required functionality, performance, and reliability?

i. Is the cost proposal submitted fully in accordance with the structure and categories provided in the RFP, to ensure comparability of bids?

W/MBE

Additional points are awarded based on eligibility under the County's Women/Minority Business Enterprise (W/MBE) program.

Proposer Presentation / Interviews

Presentations and interviews are not expected from all proposers, but may be required of the highest rated proposers to help DJA be sure its final selection is indeed the best. DJA will contact proposers from whom presentations and/or interviews are desired, advising them of the schedule and requirements. Points based on presentations and/or interviews will be added to other points in determining the final ranking of proposers. Demonstrations or interviews are to elicit detailed information that would include:

a. Overview of proposer's company, business experience, areas of expertise

b. Product descriptions and demonstrations
   - General overview.
   - Document management functions.
   - Systems administration and security.
   - Hardware and software alternatives.
   - Implementation and support services.

c. Products and services which might meet DJA short- and long-term objectives:
   - Review technology strategy and architecture approaches.
   - Review implementation options and approaches:
     - As applicable for operations within 1998-1999.
     - At summary level, for long-term development of extended ECR.
   - Identify business constraints and options.

6.3. Statutory Responsibilities of DJA

Under RCW 2.32.050, DJA performs the legally prescribed duties of the Clerk:

> *to take and certify the proof and acknowledgment of conveyance of real property, or any other written instrument authorized or required to be proved or acknowledged, and to administer oaths in every case when authorized by law [and]…*
>
> *To keep the seal of the court and affix it in all cases where…required by law.*
>
> *To record the proceedings of the court.*
>
> *To keep the records, files and other books and papers appertaining to the court.*
>
> *To file all papers delivered to [the Clerk] for that purpose in any action or proceeding in the court as directed by court rule or statute.*
>
> *To attend the court…, to administer oaths, and receive the verdict of a jury in any action or proceeding therein, in the presence and under the direction of the court.*
>
> *To keep the journal of the proceedings of the court, and, under the direction of the court, to enter its orders, judgments and decrees.*
>
> *To authenticate by certificate or transcript, as may be required, the records, files or proceedings of the court, or any other paper appertaining thereto and filed with [the Clerk].*
>
> *To exercise the powers and perform the duties conferred and imposed upon [the Clerk] elsewhere by statute.*
>
> *In the performance of …duties to conform to the direction of the court.*
>
> *To publish notice of the procedures for inspection of the public records of the court.*

The Clerk and all employees of the Clerk are impartial agents as regards the records of the Court. Their duty is to maintain those records with integrity, security, and care.

General duties of the Clerk as regards court records are described in RCW 36.23.030:

> ***Records to be kept.*** *The clerk of the superior court at the expense of the county shall keep the following records:*
>
> *A record in which [the Clerk] shall enter all appearances and the time of filing all pleadings in any cause;*
>
> *A docket in which before every session, [the Clerk] shall enter the titles of all causes pending before the court at that session in the order in which they were commenced, beginning with criminal cases, noting in separate columns the names of the attorneys, the character of the action, the pleadings on which it stands at the commencement of the session. One copy of this docket shall be furnished for the use of the court and another for the use of the members of the bar;*
>
> *A record for each session in which [the Clerk] shall enter the names of witnesses and jurors, with time of attendance, distance of travel, and whatever else is necessary to enable him to make out a complete cost bill;*
>
> *A record in which [the Clerk] shall record the daily proceedings of the court, and enter all verdicts, orders, judgments, and decisions thereof, which may, as provided by local court rule, be signed by the judge; but the court shall have full control of all entries in said record at any time during the session in which they were made;*

An execution docket and also one for a final record in which [the Clerk] shall make a full and perfect record of all criminal cases in which a final judgment is rendered, and all civil cases in which by any order or final judgment the title to real estate, or any interest therein, is in any way affected, and such other final judgments, orders, or decisions as the court may require;

A journal in which shall be entered all orders, decrees, and judgments made by the court and the minutes of the court in probate proceedings;

A record of wills and bonds shall be maintained. Originals shall be placed in the original file and shall be preserved or duplicated pursuant to RCW 36.23.065;

A record of letters testamentary, administration and guardianship in which all letters testamentary, administration and guardianship shall be recorded;

A record of claims shall be entered in the appearance docket under the title of each estate or case, stating the name of each claimant, the amount of his claim and the date of filing of such;

A memorandum of the files, in which at least one page shall be given to each estate or case, wherein shall be noted each paper filed in the case, and the date of filing each paper;

Such other records as are prescribed by law and required in the discharge of the duties of [the Clerk's] office.

Further, the Clerk's responsibility to preserve the case record *indefinitely* against loss is detailed in RCW 36.23.065 (as amended by the 1997-1998 Washington State Legislature).

Destruction of court records. *Notwithstanding any other law relating to the destruction of court records, the county clerk may cause to be destroyed all documents, records, instruments, books, papers, depositions, and transcripts, in any action or proceeding in the superior court, or otherwise filed in his or her office pursuant to law, if all of the following conditions exist:*

The county clerk maintains for the use of the public a photographic film, microphotographic, photostatic, electronic, or similar reproduction of each document, record, instrument, book, paper, deposition, or transcript so destroyed: PROVIDED, That all receipts and canceled checks filed by a personal representative pursuant to RCW 11.76.100 may be removed from the file by order of the court and destroyed the same as an exhibit pursuant to RCW 36.23.070.

At the time of the taking of the photographic film, microphotographic, photostatic, electronic, or similar reproduction, the county clerk or other person under whose direction and control the same was taken, attached thereto, or to the sealed container in which the same was placed and has been kept, or incorporated in the photographic film, microphotographic, photostatic, electronic, or similar reproduction, a certification that the copy is a correct copy of the original, or of a specified part thereof, as the case may be, the date on which taken, and the fact it was taken under the clerk's direction and control. The certificate must be under the official seal of the certifying officer, if there be any, or if the certifying officer is the clerk of a court having a seal, under the seal of such court.

The county clerk promptly seals and stores at least one original or negative of each such photographic film, microphotographic, photostatic, electronic, or similar reproduction in such manner and place as reasonably to assure its preservation indefinitely against loss, theft, defacement, or destruction. Electronic reproductions are acceptable media for this purpose if one of the following conditions exists:

The electronic reproductions are continuously updated and, if necessary, transferred to another medium to ensure that they are accessible through contemporary and supported electronic or computerized systems; or

The electronic reproductions are scheduled to be reproduced on photographic film, microphotographic, photostatic, or similar media for indefinite preservation.

When copies of public records of the county clerk are transferred to the state archives for security storage, the state archives may only provide certified copies of those records with the written permission of the county clerk who is custodian of those records. When so transferred and authorized, the copies of the public records concerned shall be made by the state archives, which certification shall have the same force and effect as though made by the county clerk who is custodian of the record. If there is a statutory fee for the reproduction of the document, contracts can be made between the county clerk and the state archives for reproduction and certification of the copies, however no certification authority may be transferred except as provided in this subsection and for records of abolished or discontinued offices or agencies under chapter 40.14 RCW.

RCW 36.23.067 further provides:

Any print, whether enlarged or not, from any photographic film, including any photographic plate, microphotographic film, or photostatic negative or similar reproduction, or from any electronic record, of any original record, document, instrument, book, paper, deposition, or transcript which has been processed in accordance with the provisions of RCW 36.23.065, and has been certified by the county clerk under his or her official seal as a true copy, may be used in all instances, including introduction in evidence in any judicial or administrative proceeding, that the original record, document, instrument, book, paper, deposition, or transcript might have been used, and shall have the full force and effect of the original for all purposes.

6.4. Archival Scanning Project Information

Background: the 1997 Scanning Operation and Temporary Platform

DJA committed to the scanning of archived case files (inactive cases to be retired from the Clerk's shelving systems) beginning in the latter half of 1997 until further notice. Resources were provided for labor for document preparation while this work continues. The target for scanning is to complete, by the end of 1998, scanning of the equivalent of all incoming papers for 1997 and 1998, up to 14 million pages.

The Archival Scanning Project necessarily contained a number of system architecture decisions. The intent was to implement a pilot project without compromising the design of the actual Core or future ECR systems. Some decisions taken will influence the final design, but they are not meant to be restrictive. A prime example is the decision to use the King County owned IBM RS/6000 server (located in the Key Tower) and to centralize storage there.

Archival Scanning Project: Components and Performance Measures

The 1997 "Archival Scanning Project" was designed to provide a "safe mode" test of document imaging using archiving case files from 1997 as a basis for building organizational experience with creating, storing, retrieving, and maintaining document images from case files. In previous years, these cases would be eligible for micro-filming; this year they are being removed from shelving and converted to images. A temporary arrangement was made through a bid process with Image-X of Santa Barbara, California. Software was installed and provided on a rental basis with the understanding that Image-X would have to compete in an open competitive process for the ongoing ECR scanning service. DJA obtained scanners, servers, workstations, and staffing to perform document preparation, scanning, bar-code based indexing (to case number level only, as in microfilm), transfer of images to a server, and workstations for image access. Staffing included project management, supervisory services, technical support, and limited term employees for document preparation and scanning tasks.

Scanning Equipment

The scanners used are Fujitsu models: 2 are "medium" speed models 3097E+ and a 3rd is a "high" speed model 3099EH. An additional 3099EH will be added to boost production and a 600C will be added for quality control checking.

For the scanning servers we have 3 Gateway 2000 model G6-300, Pentium II, 300mhz computers, with 32mb of RAM, 3.2GB hard disk drives, 12x IDE CD-ROMs, 4MB video cards, 3com 10/100 Ethernet cards, and Vivitron 1100 20" monitors. One of these computers has a Dunord I-3010-1 card, and the other two have Dunord I-2000 interface cards. Dunord cards connect the scanners to the computer. The operating system is Windows 95 and the application capturing the images is a product of Image-X called IDS Scan. IDS Scan was written by Image X and Fujitsu and uses the ISIS drivers.

Public image viewing stations (one in the Courthouse, one at the RJC) are 4 Gateway 2000 model G6-233, Pentium II, 233mhz computers, with 32MB ram, 1.6GB hard disk drives, 12x IDE CD-ROM drives, 2MB AGP video cards, 3COM 10/100 Ethernet cards, and Vivitron 1100 20" monitors. The operating system is Windows 95 and the application used for the viewing is a public version of the IDS software called "IDS Viewer."

Document Images

The images created are in the TIFF format. TIFF images as created by the IDS scanning software are not compliant to the 6.0 Aldus specification; however, they are viewable by most graphic viewers for editing. Image-X is obliged under the terms of the bid award to assist in any conversion needed for the successful proposer under this RFP.

The images are scanned in at 200 dpi (dots per inch, also expressed as "ppi" for pixels per inch) resolution. They range in size from 1 kb to 90 kb (compressed) with the average being around 35kb per imaged page.

The filename created by the IDS application is temporary at first and saved to a temporary area to be indexed later. Indexing happens by running the temporary filename/images through an indexing application that scans

for the bar code on the first page (created by DJA with a Word macro and inserted at the beginning of each case file). Indexing software knows to treat documents following a barcode page as a new case. The filename is derived from the bar coded page; the filename extension is derived from the order in which pages are scanned. This allows for tracking of individual images without resort to a special imaging database.

Performance Achieved

The 3097E+ scanners have been producing approximately 10,000 scanned pages per average day. The 3099EH scanner has been producing around 15,000 pages per day, though we suspect it can handle more pages when a sufficient number of cases have been prepared to keep it operating full time. Each scanner is associated with the "room" in which it is located. Daily production, transfer of images, and such are tracked in terms of the "room."

Scanners are in use from 7:30 a.m. to 4:30 p.m. Monday through Friday. We are considering increasing the capacity and output by operating up to 12 hours per day in shifts.

Maintenance and cleaning proved to be time-consuming but necessary activities for daily production. The smaller 2 scanners require 2 daily cleanings each requiring 10 minutes to perform. The larger scanner is cleaned at least 4 times per day, with each cleaning taking 25 minutes. The larger scanner also requires 1 cleaning sheet per day. Each machine requires periodic roller replacement and twice-a-year preventive maintenance.

Procedures

1) Initial Archiving from SCOMIS

Upon request from DJA, the Office of the Administrator for the Courts (OAC) prepares a report of cases that meet DJA's requested archive criteria. Ordinarily DJA requests archives by case type. Sealed case types are archived separately from non-sealed. The cases on the list are flagged on SCOMIS as archived as of the date the report was initially produced.

2) File Pulling & Transportation to Scanning Site

Files are pulled from the shelving units. All volumes for multiple-volume (i.e., more than one folder) files are pulled. Notations are made to identify all files or volumes of a file which are missing at the time the files are pulled. Documents that are stored separately from the court file, the "bulky subs" (large documents which could not be held in the standard file folder are retained in an envelope or box in a shelving area near where the file folder is held), are requested at the time the file is prepped; "bulky subs" are not removed from the shelving area at the time the file folder is pulled.

3) Bar Code Indexing Sheet Production

Bar code sheets are prepared to identify case numbers for automated indexing. This allows for cases to be indexed without staff having to type each case number into the scanning system individually. A bar code sheet contains information identifying the case with DJA, citing the archive date, and presenting the case number in 2 different formats at the center of the page. The first line uses the Code 3 of 9 True Type Font to present the barcode; dashes in the case number are removed and asterisks (*) are inserted before and after the case number. The bar code sheets are produced by a Word macro. This macro can be used in the ongoing Archival Scanning Project if needed. Bar code sheets are printed onto colored paper. They are merged with the documents of their respective cases prior to scanning.

4) The "Copy Case" and the File Index

The process which produces the OAC report of archived case numbers also triggers a computer-generated report of all "Copy Cases" for the archived cases. The "Copy Case" is a hard copy print-out from SCOMIS showing basic case information including a listing of all documents filed in the case. In effect, the "Copy Case" is a "table of contents" for the archived case file: it shows the date each document was filed, the title of each document, and the "sub-number" assigned to each document. The "Copy Case" cannot and does not indicate the length of each document. Since indexing cannot be done to the document level in this process, file access must be done by approximation. A user must use trial-and-error to locate any given document. For example, if seeking the

document sub-numbered “12” in a given case, the user will have different results if the document sub-numbered “11” was 100 pages long than if it was 10 pages long.

5) Document Preparation for Scanning

Case files are prepared for scanning by first merging the “Copy Case” into the file folder after comparing it against the actual documents in the file. Errors noted are brought to the scanning supervisor’s attention. Documents are arranged into the same sequence as they appear on the Copy Case. Each document must have all staples, clips, or other fasteners removed. Staff make photocopies of the backside of each document which has information on both sides. This will permit the scanner to run non-stop, avoiding delays caused by stopping to accommodate changing back and forth to duplex mode. Any light or faint-print originals are photocopied and darkened at the photocopier if a better image results. Especially thin or thick paper is also photocopied, so there will be general uniformity for documents fed into the scanner. Whenever a document or file is identified as missing during the preparation process, a “target” sheet is prepared and inserted where that missing item should be. The target sheet indicates whether the file or document in question is missing or sealed at the time of scanning. The bar code sheet is then placed in front of the Copy Case.

6) Scanning Prepared Case Files

Each file is scanned, with the bar code sheet always the first image, followed by the Copy Case. The pages are displayed on a monitor next to the scanner for viewing as they are being scanned. A number of cases are scanned at one time. Scanning requires careful handling, with routine cleanings and special routines for avoiding or dealing with paper jams.

7) Indexing from Bar Code Sheets

After scanning, images are processed through Image-X software performing an indexing routine. In this routine, software “reads” the bar code and creates the case-identifying file name for subsequent pages based on it. Each subsequent page is sequentially numbered, with the page number constituting the suffix on the filename. The software focuses on the center zone of the page to avoid interpreting marks on other parts of the page as “possible barcode.” Where software is “unsure” about whether it has seen a bar code, it alerts the scanner staff, who review the documents and issue correct instructions for completing the indexing routine.

8) Image Quality Checking (QC) & Error Correction

Each file is retrieved by case number after scanning and indexing are complete. The display indicates the number of pages that have been scanned for the case number. The number of pages are verified visually by comparing that with what is seen in the court file. The first and last page of each case is then displayed for staff to examine as a quality control step. Any errors identified are corrected at this time, before the case is transferred to the image repository, Image-X’s “MINDS.”

9) Transfer to Image Repository (MINDS)

Each night at 4:30 p.m. over a period averaging 9 hours, each file is moved from the local hard drive of the scanner’s server computer to storage disks on the IBM RS/6000 (located in the Key Tower in downtown Seattle). The storage location for each case is marked and indexed in Image X’s MINDS. The transfer to MINDS happens only after all images have been checked for errors and completeness. Once the files are on the RS/6000 and indexed in the MINDS database, a sampling of the cases are viewed to make sure the transfer to the RS/6000 actually occurred and was successful.

10) Disposition of Hard Copy

At the time of this writing (April 1998), DJA is determining the acceptability of the images created by the Archival Scanning Project for ongoing retention as the record in the cases affected. User tests are under way to confirm that 200 dpi/ppi is the proper standard for scanning resolution (with adjustments to be made for documents with difficult or problematic images), as recommended by expert consultants. Data backup and restoration systems are being documented to demonstrate their ongoing reliability against loss of image data once transferred to the RS/6000 and the custody of ITS. Once all these steps have been completed, DJA will authorize the destruction of the source hard copy documents which have been scanned. DJA is proceeding cautiously in taking this step,

since once the hard copy is destroyed, there must be full confidence in the reliability and authenticity of the scanned images.

11) Monitoring Accessibility of Images

Images are available from MINDS as soon as the transfer is complete. Access to the images stored on MINDS has been consistently less than 5 seconds per image, generally 2 seconds. Files are retrieved by case number and can be viewed by multiple users at the same time.

12) Software Updating, Maintenance

Image-X has provided the software rented for the Archival Scanning Project from their basic imaging system package.

13) Training

Whenever DJA installs the Image-X viewing software at a new user's desk, technical staff spend about 15 to 20 minutes showing the user how to do the basic commands to access images and navigate within the file.

14) Documentation

Image-X is developing its documentation for the MINDS transfer program and the IDS viewing and scanning software. These procedures will be incorporated with the detailed "Policy and Procedure" document DJA is writing to capture all requirements to perform all actions throughout the scanning process.

15) Targets for Production Through 1998

Initial goals of scanning 2 years' worth of files (11-14 million pages estimated) have been hampered by production and unanticipated labor issues. Now that these issues have been mostly resolved, DJA projects that it will be possible to proceed at a maximum rate of approximately 55,000 pages per day, given available staffing and the capacity of the scanning equipment we have in place.

Metrics of Scanning Performance

a. Image retrieval time: 1 to 3 seconds (averages about 2 seconds) from installed stations on the King County Wide Area Network (WAN)

b. Average disk file size: 35kb (i.e., 1 disk file created for each page)

c. Average number of pages per case file: 90

d. Average number of documents per case: 31

What the Archival Scanning Project Has Demonstrated

The Archival Scanning Project has proved the feasibility of several aspects of the ECR plan and has provided information that will help make Core ECR choices. The following has been demonstrated by the Project:

a. It is feasible to base a large scale ECR system using King County Local Area Networks (LANs) and the County Wide Area Network (K.C. WAN).

b. Scanning can be done at more than one location and images can be stored in one centralized place. [9]

c. Scanning can be done in large volume and moved across the King County networks. Volumes of up to 35,000 pages per day have been scanned and sent across the network, indexed into the RS/6000 server, and placed into magnetic storage.

d. Images located centrally can be retrieved at workstations located in multiple places, at high speed. Retrieval times have been between 1 and 5 seconds, averaging 2 seconds, both at the Regional Justice Center (RJC) and the Courthouse (downtown Seattle).

[9] The test did not specifically prove that scanning can be done in multiple places since all scanning was done in RJC, but scanning was done on multiple scanners and there is no logical reason that scanning can not be done in multiple places as well. The Image-X system used in the pilot project scans simultaneously on over 30 scanners in 6 or more locations in Riverside County, California, Superior Court.

e. Images can be written to a CD-ROM disk for distribution without any significant loss of image quality.

f. Microfilm can be made from scanned images at an acceptable image quality.

g. Attention must be given to problematic images at the time of scanning, to make sure image quality is adequate, e.g., by rejecting faintly printed or poor quality originals or, if that is not an option (as in archival scanning), by isolating problematic documents for scanning at a higher than standard (200 dpi/ppi) resolution.

Issues Raised and Lessons Learned

a. Scanning and converting scanned images to microfilm may or may not be the best way to convert closed case files. It may prove to be more cost effective to outsource the scanning operation or to film retired case files again from source documents. Nevertheless, scanning active records and converting them to film after the case is closed, is feasible. This may also be the only way for the Clerk to meet its statutory responsibility.

b. While the scanning software came to operate satisfactorily, it took a long time for it to become stable and complete.

c. For the Archival Scanning Project, as with microfilming (which it replaced), table-of-contents indexing could not be provided at the sub-document level. That is, a user cannot navigate within the file based on requesting a given sub number. Navigation must be done by trial and error to find a given document within a case file. Finding a way to overcome this hurdle is desired, but extensive additional labor cannot be part of the solution.

d. Transfer of images from the RJC to the RS/6000 in Kent and into the imaging server has been slow. This needs to be improved under Core ECR.

6.5. Vendor Information Form

Company Data

A. Please complete the following:

Company name:

Address:

Local office:

Address:

Phone number:

Fax number:

Local office manager:

Phone number:

Local sales representative:

Phone number:

B. When was your company incorporated? _____

C. Financial Information

1. Supply financial statements for the past two years. If the vendor is a publicly held company, audited statements are preferred. If the vendor is a privately held company and is selected as a finalist, it may be asked to provide a statement from an independent auditor who has reviewed its financial statements.
2. Supply an open Letter of Credit or proof of another financing arrangement with an established bank, or certification by your primary financial officer or an independent accountant that financial resources are available to provide the software or services described within this document.
3. Supply the name, address, telephone and fax numbers of a contact in the company's financial or banking organization, and its auditor:

Contact:	Auditor:
Address:	Address:
Phone #:	Phone #:
Fax #:	Fax #:

4. Provide company's annual sales for fiscal years 1995, 1996 & 1997.
5. Provide company's sales projections for fiscal years 1998 & 1999.
6. Provide sales of this software product for fiscal years 1995, 1996 & 1997.
7. Provide sales projections for this software product for fiscal years 1998 & 1999.

D. How many employees does the company employ?

1. How many employees are employed in the local office?
2. Of those employed in the local office, how many of them are sales personnel?
3. Technical support personnel?

4. Product Information

Product Name: _____
(If providing information about multiple products, please complete this section for each product.)

A. Please list three relevant client references for this product:

Company & Address: Contact: Phone:

1.

2.

3.

B. List annual sales for this single product or package for the past five years.

C. Is the source code in escrow? If yes, where?

D. Describe the software licensing procedures and provide a copy of software license.

E. Describe the approach to registering users.

Is software license a site license?

May the licensee have an unspecified number of users on the software?

Are users licensed by name or number of concurrent users?

Product Support

A. What support is provided with the product's annual maintenance fee?

Are there different levels of product support?

Is there a toll-free number for end-user support?

Is there a toll-free number for technical support?
Do company technicians dial in to support the product on-line?

What are the support hours?

Attach a copy of the product support agreement.

B. Is there a user's group available for the product?

Is there a local chapter?

What is the name and phone number of the local chapter's president or chair?

Name: _____ Phone: _____

C. Is there access to an on-line service to keep clients informed of outstanding problems or fixes with the product?

D. What other means are provided to clients to keep them current on the problems with or revisions to the software?

E. What platform is the software usually first released on?

F. Typically, how many versions of the software per platform are released every year?

G. When was the most recent release made for each platform?

H. Is on-line help available with the product?

I. Are tutorials provided with the product?

J. Are printed manuals available with product? (Indicate whether there is a charge for manuals and what the charge is.)

K. Please describe any additional training available for the product, including cost, frequency, length and location of classes for end-users and technical support staff.

L. Are implementation services offered?

M. Are services for data conversions, custom interfaces, and other customizations offered?

N. Is support for other vendor products available?

Please comment about any limitations on that support.

O. Are installation procedures to automate installation included in the purchase price?

P. Please describe any other services which might be provided to customer as necessary.

System Architecture Details

A. Describe the system architecture. Include descriptions of user display, user interface, data access, and database.

B. List the platforms (hardware and operating system) the software runs on.

C. List networks and network protocols supported by the system.

System Technical Details

A. List the release dates of the last two releases on each platform supported.

B. Identify other software, device drivers, or utilities needed to support the software.

C. List peripherals (i.e. scanners, bar code readers) supported by the software.

D. Describe the database access capabilities provided with the software.

Include user report writing, integration, queries, etc.

E. Describe security (*i.e.*, screen access, data access) provided by the system.

F. Describe fault tolerant features of the system.

G. Is source code available?

What programming language(s) is the source written in?

H. Identify system technical documentation (i.e. administration guide, programming manual) available with the system. How is it made available?

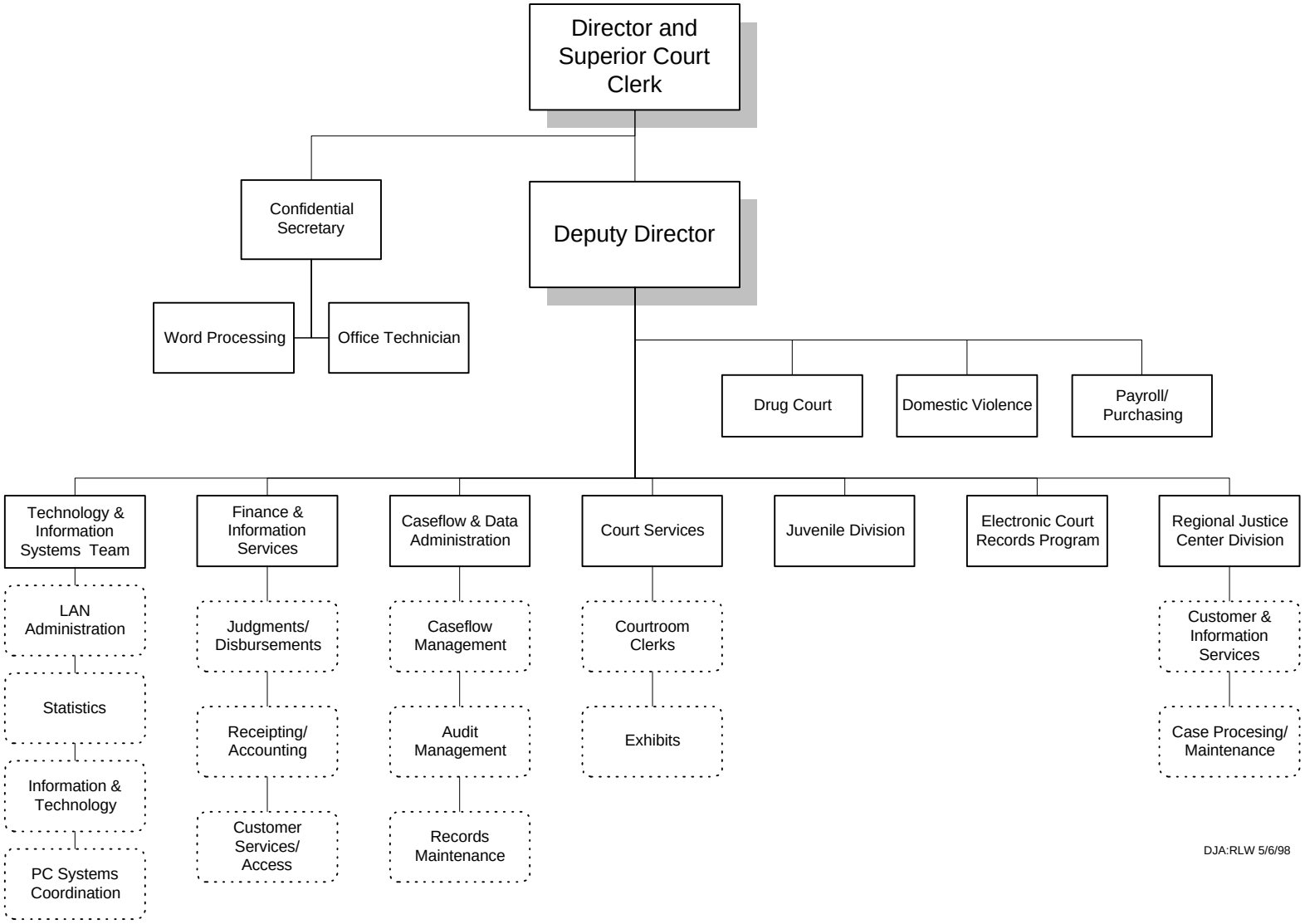
I. Describe system technical training available.

J. Describe support maintenance agreements.

K. Include information on updates, support procedures (i.e. phone, on-site, fax, modem), technical newsletters, etc.

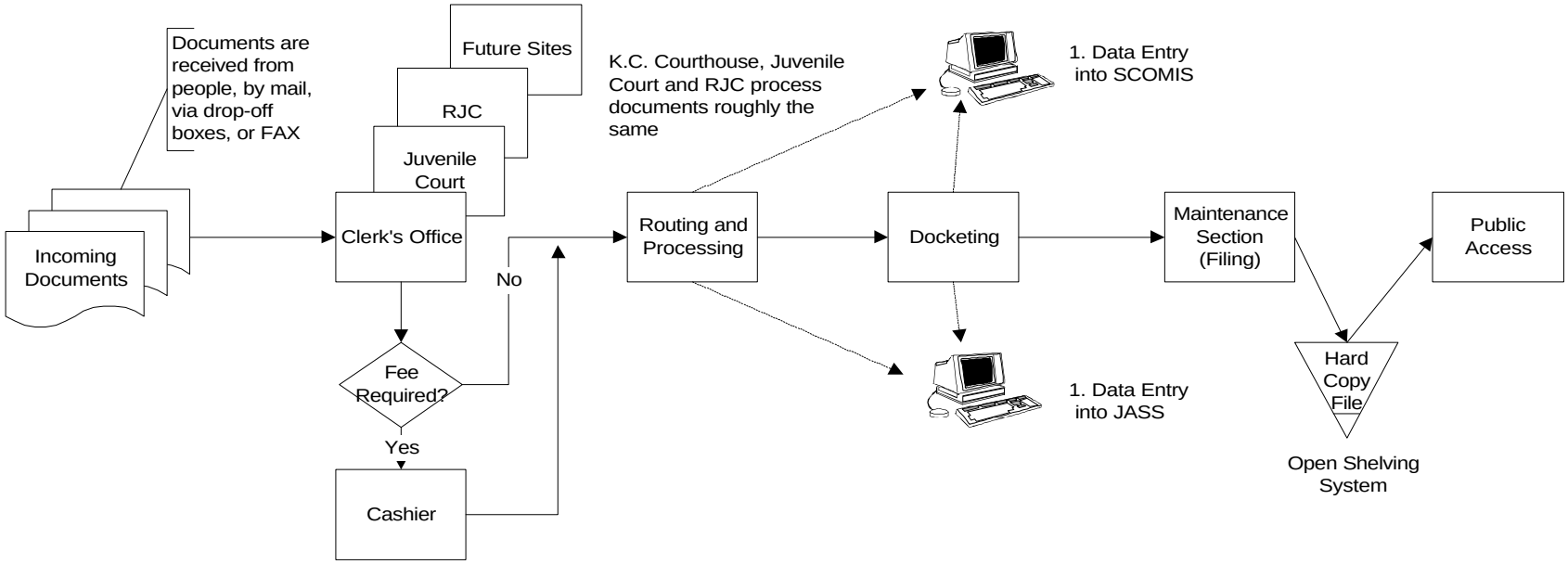
6.6. DJA Organizational Chart

King County Department of Judicial Administration
1998 Organizational Structure



6.7. DJA Work Flow Overview

How Incoming Documents Are Received and Filed: General Process



1. Documents are received from attorneys, Prosecutors, State agencies and others.
2. Documents come by person or messenger or by mail. Documents to be filed in existing cases are often left in "drop-off boxes".

Approximate Daily Volumes		
Location	Documents	Pages
Ct. House	3600	16800
RJC	1800	8400
Juvenile Ct.	600	2800
TOTAL	6000	28000

Documents received by DJA Clerk at County Court House, RJC, and Juvenile Court. Also, in smaller numbers from Eastside Satelite Office and from Court offices.

<u>If Fee Required:</u>
1. Cashier collects fees.
2. Assigns case number (from SCOMIS printout). Stamps number on document & assigns case schedule, if needed.
3. To Distribution.

<u>If No Fee Required:</u>
1. Document already has number. Goes directly to Distribution.

Routing & Processing:
1. Collecting (sorting)
2. New Case Set-up. Includes quality assurance of documents.
3. Data entry into Judicial Information System (JIS).
4. If necessary, copies are made and sent to Law Safety & Justice Agencies.
5. If necessary, judgments created, AR created or changed in JASS and checks disbursed.

Docketing:
1. Docketing (data entry into SCOMIS)

Maintenance:
1. If new case: Set up folders, add labels.
2. Punch pin holes in documents.
3. Put documents in folders (Pin documents).
4. Put folders on shelves, by SCOMIS case nnumber, in terminal digit order.

Access:
1. Ready for access by users.
2. Process actually more complex than can be shown here.

SECTION III & SEQ. - BOILERPLATE CONTRACT, M/WBE, AND EEO PROVISIONS

[Will vary with requirements of each governmental agency.]