



# **ARIZONA SUPREME COURT**

Administrative Office of the Courts  
1501 West Washington, Suite 221  
Phoenix, Arizona 85007

Request for Proposals

RFP 07-02

**Arizona Judicial Case Management System**

March 19, 2007

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## **SECTION 1 INTRODUCTION AND OVERVIEW**

### **1. Introduction**

The Arizona Supreme Court (hereinafter referred to as the Court) is soliciting written, sealed proposals for a judicial case management system that will initially be implemented in 13 Superior Court jurisdictions in the state. Vendors who wish to submit a sealed proposal based upon the specifications and conditions in this document shall submit it by 3:00 P.M. Arizona Time on April 27, 2007 in accordance with the proposal schedule (see #3).

The public opening will be conducted at 3:00 P.M. Arizona Time on April 27, 2007 at the Arizona State Courts Building, 1501 W. Washington, Conference Room 412, Phoenix, Arizona.

#### **Overview**

The Arizona Supreme Court, Administrative Office of the Courts (AOC) is requesting proposals from interested parties to provide a fully automated, state of the art court case management system (CMS) to be initially used in 13 Superior Court jurisdictions in the state. The project will be undertaken to replace AZTEC, the current legacy system.

The AOC is the contracting agency, and with assistance from the Supreme Court Commission on Technology (COT), will be responsible for management and execution of the project. Interested persons and entities who wish to be considered as a vendor with respect to this project are invited to comply with the requirements and procedures described below.

The Superior Court of Arizona is divided into jurisdictions by county. Thirteen (13) counties with approximately 700 to 800 end users will be primary stakeholders in the initial project. The two largest jurisdictions, Maricopa and Pima counties are likely to remain in their current environment using locally developed systems.

An RFP committee will evaluate, in addition to the current capability of a vendor's existing CMS product, the extent to which the vendor's proposal meets the functional requirements expressed in this document. When applicable, vendors should feel free to identify why they believe their proposal, while not meeting all such requirements, nevertheless more efficiently and effectively meets the overall goals and objectives of the courts.

The selection of a vendor and the award of any contract are within the judgment and discretion of the AOC. This RFP is intended to provide the AOC and the COT with information to better evaluate the proposals and qualifications of vendors in order to advance the best interests of the judicial court system and the citizens of Arizona. Neither the AOC nor any other person creates any

obligation, expressed or implied, by issuance of this RFP or by receipt and consideration of any responses.

In order to select a vendor, the AOC is issuing a RFP Response Evaluation Sheet (Appendix A) for the required functionality for a CMS product in this document. The AOC reserves the option to add functionality details later in this proposal process. The AOC requests that all persons or entities with an interest in supplying the product described herein submit a proposal and a statement of qualifications in the manner described in Section 2.

The AOC anticipates that the CMS will use the successful vendor's existing case management products with the capacity for necessary customization. The level of customization/modification will be determined by joint consideration of both the AOC and vendor. Program management for the statewide CMS is the responsibility of the AOC and COT, which will operate with the assistance of its employees, various elected officials, consultants and local governmental units. Other professional service providers may be engaged to provide such services that the AOC finds necessary for the project to succeed. The list of functional requirements below is for ease of reference and should not be considered a definition or specific assignment of responsibilities. The precise scope of work will be defined during the selection and negotiation processes.

The AOC seeks a full-featured CMS with training, deployment and support services, and the successful vendor will work closely with the AOC to customize and plan implementation of the CMS. The elements of a CMS implementation will include the ability to integrate and/or interface with other state agencies including but not limited to the MVD, Department of Public Safety, Department of Corrections, NCIC, Supreme Court Data Warehouse, Fines/Fees and Restitution Enforcement (FARE), Department of Revenue, outside collection agencies and other entities as determined by the AOC. The CMS must also meet the functional requirements established by the AOC (Appendix A) and have the ability to comply with the Supreme Court Minimum Accounting Standards requirements, which are available on-line at <http://www.supreme.state.az.us/orders/admcode/pdfcurrentcode/1-401.pdf>

Vendor proposals should include cost estimates that assume the installation of the CMS in initially 13 jurisdictions of the Superior Court. Submissions must also include a proposed deployment schedule that specifically describes the timeline, rationale, costs and other resources expected to be contributed by the AOC, COT and/or local courts and clerks. The successful vendor will be required to adhere strictly to the negotiated budgetary levels and deployment schedule.

### **Arizona Judicial System (Superior Court)**

The Arizona Constitution states, "The supreme court shall have administrative supervision over all the courts of the state." The Supreme Court adopts policies and procedures to guide municipal, justice of the peace, superior court and appellate courts throughout Arizona in conducting their administrative functions in a fair, efficient and fiscally responsible way.

The CMS for this RFP initially concerns the Superior Court in 13 counties, which is the court of general jurisdiction. Superior Court has original jurisdiction over civil actions, criminal felonies, family law, probate, and mental health matters (Arizona State Constitution, Article 6, Section 14). Superior Court also handles appeals for courts of limited jurisdiction. There are 15 Superior Court locations, one for each of the 15 counties. Some of the larger counties also have satellite offices to better serve their citizens. Each county has a Superior Court presiding judge appointed by the Supreme Court. Presiding judges have administrative supervision over the superior court and all judges in their respective counties. There is also an elected Clerk of Superior Court for each county. At a high level view of the typical Superior Court CMS, the Clerk's Office is responsible for case financials, non-calendar events, and documents submitted for case filing, while Court Administration is responsible for the calendar, case management and due date compliance. Both offices are responsible for reporting to the Supreme Court utilizing data stored in the CMS database.

In 2004, the Superior Court and Clerks of Superior Court collaborated on a statewide standardization effort, with a goal of establishing a standard set of table codes for events, receivables, document filings, case types, and party types. The effort led to the establishment and adoption of a code set that will be uniformly used by all courts in the new CMS.

### **Arizona Clerks of the Superior Court**

In Arizona, the State Constitution (Article 6, Section 23) creates the office of "Clerk of Superior Court" as the custodian of the courts' record and seal. The clerk also issues summons and subpoenas for process of service, accepts filings of commencement of actions in litigation, enters judgments and orders of the court, receives money, makes certified copies of record, issues licenses (e.g. notary, bondsman, process server and marriage), and in some jurisdictions performs the duties of Probate Registrar and Jury Commissioner. In general, the Clerk is required to perform all official duties imposed by statute or by lawful authority of the court.

It is difficult to outline or enumerate in detail each particular duty of the Clerk of Superior Court, but some of the most important include filing, recording, and indexing all pleadings to begin any court action. The issuance of letters in probate matters and trusts and the giving of legal notices when required by law are part of the Clerk's duties. The Clerk must also record all bonds required by law and prepare the official record in cases that change venue or are appealed to a higher court. The clerk is required to handle all notary applications and marriage affidavits, and the recording of marriage licenses.

The clerk is also charged with the duty of collecting all court fines, fees, restitution, and interest. Consequently, the "financials" portion of the CMS may be the most critical and complex aspect of the CMS for the clerks. Although the specific functions are articulated within Appendix A, the financial functions must interact with all other functions with no manual intervention except when the user

executes an authorized override. The financial functions, in particular, should work within the CMS so the Clerks and their staff do not perform the same function several times or enter the same data more than once.

## 2. Proposers' Conference

A proposers' conference will not be held. See "Explanation to Proposers" in Section 2, #7.

## 3. Proposal Schedule

Activity	Date
a. Request for Proposals (RFP) published	March 19, 2007
b. Deadline to Submit Written Questions	April 6, 2007
c. Proposal Due Date*	April 27, 2007

The Court reserves the right to deviate from this schedule.

**\* Proposals received after 3:00 P.M. Arizona Time on April 27, 2007 will be accepted but will not be opened and will not be taken into consideration in the evaluation of proposals.**

## 4. Proposal Evaluation

Following the public proposal opening, proposals will be evaluated based upon the criteria outlined in Section 4 of this document. The contract(s) shall be entered into with the responsible offerer(s) whose proposal is determined in writing to be the most advantageous to the Court taking into consideration the evaluation factors set forth in the Request for Proposals. The Court reserves the right (prior to contract award) to inspect a vendor's facilities.

No other factors or criteria may be used in the evaluation. The amount of any applicable transaction privilege or use tax of a political subdivision of this state is not a factor in determining the most advantageous proposal if a competing offerer located outside of this state is not subject to a transaction privilege or use tax of a political subdivision of this state.

This RFP does not commit the Arizona Supreme Court to award any contract or to pay any costs incurred in the preparation of proposals. The Court reserves the right to accept or reject, in whole or in part, all proposals submitted and/or to cancel this RFP. Multiple contracts may be awarded.

**5. Proposal Discussions**

Discussions may be conducted with responsible offerers who submit proposals determined to be reasonably susceptible to permit a contractual agreement for the purpose of clarification to assume full understanding of, and responsiveness to, the solicitation requirements. Offerers shall be accorded fair treatment with respect to any opportunity for discussion and revision of proposals, and such revisions may be permitted after submissions and before finalization of a contract for the purpose of obtaining best and final offers. In conducting discussions, there shall be no disclosure of any information derived from proposals submitted by competing offerers.

**6. Americans with Disabilities Act**

People with disabilities may request special accommodations such as interpreters, alternative formats, or assistance with physical accessibility. Requests should be made as early as possible to allow time to arrange the accommodation.

If you require special accommodations, please call (602) 452-3329 or text telephone (TDD) 452-3545.

## SECTION 2 INSTRUCTIONS AND PROCEDURES

1. Vendors who wish to submit proposals for RFP 07-02 shall complete all necessary documentation as identified in Section 5 of this Request for Proposals.
2. The specifications included in this package provide adequate information as to whether or not vendors can meet the needs of the Court. Significant deviations from the specifications may be grounds for disqualification of the proposal.
3. The Rules Prescribing Procurement Policies and Procedures for the Judicial Branch (hereafter referred to as the Judicial Procurement Rules) adopted by the Arizona Supreme Court in accordance with the provisions of the Arizona Revised Statutes 41-2501.E are incorporated by reference herein and are made a part of this document as if they are fully set forth herein. Copies of these rules can be obtained from Don Bentley, Arizona Supreme Court at the address referenced on the cover page.
4. The vendor has sole responsibility for any contracts or agreements made with any subcontractors in relationship to this RFP, and shall disclose all such agreements.
5. Vendor Certification. By submission of a proposal, the vendor certifies that:
  - A. The vendor has not paid or nor agreed to pay any person, other than a bona fide employee, a fee or a brokerage resulting from the award of the contract.
  - B. The prices in the proposal have been arrived at independently without consultation, communication, or agreement for the purpose of restricting competition as to any matter relating to such prices with any other vendor.
6. Preparation of the Proposal
  - A. Vendors are expected to examine all rules, documents, forms, specifications, standard provisions, and all instructions. These materials can be made available in alternative formats upon request. Failure to do so will be at the vendor's risk.
  - B. Each vendor shall furnish all information required by the RFP. The vendor should refer to Section 5 which contains the proposal submittal checklist, to ensure all required materials have been enclosed.
  - C. Time, if stated as a number of days, will be calendar days.
7. Explanation to Proposers

Any inquiries/questions related to this RFP are to be directed in writing to the contact person below. Any verbal or written inquiries directed to anyone other

than the contact person specified below will not be considered. All questions must be submitted by 5:00 P.M. Arizona Time on April 6, 2007 to:

Don Bentley, Procurement Officer  
Arizona Supreme Court  
1501 West Washington, Suite 221  
Phoenix, Arizona 85007-3231  
Email: [dbentley@courts.az.gov](mailto:dbentley@courts.az.gov)  
Fax: (602) 452-3735

The question and response will be posted to the Arizona Judicial Department's website. Any explanations or clarifications given at the website will be considered added to the specifications. Interested parties must check the website at <http://www.supreme.state.az.us/rfp>.

8. Submission of Proposal

- A. Sealed proposals are due on or before 3:00 P.M. Arizona Time on April 27, 2007 to Don Bentley, Arizona Supreme Court, 1501 West Washington, Suite 221, Phoenix, Arizona 85007-3231. Proposals must be in the actual possession of the Court on or prior to the exact time and date indicated. Late proposals will not be considered under any circumstances.
- B. **Proposals must be submitted in a sealed envelope with the RFP number and the offerer's name and address clearly indicated on the outside of the package.** All proposals must be completed in ink or be typewritten.
- C. The offerer must submit one original and 10 copies of each proposal.
- D. Offerers submitting a proposal shall indicate the offerer's name and the RFP number on each page of the document.
- E. Erasures, interlineations, or other modifications in the proposal must be initialed by a person authorized to sign the proposal and contract.

9. Public Opening

A public opening of proposals shall be held at 3:00 P.M. Arizona Time on April 27, 2007 at the Arizona State Courts Building, 1501 W. Washington, Conference Room 412. At that time, the name of each vendor shall be publicly read and recorded. All other information contained in the proposal shall be confidential so as to avoid disclosure of contents prejudicial to competing vendors during the process of negotiation. This record shall be open for public inspection after a contract is entered into. However, where the vendor designates, and the court concurs, trade secrets or other proprietary data contained in the proposal documents shall remain confidential.

10. Contract

The contract(s) shall be entered into with the responsible vendor(s) whose proposal is determined in writing to be the most advantageous to the Judicial Branch Unit, taking into consideration the evaluation factors set forth in the RFP.

## **SECTION 3 SPECIFICATIONS**

### **1. Objective**

The Court is seeking a vendor to provide a quality judicial case management system for the management of data and business in Arizona. The initial implementation will involve General Jurisdiction Superior Court in 13 counties.

### **2. Product Evaluation**

In awarding this contract, all of the following factors will be considered:

- 2.1 Product Evaluation
- 2.2 Supplier Reliability
- 2.3 Cost / Price

### **3. Compliance**

Vendor must identify all terms and conditions, including contract general terms and conditions, with which they are not able to comply. Otherwise, it is assumed that all terms and conditions as specified herein are accepted by the vendor.

### **4. Related Services**

Vendors must attach a separate sheet to detail the nature and cost of other related services they will provide.

**SECTION 4  
PROPOSAL EVALUATION CRITERIA**

Proposals will be evaluated in two phases:

1. An initial review to determine the responsiveness of the proposal to the requirements for the Request for Proposal (RFP). For a proposal to be considered responsive, it must meet the following tests:
  - A. A sealed original and 10 copies must be physically in the possession of the Arizona Supreme Court, 1501 W. Washington, Suite 221, no later than 3:00 P.M. Arizona Time on April 27, 2007.
  - B. The proposal must include all required items on the Proposal Submittal Checklist. (see Section 5)
  - C. The original and all copies of the proposal must be in ink or typewritten.
2. An in-depth analysis and evaluation will be based upon the following criteria. The evaluation criteria are listed in order of relative importance.

<b>Evaluation Criteria</b>	<b>Relative Importance</b>
A. Product Evaluation -- Ability to meet specifications, as required by RFP -- Functionality in the RFP Response Evaluation Sheet -- User group test and evaluation	40%
B. Supplier Reliability -- Financial and Business Models -- Extended maintenance and customer support -- References and reputation in Court Systems	35%
C. Cost / Price	25%

3. If you are unable to submit a responsible quotation for your ability to supply a case management system that meets requirements your submitted proposal will be disqualified.
4. Vendors may be requested to provide demonstration programs of their case management system for test and evaluation by user groups.

## **SECTION 5 PROPOSAL SUBMITTAL DOCUMENTS**

### **Proposal Submittal Checklist**

Except as otherwise indicated the following materials must be submitted as part of a vendor response:

1. Proposal Submittal Letter (see page 12)
2. Three references (see page 13)
3. Vendor Profile (see page 14)
4. RFP Response Evaluation Sheet (see Appendix A)
5. Pricing Analysis and Timeline for Development & Deployment of CMS (see Appendix B).
6. Proposed Deployment Schedule (see Appendix C)
7. Deployment, Training and Support (see Appendix D)
8. Project Management (see Appendix E)
9. Technology, Interfaces and Data Conversion (see Appendix F)
10. A description of exceptions (if any) to the sample terms and conditions agreement provided in Section 6 of the RFP. Any exceptions to the sample terms and conditions agreement must be noted in the vendor response.
11. Additional Data (any additional descriptive/narrative data the vendor wants to submit).

**PROPOSAL SUBMITTAL LETTER**  
**(Use as page 1 of proposal)**

Mr. Don Bentley  
Arizona Supreme Court  
Administrative Office of the Courts  
1501 W. Washington, Suite 221  
Phoenix, Arizona 85007-3231

Dear Mr. Bentley:

In response to your Request for Proposals (RFP) number 07-02, the following proposal is submitted.

In submitting this proposal, I hereby certify that:

1. the RFP has been read and understood;
2. the materials requested by the RFP are enclosed;
3. all information provided is true, accurate, and complete to the best of my knowledge;
4. this proposal is submitted by, or on behalf of, the party that will be legally responsible for service delivery should a contract be awarded.

---

Signature of Authorized Official \_\_\_\_\_ Date \_\_\_\_\_

Name of Signatory: \_\_\_\_\_

Company: \_\_\_\_\_

Title: \_\_\_\_\_ Phone: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Federal Employer ID# or SSN#: \_\_\_\_\_

**PROPOSAL REFERENCES**  
**(Use as page 2 of proposal)**

Vendors shall provide at least three (3) references. Please provide the following information for each reference:

**CLIENT NAME:** Identify the name of the client or site as appropriate.

**CONTACT NAME:** Identify who the point of contact at the client or site should be.

**CONTACT INFORMATION:** Provide the address and telephone number where the client or contact can be reached.

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<u>CLIENT NAME</u>	<u>CONTACT NAME</u>	<u>CONTACT INFORMATION</u>
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1. \_\_\_\_\_

\_\_\_\_\_

2. \_\_\_\_\_

\_\_\_\_\_

3. \_\_\_\_\_

\_\_\_\_\_

## **VENDOR PROFILE**

(Information can be on a separate sheet)

1. What is the physical address, mailing address, and fax number of your company's main office?
2. Who in your company will be our primary point of contact during the proposal evaluation process? (Please provide name, title, direct phone number, e-mail address, fax number, and mailing address).
3. Who in your company is authorized to negotiate a contract with us? (Please provide name, title, direct phone number, e-mail address, fax number, and mailing address).
4. Provide a brief history of your company.
5. Indicate the total number of employees in your company and their distribution by function.
6. Provide most recent annual report and financial statement.
7. Provide standard licensing agreements, warranties and maintenance contracts.
8. Provide a list of partnership(s) with other vendors.
9. Provide samples of your training documentation to include individual desk instructions.
10. Describe your development and project life cycle process.
11. Describe your support services after the final deliverable. For instance, if a defect is discovered after the completion of the project, how do you handle it?
12. Explain the costs involved in making changes (i.e. legislative changes) to the case management system after its completion.
13. List those CMS deployments that you consider most successful.
14. List those CMS deployments that you consider to have failed or had significant delay in deployment. Provide details of the steps taken toward recovery and what is the current status.
15. Provide detail of the CMS Implementations that your company will be engaged in during the same time period (see Appendix C) as the proposed development and deployment of the Arizona CMS.
16. Provide your cost control methodology for ensuring the proposal award price is maintained and "price creep" is avoided.
17. For your evidence of interface and integration capability, please provide examples and references of successful interface solutions that you have accomplished for e-filing and imaging.
18. Describe your disaster recovery plan or provide a copy of such as it relates to case management system data.
19. Provide information on any other products your company markets in relation to judicial case management systems.
20. Provide the list of the case types that your case management system can process.

**SECTION 6  
SAMPLE GENERAL TERMS AND CONDITIONS**

Arizona Supreme Court  
Administrative Office of the Courts

**GENERAL TERMS AND CONDITIONS**

Contractor:

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Contract:

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This addendum supplements and modifies the terms and conditions of the vendor contract described above between the Arizona Supreme Court, Administrative Office of the Courts, and Contractor. In the event of any conflict between the terms of the vendor contract and these provisions, this addendum shall govern. "Court" means the Arizona Supreme Court, Administrative Office of the Courts, and any Arizona court purchasing services under the contract. "State" means the State of Arizona and its departments, agencies, boards and commissions. "Contract" or "Agreement" means the contract described above, including all attachments and exhibits.

**PRICES**

The prices quoted in Contractor's proposal are fixed for the term of the contract.

**INDEMNIFICATION**

Contractor shall indemnify, defend, save and hold harmless the Court, the State of Arizona, and their departments, agencies, boards, commissions, officers, officials, agents, and employees (hereinafter referred to as "Indemnitee") from and against any and all claims, actions, liabilities, damages, losses, or expenses (including court costs, attorneys' fees, and costs of claim processing, investigation and litigation) (hereinafter referred to as "Claims") for bodily injury or personal injury (including death), or loss or damage to tangible or intangible property caused, or alleged to be caused, in whole or in part, by the negligent or willful acts or omissions of Contractor or any of its owners, officers, directors, agents, employees or subcontractors. This indemnity includes any claim or amount arising out of or recovered under the Workers' Compensation Law or arising out of the failure of such contractor to conform to any federal, state or local law, statute, ordinance, rule, regulation or court decree. It is agreed that Contractor will be responsible for primary loss investigation, defense and judgment costs where this indemnification is applicable. In consideration of the award of this contract, the Contractor agrees to waive all rights of subrogation against the Court, the State of Arizona, and their officers, officials, agents and employees for losses arising from the work performed by the Contractor.

**INSURANCE**

Contractor and subcontractors shall procure and maintain until all of their obligations have been discharged, including any warranty periods under this Contract are satisfied, insurance against claims for injury to persons or damage to property which may arise from or in connection with the performance of the work hereunder by the Contractor, his agents, representatives, employees or subcontractors. The insurance requirements herein are minimum requirements for this Contract and in no way limit the indemnity

covenants contained in this Contract. The Court in no way warrants that the minimum limits contained herein are sufficient to protect the Contractor from liabilities that might arise out of the performance of the work under this contract by the Contractor, its agents, representatives, employees or subcontractors, and Contractor is free to purchase additional insurance.

A. MINIMUM SCOPE AND LIMITS OF INSURANCE: Contractor shall provide coverage with limits of liability not less than those stated below.

1. Commercial General Liability – Occurrence Form

Policy shall include bodily injury, property damage, personal injury and broad form contractual liability.

General Aggregate	\$ 2,000,000
Products – Completed Operations Aggregate	\$ 1,000,000
Personal and Advertising Injury	\$ 1,000,000
Blanket Contractual Liability – Written and Oral	\$ 1,000,000
Fire Legal Liability	\$ 50,000
Each Occurrence	\$ 1,000,000

a. The policy shall be endorsed to include the following additional insured language: “The Arizona Supreme Court, the State of Arizona, and their departments, agencies, boards, commissions, officials, agents, and employees shall be named as additional insureds with respect to liability arising out of the activities performed by or on behalf of the Contractor”.

b. Policy shall contain a waiver of subrogation against the Arizona Supreme Court, the State of Arizona, and their departments, agencies, boards, commissions, officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Contractor.

2. Worker's Compensation and Employers' Liability

Workers' Compensation	Statutory
Employers' Liability	
Each Accident	\$ 500,000
Disease – Each Employee	\$ 500,000
Disease – Policy Limit	\$1,000,000

a. Policy shall contain a waiver of subrogation against the Arizona Supreme Court, the State of Arizona, and their departments, agencies, boards, commissions, officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Contractor.

b. This requirement shall not apply to a contractor or subcontractor exempt under A.R.S. 23-901 when such contractor or subcontractor executes the appropriate waiver (Sole Proprietor/Independent Contractor) form.

3. Automobile Liability

Bodily Injury and Property Damage for any owned, hired, and/or non-owned vehicles used in the performance of this Contract.

Combined Single Limit (CSL) \$1,000,000

a. The policy shall be endorsed to include the following additional insured language: “The Arizona Supreme Court, the State of Arizona, and their

departments, agencies, boards, commissions, officers, officials, agents, and employees shall be named as additional insureds with respect to liability arising out of the activities performed by or on behalf of the Contractor, involving automobiles owned, leased, hired or borrowed by the Contractor".

4. Professional Liability (Errors and Omissions Liability)

Each Claim	\$1,000,000
Annual Aggregate	\$2,000,000

- a. In the event that the professional liability insurance required by this Contract is written on a claims-made basis, Contractor warrants that any retroactive date under the policy shall precede the effective date of this Contract; and that either continuous coverage will be maintained or an extended discovery period will be exercised for a period of two (2) years beginning at the time work under this Contract is completed.
- b. The policy shall cover professional misconduct or lack of ordinary skill for those positions defined in the Scope of Work of this contract.

B. ADDITIONAL INSURANCE REQUIREMENTS: The policies shall include, or be endorsed to include, the following provisions:

1. Wherever additional insured status is required such additional insured shall be covered to the full limits of liability purchased by the Contractor, even if those limits of liability are in excess of those required by this Contract.
2. The Contractor's insurance coverage shall be primary insurance with respect to all other available sources.
3. Coverage provided by the Contractor shall not be limited to the liability assumed under the indemnification provisions of this Contract.

C. NOTICE OF CANCELLATION: Each insurance policy required by the insurance provisions of this Contract shall provide the required coverage and shall not be suspended, voided, canceled, or reduced in coverage or in limits except after thirty (30) days prior written notice has been given to the Court. Such notice shall be sent directly to the Court representative and shall be sent by certified mail, return receipt requested.

D. ACCEPTABILITY OF INSURERS: Insurance is to be placed with duly licensed or approved non-admitted insurers in the state of Arizona with an "A.M. Best" rating of not less than A- VII. The Court in no way warrants that the above-required minimum insurer rating is sufficient to protect the Contractor from potential insurer insolvency.

E. VERIFICATION OF COVERAGE: Contractor shall furnish the Court with certificates of insurance (ACORD form or equivalent approved by the State of Arizona) as required by this Contract. The certificates for each insurance policy are to be signed by a person authorized by that insurer to bind coverage on its behalf. All certificates and endorsements are to be received and approved by the Court before work commences. Each insurance policy required by this Contract must be in effect at or prior to commencement of work under this Contract and remain in effect for the duration of the project. Failure to maintain the insurance policies as required by this Contract, or to provide evidence of renewal, is a

material breach of contract. All certificates required by this Contract shall be sent directly to the Court's representative. The Court contract number and project description shall be noted on the certificate of insurance. The Court reserves the right to require complete, certified copies of all insurance policies required by this Contract at any time.

- F. **SUBCONTRACTORS:** Contractors' certificate(s) shall include all subcontractors as insureds under its policies or Contractor shall furnish to the Court separate certificates and endorsements for each subcontractor. All coverages for subcontractors shall be subject to the minimum requirements identified above.

### **PATENTS AND COPYRIGHTS**

Contractor will, at its expense, specifically indemnify and defend the Court and the State of Arizona against any claim that any item furnished under this Contract infringes a patent or copyright in the United States or Puerto Rico. The Contractor will pay all costs, damages, and attorney's fees that a court finally awards as a result of such claim. To qualify for such defense and payment, the Court will give the Contractor prompt written notice of any such claim and allow the Contractor to control, and fully cooperate with the Contractor in, the defense and all related settlement negotiations. If the use of any item furnished under this Contract becomes, or the Contractor believes is likely to become, the subject of such a claim, the Court will permit the Contractor, at the Contractor's option and expense, either to secure the right for the Court to continue using the item or to replace it or modify it so that it becomes non-infringing so long as the item continues to meet the specifications of the original Contract. However, if neither of the foregoing alternatives is available on terms which are reasonable in the Contractor's judgment, the Court will return the item upon the Contractor's written request. The Contractor will grant the Court a credit for returned items in the full amount of the purchase price. The Contractor shall have no obligation with respect to any such claim based upon the Court's modification of the item or its combination, operation or use with apparatus not furnished by the Contractor. This paragraph states the Contractor's entire obligation to the Court regarding infringement or the like.

### **AVAILABILITY OF FUNDS**

Funds may not be currently available for the Court's performance under this Contract beyond the current fiscal year. No legal liability on the part of the Court for any payment may arise under this Contract beyond the current fiscal year until and only as long as funds are made available for performance of this Contract. The Court shall make reasonable efforts to secure such funds. If the necessary funds are not made available, then the Court shall provide written notice to the Contractor and may cancel this Contract without further obligation. The Court shall not be liable for any purchases or subcontracts entered into by Contractor in anticipation of funding.

### **CONFIDENTIALITY**

The parties acknowledge that this Contract and supporting documents are public records subject to the requirements of Supreme Court Rule 123. Any provision requiring non-disclosure is limited to the extent necessary to comply with that rule. In the event a public records request is received for information which Contractor has designated as confidential or proprietary, the Court will notify Contractor as soon as possible.

### **CONTRACTOR'S RECORDS**

To the extent required by ARS § 35-214, Contractor shall retain all records related to this Contract for five years after the completion date. Contractor shall make the records available at all reasonable times for inspection and audit by the Court or its auditor.

**CONFLICTS OF INTEREST**

The Court may cancel this Contract without penalty or further obligation to the State pursuant to A.R.S. § 38-511, if any person significantly involved in initiating, negotiating, securing, drafting, or creating this Contract on behalf of the Court was at the time or becomes at any time, while this Contract or any extension of this Contract is in effect, an employee, contractor or consultant of the Contractor in any capacity. Cancellation shall be effective when the Contractor receives written notice from the Court, unless the notice specifies a later time.

**UNDUE INFLUENCE**

The Court may terminate this Contract if the Court finds that gratuities in the form of entertainment, gifts, or otherwise were offered or given by the Contractor or any agent or representative of the Contractor, to any officer or employee of the Court with a view toward securing a contract or securing favorable treatment with respect to the awarding or amending or the making of any determinations with respect to the performance of a Contract. If the Contract is terminated under this section, the Court shall be entitled, in addition to any other rights and remedies, to recover or withhold from the Contractor the amount of the gratuity. Paying the expense of normal business meals which are generally made available to all eligible customers of the Contractor is not prohibited by this paragraph.

**DISPUTES**

Any dispute arising under the Contract shall initially be decided by the contract administrator. The contract administrator's decision may be appealed according to Court Administrative Policy 7.04. Pending the final decision of a dispute hereunder, Contractor shall proceed diligently with the performance of the Contract in accordance with the contract administrator's decision. Notice is provided of the arbitration requirements of ARS §§ 12-1518 and 12-133.

**NON-DISCRIMINATION**

The parties agree to comply with all applicable court, state and federal laws, rules, regulations and executive orders governing nondiscrimination, including the Americans with Disabilities Act, equal employment opportunity, immigration, and affirmative action. Contractor shall include a clause to this effect in all subcontracts related to this Contract.

**APPLICABLE LAW**

The laws and regulations of the State of Arizona shall govern the rights of the parties, the performance of the Contract and any disputes thereunder. Any action relating to the Contract shall be brought in an Arizona court.

**LICENSES AND PERMITS**

Contractor shall, at its expense, obtain and maintain all licenses, permits, and authority necessary to do business, render services, and perform work under this Contract, and shall comply with all laws regarding unemployment insurance, disability insurance, and worker's compensation.

**RELATIONSHIPS TO PARTIES**

It is clearly understood that each party shall act in its individual capacity and not as an agent, employee, partner, joint venturer, or associate of the other. An employee or agent of one party shall not be deemed or construed to be the employee or agent of the other party for any purpose whatsoever. The Contractor is an independent contractor in the performance of work and the provision of services under this Contract, and taxes or Social Security payments shall not be withheld from a Court payment issued hereunder.

**ARIZONA PROCUREMENT CODE**

The Arizona Procurement Code (A.R.S. Title 41, Chapter 23) and the Arizona Supreme Court Rules Prescribing Procurement Policies and Procedures for the Judicial Branch (Judicial Branch Procurement Rules) are incorporated as a part of this document as if fully set forth herein.

**ASSIGNMENTS AND DELEGATIONS**

No right or interest in this Contract shall be assigned by the Contractor or the Court without prior written permission of the other party, and no delegation of any duty of the Contractor or the Court shall be made without prior written permission of the other party. The Court and the Contractor will not unreasonably withhold approval and will notify the other of its position within 15 days of receipt of written notice by the other. Any attempt to assign any of the rights, duties or obligations of this Contract, or otherwise assign any item acquired under this Contract, without such consent is void.

**SUBCONTRACTS**

No subcontract shall be entered into by the Contractor with any other party to furnish any of the material, service or construction specified herein without the advance written approval of the Court. All subcontracts shall comply with Federal and State laws and regulations which are applicable to the services covered by the subcontract and shall include all the terms and conditions set forth herein which shall apply with equal force to the subcontract, as if the subcontractor were the Contractor referred to herein. The Contractor is responsible for Contract performance whether or not subcontractors are used. The Court shall not unreasonably withhold approval and shall notify the Contractor of the Court's position within 15 days of receipt of written notice by the Contractor.

**PAYMENTS**

Contractor shall submit a detailed invoice for services rendered at the conclusion of the work or at such other time as may be specified in the Contract. Documentation, where appropriate, must accompany each invoice submitted. Court will provide the Contractor with a contract number and the Contractor will reference the number on all invoices. Court shall process and remit payment to Contractor within 30 days of the date of receipt of Contractor's statement or invoice.

**CRIMINAL HISTORY CHECK**

The Court may require Contractor to provide identifying information for Contractor and any individuals working in judicial facilities or having access to judicial information for the purposes of conducting a criminal history records check for security purposes. Contractor agrees to cooperate with such requests and understands that the Court may terminate this Agreement if the results of the criminal history records check would disqualify the Contractor or individual and there is no acceptable alternative.

**AMENDMENTS AND WAIVERS**

Amendments to the Contract shall be in writing and shall be signed by all parties to the Contract. To the extent that any amendments to the Contract are in conflict with the basic terms and conditions of the Contract, the amendments shall control the interpretation of the Contract. No condition or requirement contained in or made a part of the Contract shall be waived or modified without a written amendment to the Contract.

**APPENDIX A**  
**RFP Response Evaluation Sheet**

Evaluation tables are attached. **Competitive pricing must be included for all products and services needed to satisfy the requirements detailed in this Appendix.** These evaluation sheets will be used to compare vendor's product and service offerings. Vendors will use only these sheets or a facsimile of these sheets.

- a. For statements containing "Y", "N", "F" or "P", check the box indicating your solution's ability to comply with each requirement. Explain any requirement that is not marked as "Y" in the comments field. Provide short written answers where applicable.
- b. For all other questions or requests for information, if you are unable to answer in the space provided, additional information may be attached by referencing the question number. Notate in the RFP Response Evaluation Sheet to "see attached."
- c. Costs for **all products and services needed to satisfy the requirements detailed in this Appendix**, should be included in pricing summary.

**Vendor/Proposer Name** \_\_\_\_\_

**The following is in submission for the Judicial Case Management System in the initial 13 counties of General Jurisdiction.**

### **Functional Requirements**

Please complete the RFP Response Evaluation Sheet **within** this document using the instructions provided below. The purpose of this section is to determine the capability of a vendor's product[s] to provide the functionality for the CMS as defined by the AOC. Following is a list of the functional requirements for the CMS.

In the **Answer** column, please select the applicable answer for each functional requirement listed in the tables below:

- "Y" if the functionality exists in CMS;
- "N" if the functionality is not incorporated in CMS;
- "F" if the functionality is currently being developed. Use the **Comments** column to explain when the functionality will be released to the field; or
- "P" if the functionality partially exists in CMS. Use the **Comments** column to explain *what* the functionality is in partial implementation.

The grouping of the individual requirements into categories is an imprecise and subjective process because many – if not all – of the requirements involve more than one discrete category and represent capabilities that apply to multiple categories and/or call for interaction between several categories. In many situations, several functions would be performed contemporaneously; that is, they would appear to be a single function. All of these system functions should work as a single system with a consistent look and feel so users do not perform the same function several times and/or enter the same data more than once. Furthermore, the functions defined by the requirements below should interact with all other functions with minimal or preferably no manual intervention except when the user executes an override.

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
<b>1- ACCOUNTING</b>						
1.1	<p>Allocate parts of fees to be distributed to local and state agencies according to a predefined formula, allowing for override.</p> <p>A portion of the fee paid (percentage of the fine assessed or allotted dollar amount) to a specific fund is to be distributed to the citing/charging agency.</p>					
1.2	<p>Allow for setting and overriding minimum threshold for disbursements of refunds.</p> <p>Provides the court the ability to accumulate a minimum dollar amount for disbursements before disbursing to payee. This assists with defendants that are in prison and only earn pennies for the day.</p>					
1.3	<p>Financial functionality should comply with Minimum Accounting Standards.</p> <p><a href="http://www.supreme.state.az.us/orders/admcode/pdfcurrentcode/1-401.pdf">http://www.supreme.state.az.us/orders/admcode/pdfcurrentcode/1-401.pdf</a></p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
1.4	<p>Identify cashier on all transactions.</p> <p>Simple Identifier unique for each person taking money transactions, e.g., <i>deputy code</i>.</p>					
1.5	<p>Initiate, print, and disburse refund checks individually or cumulatively within user specified date range.</p> <p>Check layout for each individual bank account, for each court location. Provide the ability to create the disbursement record, record edit, and print option by check number or specified issue date.</p>					
1.6	<p>Initiate, print, and disburse sequentially numbered checks, stop payment on checks, void checks, identify and process outstanding checks, report on checks that have cleared, and record checks on check register.</p> <p>Provide a disbursement module and disbursement reports with a view/print option by specified date range, issued date, check number range, disbursement type, and all disbursement records.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
1.7	<p>Post, process and track partial payments from litigants or defendants subsequent to judgments.</p> <p>Provide a view/print option to view Restitution or deferred assessments, payments, partial payments, contract/agreement, current calendar proceedings and outstanding balances.</p>					
1.8	<p>Allow a maintained account structure that permits funds to be allocated to appropriate accounts, e.g., for city, county, state, court.</p> <p>Provides the ability to establish an allocation criteria that determines how fees received are disbursed among designated agencies.</p>					
1.9	<p>Apply adjusting entries without changing or deleting previously recorded transactions. Record and store adjusting financial entries.</p> <p>Provide the capability in the general ledger to track reversing or adjusting journal entries</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
1.10	<p>Provide for bank account reconciliation.</p> <p>Compiles bank deposits, outstanding checks, bank charges/credits and provide a "projected" bank reconciliation balance. Bank account reconciliation should allow for multiple banks with bank deposits, outstanding checks, bank charges and credits for each bank account.</p>					
1.11	<p>Capture and track negative balances for fee book agency fund, converting negative balance to zero until shortage is recovered.</p> <p>If money is misallocated in a prior month and has already been disbursed to the incorrect agency the court must have the ability to correct the shortage by moving the money to the correct agency/agencies this month and have the report track the shortage from the incorrect agency from month to month until the money is recovered.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
1.12	<p>Create and maintain pre-determined chart of accounts.</p> <p>Provide the ability to link financial events( payment of fine) to financial actions ( 3 - Receipt) to associated financial account ( Fine Receivable) and determine the direction of charge to account balance (debit or credit)</p>					
1.13	<p>Create general ledger by posting journal entries, subsidiary ledger totals, and other information to each account in chart of accounts.</p> <p>Standard general ledger features</p>					
1.14	<p>Disburse funds electronically to recipient bank accounts.</p> <p>Provide the ability to cut checks electronically to any recipient, e.g., <i>direct deposit of a restitution check.</i></p>					
1.15	<p>Electronically authorize and transfer collected fees to other agencies.</p> <p>Provide the ability to cut checks electronically to agency, e.g., direct deposit of an agency bank account.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
1.16	<p>Establish individual and combined bank accounts.</p> <p>Bank accounts would consist of Repository accounts/Trust accounts/Interest bearing accounts</p>					
1.17	<p>Provide IRS prompt for transactions of \$10,000 and more.</p> <p>Provide a simple pop up message if the transaction is equal to or more than \$10,000 cash that an IRS form must be completed.</p>					
1.18	<p>List discrepancies among payments, receipts, and cases over specific periods for each cashier for whom summary shows imbalance, e.g., financial audit.</p> <p>Discrepancies would include voided receipts, financial adjustments, shortage and overage activity, and corrections performed by management for the specified cashier.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
1.19	<p>Maintain and track various types of individual and combined bank accounts and balances by case, due date, and party, e.g., general ledger.</p> <p>Provide ability to record status of disbursement checks, consisting of checks redeemed, voided and lost/returned, Also including the ability to print reports for all statuses, including checks outstanding ( not redeemed), and checks written by case, party, check number, issue date and date range.</p>					
1.20	<p>Maintain state standard tables for court costs and fees.</p> <p>Which would include linking fines to specific events. Include dropdown boxes which only show the events which are linked to specific charges. IE only allowable entries appear for the user</p>					
1.21	<p>Populate subsidiary ledger, reconcile and balance all accounts automatically, e.g., <i>general ledger</i>.</p> <p>Standard general ledger feature</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
1.22	<p>Post interest accruals to bank accounting records.</p> <p>Interest accrued on the Restitution balance should automatically be posted to the account receivables for the cases/parties.</p>					
1.23	<p>Post non-case related receipts and disbursements to accounting records and associate both with proper account.</p> <p>journal entries that will allow entries of fees when no offset e.g., Passports, copy fees, notary fees</p>					
1.24	<p>Prevent financial transactions from being dated and posted to a closed accounting period.</p> <p>Once money has been disbursed to outside agencies for the month no receipts or adjustments should be allowed to be back dated to reflect that month.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
1.25	<p>Print and reprint bank deposit slips for specific banks and user specified date ranges.</p> <p>Compile check number and amount from receipts and provide a deposit slip that can be printed and reprint for a specified data range.</p>					
1.26	<p>Produce check register for user specified date range.</p> <p>Provide a check register or check ledger which displays and prints activity for a specific user for specified date range.</p>					
1.27	<p>Produce list of items that remain open for accounts that carry balance forward from one period to next period, e.g., bonds.</p> <p>Report that displays multiple bond types that have been ordered, posted, transferred, disbursed and/or forfeited.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
1.28	<p>Produce trial balance and balance report for each account over specified date range, e.g., at end of month before posting to general ledger.</p> <p>Provide ability to view or print disbursement, forfeiture, posting, transaction, and reversing journal balance report by date range, individual or specific category of work. Reports should display recorded ledger entries with the ability to view transaction that are not recorded on the journal and/or ledger</p>					
1.29	<p>Prohibit modification of receipt number sequence and provide audit trail of receipt number usage.</p> <p>Provide an audit trail report of receipt number usage by receipt number or specified date range.</p>					
1.30	<p>Provide capability to issue checks for pass through, e.g., trust, monies individually or periodically based on accumulated payments.</p> <p>Allow for setting and overriding minimum threshold for disbursements of refunds.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
1.31	<p>Provide functionality to establish and maintain draw-down accounts.</p> <p>Provides attorney's the ability to file cases and have the filing fees automatically withdrawn from an account that they have pre-paid towards. Very beneficial when filing in bulk.</p>					
1.32	<p>Provide information for disbursement of undistributed/unclaimed moneys, e.g., unreturned checks for moneys paid by court, update ledgers, and produce reports, e.g., for each check not cleared over specific period.</p> <p>Ability to track issue date, mailed date, returned date, and compute days from issued date to present.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
1.33	<p>Record and maintain front-counter bookkeeping information on receipts and disbursements, e.g., register numbers.</p> <p>Post register number, user, date time, transaction type, receipt number, bank account to generated receipt. With the ability to print a report with completed receipt information by specified users, register number or bank account.</p>					
1.34	<p>Submit and track overages and shortages to collected fees.</p> <p>Provide the ability to enter shortage and overage to bank deposits with entries to reflect on the daily closing reports.</p>					
1.35	<p>Display or print lists of transactions for specific cases within user specified date range.</p> <p>Provide a transaction log for a case/party with the ability to view/print for a specified date range.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
1.36	The system should provide for adjusting an account balance to avoid carrying a negative balance forward. (This would occur if a payment was made and fine money was applied to an account that is not a common account, the money was disbursed at the end of the month, and then the payment was voided).					
1.37	The system should have the ability to track and provide notification of returned checks to the payee.					
1.38	The system must have the ability to void a check. The system must force the user to enter a reason code or description.					
1.39	The system must allow users to queue checks in a variety of sequences.					
1.40	The system should allow for the including of payments of restitution for several cases on one check. A list of cases and amounts should be included with the check.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
1.41	The system must set an indicator for amounts of money that have not been disbursed after a year (i.e. restitution due to a victim but court does not have a current address for the recipient). So that some action can be taken to resolve the undisguised fund.					
1.42	The system should allow for the entry of debit and credit adjustments. A comment should be provided for the entry of information that would explain the adjustment.					
1.43	The system must have the ability to calculate and assess "convenience fee" for costs incurred by customers using credit cards.					
1.44	The system should have the ability to alert a financial user of any condition that might affect period-end balancing being successfully completed (e.g. negative account balance, missed bank deposits)					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
<b>2- ADJUDICATION</b>						
2.1	<p>Provide a judgment screen that displays case/parties caption, date of judgment, type of judgment, post adjudication activity.</p> <p>Provide the ability to track single/multiple creditors and debtors, multiple judgment for single/multiple debtors, with the ability to track amended judgment amounts.</p>					
2.2	<p>Process and track information concerning post adjudication activities.</p> <p>Provide the ability to store/track single/multiple creditors and debtors, multiple judgment.... (financial/property/material) for single/multiple creditors and debtors (counterclaim judgment), with the ability to store amended judgment amounts.</p>					
2.3	<p>Provide the ability to enter sentencing and disposition in same screen.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
2.4	<p>Allow the entry of credit for time served or excludable time into sentence imposed for each combination of charge and defendant in accordance with statutes, rules, or procedures.</p> <p>e.g., A defendant on warrant status should be counted as excludable time. Need a way to track within a CMS.</p>					
2.5	<p>Allow for the entry of monetary and non-monetary obligations based on sentence imposed for each combination of charge and defendant in accordance with statutes, rules, or procedures.</p> <p>Ability to enter monetary and non-monetary obligations at the charge level and the case level, e.g., defendant has been sentenced to 3 charges, charge 1 \$50, charge 2 \$150 &amp; 3 months probation, and charge 3 \$75 &amp; counseling.</p>					
2.6	<p>Calculate and track consecutive and concurrent sentencing.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
2.7	<p>Compute expiration date of probation with ability to override.</p> <p>If the defendant has been sentenced to two years of probation starting today it should calculate the expiration date of probation. This would assist in case flow so that the clerk can keep track of what paperwork they should be expecting from the probation department.</p>					
2.8	<p>Maintain and record disposition and sentence for each case, charge, and sequence.</p> <p>Ability to maintain disposition history</p>					
2.9	<p>Process and distribute electronically all dispositions and post judgment information, e.g., update docket and other records, if not updated automatically.</p>					
2.10	<p>Provide user with assessment tools, risks, and probable results to assist with decision on referral.</p> <p>Assessment tools that forecast probability of recidivism. Applicable to Juvenile case types.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
2.11	Record resolution/disposition type, e.g., type of judgment including those involving entire cases, individual or multiple issues, individual parties, multiple cases, and cross petitions.  Ability to record all the items listed within the same screen.					
2.12	Ability to track partial compliance of sentencing conditions (e.g., <i>partial community restitution, traffic school, alcohol school, AA</i> ).					
2.13	Provide the ability to designate which cases need to be seen by court intervention program (e.g., <i>DWI/Drug Court, pretrial diversion</i> )					
2.14	The system should allow for re-sentencing when a revocation of probation has been ordered.  Allow update to charge dispo screen for modification of sentencing					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
<b>3- ARCH/PURGE</b>						
3.1	<p>Identify and automatically archive or purge cases/parties per retention schedule based on case type and automatically post event to docket.</p> <p>Based upon retention schedule have a queue that identifies all cases that are eligible to be purged/archived and allow the user to select individually or all of the cases they agree should be purged/archived.</p>					
3.2	<p>Provide functionality for re-opening previously closed cases.</p> <p>If a case was archived or purged in error or ordered to be re-opened, provide the ability to re-open the case for further processing.</p>					
<b>4- Calendar/Scheduling</b>						
4.1	<p>Provide the ability to calculate incarceration days and excluded days (Rule 8). See also Case Event/Alert function group.</p> <p>Provide the ability to enter commence date, incarceration days, deduct time served/excluded days and be provided with the release date.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
4.2	Provide the ability to enter a party name or participant and have the system list all hearing dates for that person for all case types connected to that person or party.					
4.3	Provide the ability to have court calendar viewable on the internet.					
4.4	Provide the ability to maintain/display history of judicial officers presiding at all proceedings.					
4.5	Allow associated cases to have same scheduled date and time.					
4.6	Apply specific change, e.g., judge, hearing type, case type to multiple schedules.					
4.7	Assign and reassign individual and group of judges randomly or by other pre-defined methods.					
4.8	Assign and reassign individual or group of cases from one judge or calendar to another.  If a judge is out sick for the day, provides the ability to reassign his calendar workload for the specified date range to another judge's calendar.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
4.9	<p>Allow for calendar entry, docket entry, and notice generation to be combined in one step with option for descriptive data.</p> <p>At the same time of the calendar entry the system automatically writes to the docket and if applicable generates a notice to be mailed out to all necessary parties.</p>					
4.10	<p>Create and maintain judges' notes for judges' viewing only in accordance with rules and statutes.</p> <p>Provides the ability for the judge to add his/her own notes that can only be viewed by the judge for a case within the CMS.</p>					
4.11	<p>Display or print summary calendar information and provide interface to other parts of system to access other types of information.</p>					
4.12	<p>Chronological view of calendar which displays past and future scheduled events by date, judge, case/party or participant.</p>					
4.13	<p>Generate docket entry automatically based on scheduled and completed events.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
4.14	Identify and display schedule conflicts.					
4.15	Identify party hearing attendance requirement and compliance.  Must be able to identify all the parties that are required to attend and if they complied.					
4.16	Maintain availability on judges, attorneys, participants and court facilities.					
4.17	Relate individual judges and group of judges to courtrooms, departments, benches and staff.					
4.18	Schedule maximum number of cases for specific time interval by event.  Ability to set a limit on the number of cases that can be scheduled for a time period for a specific event.					
4.19	When multiple schedules change, modify records of all affected entities.					
4.20	Ability to display case participant check in information on judge's bench calendar to identify FTA					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
4.21	The system must have the ability to vacate an arraignment automatically if a Waiver of Arraignment/Notice of Appearance has been docketed in the system.					
4.22	The system must have the ability to estimate the anticipated length of scheduled trials based on pre-defined criteria. e.g. Jury Trials, Bench Trial, Hearings					
4.23	The system must provide the ability to produce a "continuance date sheet" (a list of all possible next court event dates) for use in high volume courtrooms. This list would indicate the next available times for a particular judge and/or courtroom within a designated date range. This list must be available online and in printed form. The system must allow court staff to schedule continuances of cases from the courtroom, using the "continuance date sheet" function. The scheduling of continuance in the courtroom must update the schedule in real time, so that the current status of the schedule is always up-to-the-minute throughout the system.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
4.24	The system should provide a method of tracking attorney schedule conflicts.					
<b>5- CASE EVENTS/ALERTS</b>						
5.1	<p>Establish cross references between consolidated cases for docketing, scheduling, notice generation, and other functions.</p> <p>When consolidated, one case is the parent. Other cases should be flagged as child cases, but all activities and notices should be updated through any entry on the parent case.</p>					
5.2	<p>Enter decision on referral, e.g., file a petition in juvenile court, conduct informal adjustment or diversion program, in conjunction with juvenile court support functions, refer to medical or social evaluation, reject, in intake file and retain all information on referral.</p> <p>This is Juvenile functionality, so I think it is best to state that data needs to be shared between new CMS and JOLTS.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
5.3	<p>Record if filing requires special consideration such as time-sensitive filing that requires rapid action, e.g., schedule emergency child abuse hearing even though only minimal data available, issue restraining order, process stay request or ex-parte filing, or case in special category.</p> <p>To include cases specified as Complex case. The system must allow event entry to trigger events, ticklers, calendar settings, or other actions without additional user involvement.</p>					
5.4	<p>Provide the ability to designate cases that have a criminal debt converted to civil judgment, e.g., restitution lien.</p> <p>e.g., When a defendant successfully terminates probation but still owes restitution, the system must allow an easy process to convert the restitution balance to a civil judgment.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
5.5	<p>Allow events to be associated with one, all or specified parties.</p> <p>e.g. a calendar event may require all, one or some of the parties on the case.</p>					
5.6	Allow for email notification capability.					
5.7	<p>Allow for filing and entry of initial value of inventory.</p> <p>In probate estate cases, the personal representative must file an inventory on the estate. The system should allow for the entry of the initial value of the inventory and display discrepancies in the value upon subsequent annual reports.</p>					
5.8	<p>Allow functionality to appoint fiduciaries and set restrictions.</p> <p>In probate, guardianship and conservatorship cases, users require functionality to appoint new or existing parties as fiduciaries on cases, set the restrictions as ordered, and track reporting compliance.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
5.9	Automatically perform case closing routine, e.g., change status to closed; update docket; generate required forms, notices, reports and flag case as complete.					
5.10	Allow for entry and tracking of all charges, initial and modified, filed in the court and linked to defendant and incident. e.g. History of transaction for the charges.					
5.11	Allow for the entry and tracking of information once and automatically apply to multiple cases or individuals.  Having the capability to list the cases/parties that would receive the docket entry or updated case status.					
5.12	Allow for the tracking of attorneys for a specific case or multiple cases.  Attorney history on a case, and a listing of all cases on which an attorney is of record.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
5.13	<p>Allow for the entry and tracking of information on special case processing requirements or orders, e.g., sealed case or document, suppressed indictment.</p> <p>Sealing and Un-sealing functionality can be for a case, a document, a party (demographic information).</p>					
5.14	<p>Process and store information pertaining to temporary actions, e.g., informal supervision, shelter care, or temporary protective custody, including recording events; creating letters, forms, and pleadings</p> <p>Self Explanatory (requires integration or an interface with APETS and JOLTS)</p>					
5.15	<p>Process, and store intermediate and final information pertaining to outside agency program or internal program.</p> <p>Self Explanatory (requires integration or an interface with APETS and JOLTS)</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
5.16	<p>Capture unique qualifiers in all charges, e.g., class reduction, class, domestic violence.</p> <p>Legal modifier that qualifies the charge. Also known as "Charge Attribute - additional information that notifies the court of special conditions". Also a flag for special case types that need differentiated management or special reporting requirements to local and outside agencies.</p>					
5.17	<p>Generate alert for judges, attorneys and participants when schedule is unavailable.</p> <p>This is on the user side, when scheduling. A block or at least a flag to alert the scheduler that the proposed date and/or time will not work.</p>					
5.18	<p>Generate alert when displaying cases that are not public record.</p> <p>When viewing a case that is restricted to the public, the case should be flagged so the clerk viewing the record knows that the information within the file is sensitive.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
5.19	<p>Generate alert when maximum number of events are scheduled.</p> <p>Once the maximum number of cases have been scheduled a pop up message should be displayed indicated so.</p>					
5.20	<p>Generate report or display that lists all events due on specific date or date range sorted by date, event or other criteria.</p> <p>This is case management functionality, e.g. <i>a summary screen that displays significant due dates, tickler events, etc.</i></p>					
5.21	<p>Identify activities and conditions that can prevent case from being closed, e.g., outstanding or open charge, unpaid fines/fees/judgments.</p>					
5.22	<p>Identify capital or complex designation.</p> <p>When a litigant requests and court designates an action as a "complex case" (multiple defendants with different time lines) or a capital case (death penalty case).</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
5.23	<p>Identify completed events and prompt users.</p> <p>e.g. a motion to continue is granted, so upon saving the event, the system navigates automatically to the scheduling screen for scheduling the new date.</p>					
5.24	<p>Maintain multiple current and historical addresses, with beginning and ending dates, for parties on the case.</p>					
5.25	<p>Merge multiple related referrals for single child into one course of action.</p>					
5.26	<p>Allow for on screen view of item creation and modification information.</p> <p>This is an on screen user audit, i.e. who initially entered information, who updated, what was updated and when it occurred.</p>					
5.27	<p>Produce documents for resolutions and dispositions.</p> <p>Minute entries, judgments, etc.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
5.28	<p>Provide ability to flag electronic files when hard-copy file has been reported lost.</p> <p>Assists with file tracking</p>					
5.29	<p>Provide ability to track requestor and result of each event.</p> <p>Ability to track who requests that an event occurred within the case as well as the outcome of that event, e.g., result code.</p>					
5.30	<p>Provide tickler capability; prompt or notify users of events coming due or overdue and initiate proper functions.</p>					
5.31	<p>Provide user-activated or de-activated visual reinforcements for alerts such as flashing text or colors on screen.</p>					
5.32	<p>Provide warning when scheduled events and groups of events do not conform to statutory time standards and other established guidelines.</p> <p>e.g. when scheduling out, user should not be able to schedule past the speedy trial deadline as defined by case type or other criteria.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
5.33	<p>Track the hours of contract participants, e.g., interpreters (Appendix I), attorneys.</p> <p>If contractors are billing by hearings attended, or hourly, user should be able to enter hours or hearings on specified cases and/or case events.</p>					
5.34	<p>Allow for Title IV-D designation/ automatic status/ calendar scheduling based on Title IV-D rules and business practices.</p>					
5.35	<p>Track document service, return of service, proof or certificate of service, re-service if necessary, and notification to all appropriate agencies and any other events.</p> <p>Provide the ability to record document service dates for single/multiple parties. Apply to an OP in a municipal court</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
5.36	<p>Track reasons for issuance, resolution, and status of all warrants and other served documents, e.g., subpoenas, bench warrants, search warrants, warrant recalls, capiases.</p> <p>Provide the present and historical history of served document issuance and dates.</p>					
5.37	<p>Use events captured in minutes to update records throughout system.</p> <p>Provide the ability to select associated event or records (e.g. address records) that will update when minute entry is saved and posted.</p>					
5.38	<p>When cases are consolidating and un-consolidating, display an alert that multiple records may be affected.</p> <p>Provide a pop-up window that will alert that multiple cases/parties will be effected with a case is consolidated or unconsolidated,</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
5.39	<p>Include case age (number of days) with any display of case status or adherence to schedules. (CourTools)</p> <p>Display the duration in days that the case has been on the current status.</p>					
5.40	<p>Provide the ability to calculate incarceration days and excluded days (Rule 8). See also Calendar/Scheduling function group.</p> <p>Provide the ability to enter commence date, incarceration days, deduct time served/excluded days and be provided with the release date.</p>					
5.41	<p>Allow user management team to define frequency of prompts at user level; user can set special alerts and remarks which can be printed on calendars and displayed on courtroom display screens.</p> <p>Possibly display a flag for interpreter or victim advocate needed for a case/party on the printed calendar and displayed on the courtroom screens. (See Appendix H)</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
5.42	Display alert to a user not authorized to see a portion of or a field within a record (e.g. clerk views a sealed document)					
5.43	Ability to block the acceptance of future payments by check and trigger a returned check alert. The duration of the block period against the issuer will be defined by local business rules.					
5.44	Flags special conditions, (e.g., <i>post and forfeitable; night service; do not release on own recognizance, etc.</i> )					
5.45	Provide person status to user (e.g., <i>when a repeat offender is in before pretrial release or the judge</i> ) telling Judge the status of time payments of fees and fines in previous cases.					
5.46	Provide an alert to prevent a personal check from being receipted for restitution or bad check cases, according to local policy.					
5.47	The system should provide a mechanism for notifying interested parties of the receipt of a case.  Cases transferred between Superior Court & Limited Jurisdiction					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
5.48	The system should provide for automatic assignment of counsel, the assignment of conflict counsel, and the assignment of standby counsel					
5.49	The system should distinguish between private counsel and a public defender					
5.50	The system should record the application for assignment of counsel and any order or motions associated with the process					
5.51	The system must provide the ability to inquire as to the counsel of a co-defendant in order to avoid a conflict of counsel.					
5.52	The system must have the ability to maintain a list of qualified counsel for assignment including the number of cases to which counsel has been appointed per year, the number of cases that counsel may be assigned per year and must have an indicator when a counsel has reached its case limitation for the year.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
5.53	The system must have the ability to maintain a list of approved bondsmen/agents and track the history, current total obligations, obligation limits, defaults, unsatisfied judgments and any restrictions imposed upon them.					
5.54	The system should assist the user in refunding bail after the expiration of the appeal period.					
5.55	The system must have the ability to set an indicator for any other cases for which a bench warrant has been issued to the defendant or non-criminal warrants issued to defendant or other parties.					
5.56	The system should provide a mechanism for warrant reviews.  Ability to monitor aging warrants					
5.57	The system should allow for a bench warrant to be issued for counsel or a witness.  Issue warrants for non-parties					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
5.58	The system should provide the ability to designate attorneys from out of state with provisional rights to represent parties in AZ (pro hac vice).					
5.59	The system must provide the ability to track the number of times that counsel changes for a case and the reason.					
5.60	The system must have the ability to record whether a person has been rejected from a diversionary program.					
5.61	The system must have the ability to present diversion history for a specific defendant to help determine eligibility for the program.					
5.62	The system must have the ability to record special needs requirements for individuals involved in the jury, defendants and witnesses.					
5.63	The system must have the ability to record the date that an interlock device has been installed.					
5.64	The system must have the ability to establish a date by which post adjudication motions must be received. The system must have the ability to modify the post adjudication due date.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
5.65	The system must have the ability to record an order for trial transcripts and notify those parties who need to respond. The system must also track the date transcripts are due and set a tickler for the case if they are not submitted in time.					
5.66	The system should provide a list of prisoners to be transported to court events. This list must be available several days before the court action.					
5.67	The system must have the ability to track the progress of preparation of all required documents and transcriptions for the case to be forwarded to the appellate court.					
5.68	The system must have the ability to link a search warrant miscellaneous case number to a criminal case after the case number is established.					
5.69	The system must have the ability to establish a date by which a sealed search warrant will be unsealed and permit an extension to the date for the unsealing					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
5.70	The system must have the ability to set an indicator if restitution cannot yet be determined and notify the County Attorney.					
5.71	The system must have the ability to identify cases that have portions sealed.  Used for mental health and restricted information					
5.72	Fingerprint screen to determine if any charges require fingerprinting					
5.73	The system must have the ability to select the most severe charge for issuing warrant and days for dollars.					
5.74	The flag or means of tracking how a court proceeding is recorded. e.g., Stenographic; Court reporter; FTR; Audio/Visual/Digital.					
<b>6- CASE FINANCIALS</b>						
6.1	Allow for the modification or deletion of a transaction in the system.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
6.2	<p>Generate accounting notices, e.g., FARE notices, notice of payment due.</p> <p>Provide the ability to pull receivable balances and print notices with automatic posting to docket.</p>					
6.3	<p>Post case-related disbursements to accounting records and register of actions</p> <p>Provide the ability to post case-related disbursement ( type of disbursement, check #, bank account, user) events to accounting record and register of actions</p>					
6.4	Post interest accruals to receivables.					
6.5	<p>Provide appropriate security and authorization for all accounting functions</p> <p>Provide the ability to allow or disallow accounting functions to User groups or specific users.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
6.6	<p>Support trust fund accounting, e.g., post trust funds to case; track receipts, disbursements, account status; credit interest; reports, process refunds and forfeitures.</p> <p>Provide a module that tracks the process of disbursements with the ability to print reports.</p>					
6.7	<p>Transfer collected funds from one case to another or between receivables.</p> <p>Allow for the collected funds to be transferred from one case or another or between receivables for a person.</p>					
6.8	<p>All case financial transactions should be based on the fee schedule and other statutorily authorized monetary obligations, but also provide flexibility to include local financial transactions.</p> <p>Having the capability to assign statutorily authorized mandatory minimum or mandatory maximum monetary obligations.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
6.9	<p>Allow allocation of payments across selected cases.</p> <p>If defendants makes a \$500 payment and has 5 cases within the court provide for the ability to allocate the monies to one or all of the cases.</p>					
6.10	<p>Automatically record funds received from other local, state, and private units in real time or batch, e.g., court-ordered payments, state tax intercepts, FARE/TIP.</p> <p>Allow for a feed from a source outside of the application in which automated receipts can be processed in real time or in batch.</p>					
6.11	<p>Compute fees based on occurrence of specific event, e.g., quantity.</p>					
6.12	<p>Allow for joint and several liability.</p> <p>Which would include automatic reduction of assessment for co-defendants.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
6.13	<p>Create payment schedule, apply payments received to scheduled amount due, and produce reports on balance and/or overdue amounts</p> <p>When a defendant is adjudicated, the monetary obligation is distributed equally by payment frequency (weekly, bi-monthly, monthly). If payment is made funds are disbursed per contract/agreement. Report should display arrearage balance.</p>					
6.14	<p>Debit accounts established by attorneys to cover court expenses, and credit attorney accounts based on electronic funds transfers from attorney bank accounts, debiting attorney credit card accounts, and writing on-line checks</p> <p>Provides the ability to withdraw filing fees electronically (debit, credit card, electronic transfers from trust accounts). Really only applies to a high volume court</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
6.15	<p>Identify and record arrearages, generate alerts and prompt user when scheduled payments are not made.</p> <p>Record calculated arrearages on accounts receivables screen. When a payment is being made on a contract/agreement, if arrears exist, alerts the user with a pop-up screen displaying the calculated arrearages.</p>					
6.16	<p>Maintain case financial docket that can be isolated from general docket.</p> <p>Allow the option to view only financial transactions for the case/party from the general docket. Financial transaction consisting of payments, receipt information, NSF, disbursement, forfeitures and financial notices.</p>					
6.17	<p>Place hold on disbursements of funds deposited for a case and allow release holds individually or in batch as individual and multiple checks.</p> <p>Allow the option of printing the disbursement at the time of record creation or allow a "hold" to be placed for printing at a later time individually or in batch.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
6.18	<p>Post case-related receipts to accounting records and register of actions.</p> <p>Post case-related receipts to accounting records and ROA when case appears on single case receipt or multiple-case receipt.</p>					
6.19	<p>Process and track fee waivers, deferrals and suspensions.</p> <p>Record waived, deferred or suspended fee amounts on account receivables screen.</p>					
6.20	<p>Provide capability to adjust receivables when directed by court order, e.g., write off uncollected debt when obligor dies.</p> <p>Provide the ability to adjust receivables by a specific dollar amount or full ending balance.</p> <p>Jail time or community restitution in lieu of fines. Must have the capability to show jail time/community restitution in days and hours. death of defendant.</p>					
6.21	<p>Receipt and distribute fees associated with parties that may or may not be case related and process appropriately.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
6.22	Track non-monetary obligations, e.g., community restitution, time served in lieu of reduction of fines and fees.  Provide the ability to create/track/edit/view current/historical non-monetary obligation. (storing commence dates, time served, agency and another example would be traffic school)					
6.23	Automatically calculates the interest due on judgments and other receivables.  Includes interest ordered by judge for civil judgment					
6.24	Ability to capture, update, and display the financial information (e.g., income, assets, monthly expenses, etc) for the defendant which will help determine payment plan.					
6.25	Ability to add or remove a case from a payment plan without affecting existing payment plans.					
6.26	Ability to look up defendant collection information (e.g., collection case number, court case number and defendant name)					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
6.27	<p>Ability to enter a civil lien (e.g., public defender lien, civil money judgment and restitution)</p> <p>For example a case that only owes public defender fees the judge can convert to civil judgment so that the public defender is responsible for collecting the fees not the court. Case is closed not completed.</p>					
6.28	Ability to track bail and property bonds					
6.29	<p>Ability for the system to automatically apply a prepaid deposit to the appropriate case once the judgment has been issued.</p> <p>Example payment posted before complaint is filed</p>					
6.30	<p>Ability to enter a request for processing refunds and to print a list of refund requests which can be sent to the finance department for processing.</p> <p>Ensure compliance to MAS</p>					
6.31	System automatically moves customer accounts into collection based on locally defined parameters <i>utilizing the current GJXDM standard</i>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
6.32	Provide report of defendants on payment plans (e.g., payments, placements, active accounts, compliance statistics, non-compliance)					
6.33	The system should provide for the setting of one bail amount for several cases.					
6.34	The system should default to the oldest case for payment when a defendant has multiple cases. The user needs to be able to override the default.					
6.35	The system should provide for the collection, recording and distribution of diversion fees.					
6.36	The system must be able to allow the user to assess/receipt fees while a case is in pre-adjudication, e.g., public defender fees.					
6.37	The system must have the ability to require a reason code or description field when a change is made to a financial obligations on a case until the case is closed.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
6.38	<p>The system must be flexible enough to accept payments at multiple office locations for the same case. All daily and monthly accounting reports must account for all receipts from all offices.</p> <p>Superior courts may have more than one location e.g. Gila County</p>					
6.39	<p>The system must be able to recommend a payment schedule that will ensure full payment within statutory time limits. This payment schedule must be available for printing immediately after sentencing is recorded, either in the courtroom or by a clerk at another court location.</p>					
6.40	<p>When restitution is jointly and severally owed by multiple defendants, and one of the defendants has paid more than his/her allocated share, the system must be able to designate the overpaying defendant as the recipient of the restitution amounts still owed by the other defendants.</p>					
6.41	<p>The system should provide a search for other cases of the defendant's which have case balances before issuing a refund.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
6.42	The system must ensure that the amount to be refunded has been previously received by the courts. If the payment was made by check, the system must ensure that the check has been cleared before allowing the refund to be generated. If the payments or portion of payments were made by an employer or the State of Arizona, the system must refund the money to the entity that made the payment.					
<b>7- CASE INITIATION/INDEXING</b>						
7.1	Generate and assign separate party identifier for each party, e.g., party type and number "D-1".					
7.2	Accommodate aliases in conjunction with indexing and the processing of party names.  Ability to attach/view alias record when creating party name record or to existing party name record					
7.3	Allow for the entry of a booking number.  Provide the ability to enter/track current/historical booking numbers and booking dates for single/multiple arrests.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
7.4	<p>Allow for the entry of in-custody indicator with the ability to update from multiple screens.</p> <p>Provide the ability to enter/track single/multiple party's incarceration status on a case.</p>					
7.5	<p>Allow for party types to hold more than one role in a case, e.g., relationship, age at death, etc.</p>					
7.6	<p>Allow full flexibility concerning demographic data entry including required and non-required fields, e.g., relationship, age calculator, profession, etc.</p>					
7.7	<p>Allow for random court appointed attorney assignment.</p>					
7.8	<p>Allow user to designate the nature of the relationship between cases, e.g., codefendants, multiple cases against same defendant.</p> <p>Provide the ability to interconnect cases.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
7.9	<p>Assign appropriate security to records, particularly those with data on children and other minors, e.g., for each party with increased security for child and family records.</p> <p>Provide the ability to restrict access to single/multiple parties for one, some or all screens. E.g. social security number, date of birth</p>					
7.10	<p>Automatically identify lead charge, if appropriate, among group of charges for a given defendant, e.g., the most serious charge.</p> <p>Automatically rank classification from highest to lowest for charges by party.</p>					
7.11	<p>Allow for batch processing of forcible detainers and writs of restitution.</p> <p>Provide the ability for creating new filings and receipting multiple filings of the same type of cases. Very useful for high volume filings in bulk</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
7.12	<p>Convert one referral for family or multiple persons into separate petitions and track separately through resolution for each juvenile.</p> <p>Provide the ability to split one case into two different cases.</p>					
7.13	<p>Coordinate and track changes in case numbers, individual identifiers and other identifiers, e.g., across courts, criminal support units, Criminal Justice agencies, and non-justice agencies.</p> <p>Provide a ability to store modification made to court/case identifiers.</p>					
7.14	<p>Allow for court identifiers.</p> <p>An identifier to distinguish court entities</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
7.15	<p>Create groups of related cases, charges, petitions, juveniles, other parties, participants, court types, locations, and departments from single or multiple filings such that future actions can be applied to each case in group.</p> <p>Provide the ability to update docket, status of case, disposition for cases/parties that have associated case type.</p>					
7.16	<p>Designate cases with special scheduling needs, e.g., interpreter, disabilities</p> <p>Provide the ability to record special needs associated to party/parties on a case.</p>					
7.17	<p>Ensure only single set of demographic data exists for each defendant, e.g., various identifiers for given defendant must be correlated.</p> <p>Provide the ability to create one party record even though he/she may be a defendant on one type of case and a Petitioner on another but only one current address record, physical characteristic record and receivables record exists for party.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
7.18	<p>Enter arrest, custody, and bail information for each defendant or acquire this information electronically from criminal justice agency.</p> <p>Provide the ability to record single/multiple arrest information and attach to charge manually or electronically.</p>					
7.19	<p>Enter each allegation and its identifier when the petition filed.</p>					
7.20	<p>Enter each charge and count based on charging documents.</p> <p>Provide the ability to record individual/multiple charge by case/party.</p>					
7.21	<p>Enter each count and its identifier and correlate with allegation(s) within group of allegations in delinquency case categories.</p> <p>Another way to identify a series of events.</p>					
7.22	<p>Enter origin of oversight, placement, and detention status.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
7.23	Establish relationships, including links to others in referral and others in family, within newly-entered information and between new and existing information.					
7.24	Provide ability to track filing date.  Provide an ability to track filing date that could be used for archiving and case aging purposes.					
7.25	Allow for filing type, e.g., new filing, transferred from another jurisdiction, reopened or remanded case, counter or cross claims.					
7.26	Generate and assign a case number using a defined format.  A defined format to distinguish between the type of case filed with the court, (bench case type, year of filing, sequential unique number).					
7.27	Generate case title or caption from party names and other information, e.g., short phrase that identifies case and includes plaintiff and defendant names.  Provide the ability to store a title for each case. (State of Arizona vs. Mark Harmon)					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
7.28	<p>Provide a process for adding court special appointments that are not parties to the action.</p> <p>Provide the ability to store non-party information to a case/party. ( Non-defendant securer, Mediator)</p>					
7.29	<p>Provide the ability to process and track protective orders.</p> <p>Protective order module to record protective order filing, parties on a case, record document service dates for single/multiple parties</p>					
7.30	<p>Maintain information on multiple cases or individuals associated with those cases, e.g., status including dismissals, consolidations, bifurcations, previously-closed cases that have been reopened.</p> <p>Provide the ability to store historical information for cases/parties.</p>					
7.31	<p>Allow for party addresses.</p> <p>Provide the ability to store current/historical/employment address information for party by date range.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
7.32	<p>Allow for physical description of party.</p> <p>Allow for entry of Sex, Weight, Height (Feet &amp; Inches), Eye color, Hair Color, and Origin.</p>					
7.33	<p>Randomly assign cases to judges according to a predetermined criteria, with an option to override.</p>					
7.34	<p>Provide a search button on each screen, e.g., ability to search for data values on individual fields within a screen.</p>					
7.35	<p>Allow for search functionality for person by case type.</p>					
7.36	<p>Support differential case management, e.g., different categories of cases are processed differently.</p> <p>Provide an ability to customize case and financial management for all types of general /limited jurisdiction filings.</p>					
7.37	<p>Support electronic filing and move designated data from electronic document to case management system.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
7.38	<p>Allow for title, caption, and related labels display according to case type.</p> <p>System Parameter to store case type titles/captions that will automatically populate at the creation of a case.</p>					
7.39	<p>Create a unique party identifier that is associated to each party on a case so user can associate the party into a current case to avoid unnecessary data entry.</p> <p>Provide the ability to populate existing party information (physical characteristic, address, attorney) to a new filing.</p>					
7.40	<p>Enter or track all relevant Originating Routing Identifier (ORI) codes.</p> <p>Enter information to identify the citing agency (City Police, DPS and Code Enforcement.</p>					
7.41	<p>Ability to use the mandatory Federal Information Processing Standards (FIPS) for geographic location of offense.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
7.42	Ability to accept and cross-reference required external agency identifiers for incident/case and protect against duplicate unique identifiers, e.g., <i>LEA case number</i> .					
7.43	Ability for user management team to define statute/ ordinance tables (e.g., <i>offense code, descriptive text, bail amount, model driver violation code, effective and expiration date, severities,</i> ) as well as NCIC (National Crime Information Center) offense codes and NIBRS (National Incident Based Reporting System) codes. (NCIC and NIBRS are not consistent, so the local jurisdiction may need to select which code to use).  This would cover the entry of all local ordinances					
7.44	Ability to assign case based on circuit or judicial district boundaries, when a district is composed of several counties, cities, and courthouses  Consolidated Court					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
7.45	Enter role of participant as individual (e.g., <i>Ann Smith</i> ) or organization (e.g., <i>Acme Investigative Service</i> ) with primary contact person if an organization.  Links business or organization with representative to facilitate search					
7.46	Provide ability to reclassify cases (e.g., <i>change case type</i> )					
7.47	Capture multiple sets of demographic, descriptive, or informational data on the same person or business (e.g., <i>one person may use two or more Social Security numbers, Dates of Birth, Names, Drivers License Numbers or Sets of Address Data or a business may have both a legal name and a trade name</i> )					
7.48	Ability to accommodate hyphenated names; individuals with only one name (e.g., <i>Sting</i> ); doing business as (i.e., DBA); and corporate names					
7.49	Provide electronic capability to link person information as AKA to known individuals, and link cases of AKA to known individuals					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
7.50	Ability to track name change history for a given person					
7.51	Support address verification against multiple address databases external to the case management system (e.g., DMV and Credit Reporting Bureau), (e.g., US Postal Service and/or GIS)					
7.52	Support incorporation of address data and data source information from outside databases if, after verification, that data is found to be different while retaining data entered from the charging document or booking notice					
7.53	The system should provide the ability to produce the case caption from the party listings in the correct format					
7.54	The system should provide the ability to list content of the original record  Electronically Transferred cases					
7.55	The system should hold cases in a "queue" until accepted by the receiving Court  e.g. appeal cases and bound over cases					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
7.56	If the transferred case has incomplete information in any of the required fields (e.g. bail status), the system must notify the sending office of the incomplete information.					
7.57	When connectivity between courts is inoperable, a clerk of the court must be able to initiate a case in the system					
7.58	Combine fields from the Arrest Record Screen and the Charge Disposition Screen for Edispo					
<b>8- CASHIERING</b>						
8.1	Accept multiple payments for a single case with the capability to process as either a single payment or separate payments.					
8.2	Accept multiple types of payments in a single transaction.					
8.3	Accept a single payment for multiple cases with the capability to process separately for each case.  Provide the ability to receipt multiple case filings with a single payment source ( Check, credit card, electronic transfer)					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
8.4	Permit payments to be voided and re-entered before or after daily balancing.					
8.5	Allow for back dating of receipt.					
8.6	Allow for the automatic receipting of electronically transferred funds.  Allow for a feed from a source outside of the application in which automated receipts can be processed in real time or in batch.					
8.7	Generate and print receipts with unique, locally defined, sequential receipt numbers.					
8.8	Permit individual cashiers to open and close at specified intervals pursuant to best practice and MAS.  Provide the ability to establish a link between cashier and register number.					
8.9	Permit payment to be receipted to cases with minimal data entry, e.g., counter filing.					
8.10	Permit receipts to be reprinted with same receipt numbers individually or in batch.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
8.11	Permit transactions that arrive after cashier closeout to be entered as transaction for next day, e.g., post date receipt.					
8.12	The system must provide the ability for users to enter payments received by mail in a "batch" mode.					
8.13	The system must provide for bulk entry of manual receipts when the system is not functional. The input screen(s) must allow for rapid navigation between required fields and require minimal time and effort to move from one receipt to the next. In cases where manual receipts are being entered, the unique receipt identifier must be captured by the system.					
8.14	The system must provide the ability for the cashier to accept and receipt for payments in excess of the scheduled payment for one month and either apply the excess to the balance of the total amount owed or to the next month's payment (override capability).					
815	The system should allow for payment of Probation Fees from another county.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
<b>9- DOCKETING</b>						
9.1	Allow chronological listing of events in docket.					
9.2	<p>Allow single event to create multiple docket entries.</p> <p>Provide an ability to create a event group that you can link associated events. By docketing the event group code, associated events record automatically as individual docket entries.</p>					
9.3	Create docket entry based on the electronic filing of documents, e.g., notices, warrants, orders.					
9.4	<p>Enter and associate docket information for specific parties and participants as individuals or organizations.</p> <p>Provide the ability to associate docket entries to a single or multiple parties on a case.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
9.5	<p>Supplement docket entries with additional demographic information on children and parents.</p> <p>Provide an ability to record docket notes (descriptive case/party data) to a docket entry.</p>					
9.6	The system should reflect the defendant's current incarceration status on all of the defendant's cases.					
9.7	The system should provide the ability to link petitions, motions, and applications with answers and orders.					
9.8	The system should have a memo area for the user to record information about a non-monetary adjustment, e.g. probation, jail.					
<b>10- EDMS</b>						
10.1	<p>Permit user to search, retrieve and print electronic documents from the case docket.</p> <p>Provide an ability to track/view/print electronic filing that have been recorded.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
10.2	Allow for interface with document management system if case management system excludes document management capability.					
<b>11-E-FILING</b>						
11.1	Provide the capability to accept electronic documents, brand them accordingly and update the docket. <a href="http://www.supreme.state.az.us/ecourts/">http://www.supreme.state.az.us/ecourts/</a>					
11.2	Provide for unique e-filing processes based on case type.					
11.3	The system should allow the use of electronic signatures, i.e. court generated documents and documents filed with the court (with approval of the Supreme Court).					
<b>12- FORMS/DOCUMENT GENERATION</b>						
12.1	Create notices when attorney, party, or participant is changed for a case with a future scheduled event.  Provide an ability to create/edit/print notices addressing changes on the case to one, some or all parties associated with the case.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
12.2	<p>Generate notices that are triggered by a specific event with ability to override.</p> <p>Provide an ability to create/edit/print notices to one, some or all parties associated triggered by a specific event or status change in case with the ability to override.</p>					
12.3	<p>Generate notices or electronic acknowledgments and notify appropriate parties, including attorneys and agencies, when applicable that filings, pleadings, and other documents are received and accepted.</p> <p>Provide an ability to enter electronic responses to appropriate parties when a specific action (pleading, filing, scheduling) has transpired on a case.</p>					
12.4	<p>Provide for minute entry generation and distribution within the application or integrated with an external program.</p> <p>Provide the module to create/edit/view minute entry document and distribute to online storage facilities and external link to external program</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
12.5	<p>Suppress inclusion of confidential information such as victim and witness information in notices, other documents, and calendars.</p> <p>Provide the ability to secure confidential cases/parties/addresses from view/edit/print.</p>					
12.6	<p>Provide a tool box of templates which allows merge capability in conjunction with case data; relate each output template to documents and court events for which they are used.</p> <p>Provide a ability to create/edit/print form templates with merging capabilities with stored data and automatically write to the docket for cases/parties.</p>					
12.7	<p>Generate worksheet or minute entry for on-line, rapid, in-court sentencing information.</p> <p>Provide the ability to create/edit/view minute entry document and distribute in real-time</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
12.8	Provide the ability to process no-show cases based on pre-defined business rules. (e.g., default judgments, suspension) but allow the user to override.  Function will identify cases to be defaulted					
12.9	Generate a report that includes warrants executed but not returned for filing.					
12.10	Provide user-defined format for real-time, in-court entry of minutes and entry of minutes after judicial proceedings					
12.11	The system should provide the ability to cut and paste the case caption into word processing applications					
12.12	The system must have the ability to generate notices for crime victims when bail has been posted for a defendant in a case.					
12.13	The system must have the ability to produce verdict slips for the jury.					
12.14	The system must also have the ability to prepare jury instructions.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
12.15	The system must have the ability to generate attendance slips for individuals involved in the courtroom event as necessary.					
12.16	The system must have the ability to produce verdict forms.					
12.17	The system must have the ability to accommodate development and generation of documents in languages other than English					
<b>13- INTEGRATION</b>						
13.1	Establish interfaces between CMS and support entities that allow for the collection and receipting of fines, fees, and bonds. Prohibit the deletion or modification of financial or other case data within the security module.					
13.2	Electronically receive information on defendants who have completed payment plans, probation or any programs administered by probation, detention, corrections, or other programs that would result in case closure under local and state rules.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
13.3	Send and receive information electronically for pre-trial services including referrals for pre-sentence reports.					
13.4	Share information with external agencies to coordinate collection of court-ordered payments, e.g., FARE, DPS, MVD.					
13.5	Include an interface with certified fiduciary database to check on status and/or add as party on a case.					
13.6	Should allow for the capture, sort and reporting of all the data required to implement the CourTools Trial Court Performance Measures for any specified date range.					
13.7	Provide for the creation of external agency reports and their electronic transfer to another justice or non-justice agency per locally defined rules utilizing the current GJXDM standard					
13.8	The system should have the ability to search for and input attorney information using the State ID Number.  CMS to be linked with State Bar Association					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
13.9	The system should provide for obtaining attorney information from the Disciplinary Board.  CMS to be linked with State Bar Association					
13.10	The system must have the ability, when interfaces exist, to notify other agencies when a case is sealed.  In reference to search warrants and order of protection					
13.11	System generated docket to distinguish between electronically submitted or manually entered complaint.					
<b>14- MANAGEMENT REPORTING</b>						
14.1	Generate report of completed cases.  Completed cases are cases where the party no longer owes any obligation to the court or all proceeding have been exercised.					
14.2	Produce documents for dispositions, internal and external to the court.  Provide a disposition docket to view/prints case/party disposition for distribution purposes					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
14.3	<p>Produce report showing allocation and disbursements to other state and local agencies within specified date range</p> <p>Provide a end of month report of financial transactions for associated agency by date range or agency.</p>					
14.4	<p>Capture and track duration of trials by user-specified criteria such as courtroom, judicial officer, jury or non-jury, and how estimated duration of trial compares with actual duration.</p>					
14.5	<p>Provide case summary report with user specified detail.</p>					
14.6	<p>Compute totals, list transactions, and balance for each cash drawer including register number, cashier ID, receipt number, and type of payment.</p> <p>Including check numbers and authorization numbers for credit card transactions. Also reports any overages/shortages for end of day balancing per clerk's cash drawers.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
14.7	Create, maintain, and display or print administrative or clerk's report that shows all cases with action pending within specific date range and update report.					
14.8	Create, print, and maintain separate dispositions and judgments indices that show original and subsequent judgments by case and party  Provide a ability to create/edit/view proceeding disposition for single/multiple parties for single/multiple disposition.					
14.9	Provide functionality to capture all data for Judicial Performance Review.					
14.10	Generate report showing archived/destroyed or transferred cases.  Report to view/print case/party that have been archived/destroyed/transferred.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
14.11	<p>Generate report displaying pending cases for which there is no scheduled next event.</p> <p>Report to view/print case/party that are in a pending status.</p> <p>Cases without pending courts dates can be monitored to comply with mandatory time limits</p>					
14.12	<p>Generate report displaying post-adjudication cases based on pending matters for which there is no scheduled next event.</p> <p>Report to view/print case/party that are post-adjudicated.</p> <p>Cases without pending courts dates can be monitored to comply with mandatory time limits</p>					
14.13	<p>Maintain history of changes in judge assignments and display reason for change.</p> <p>Provide storage for judge assignment change used for historical purposes.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
14.14	Maintain history of prosecutor and defense attorney changes for specific cases or defendants with reason for change.  Provide storage for Prosecutor/Defense assignment change used for historical purposes.					
14.15	Print or display lists of exhibits and other property according to case, party, and other user defined criteria.					
14.16	Produce periodic report or display showing financial status, Title IV-D status, and history.					
14.17	Produce report identifying amounts owed and waived and deferred for each person or organization.					
14.18	Produce report that permits monitoring conformance with time and other performance standards relative to various guidelines and tracking.					
14.19	Produce report that shows whether specific cases have been disposed with cross references to calendars in which they were disposed.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
14.20	Produce report that summarizes calendars according to various criteria.					
14.21	Produce reports, displays or extracted files that are suitable for transfer to other systems or internet postings e.g., <i>Index of record on appeal</i> .					
14.22	Produce statistics on transactions received, accepted, and rejected within a specified date range.					
14.23	Produce various detail and summary reports giving docket contents for specific cases/persons and groups of cases by case and party.					
14.24	Provide audit trail of all charges, e.g., from initial complaint through final disposition, for a given defendant and case.  Provide a ability to track all disposition transactions for cases/parties.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
14.25	<p>Provide report and track information for disbursement of undistributed or unclaimed moneys and update ledgers.</p> <p>Provide a disbursement module and disbursement reports with a view/print option by specified date range, issued date, check number range, disbursement type, and all disbursement records.</p> <p>Will aid in keeping bond account and escheatment process current. Checks returned to court marked as undeliverable, no forwarding address cannot locate victim.</p>					
14.26	<p>Satisfy case and financial reporting requirements of judicial branch and state agencies electronically.</p>					
14.27	<p>Track arbitrator and mediator assignments, decisions, and performance criteria.</p> <p>Arbitrator assignments need to be made randomly, with automatically triggered ticklers starting from the time of assignment, up to and including the time for the award and arbitrator payment.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
14.28	Track conformance to time standards including modifications, overrides, and suspension of time counting under certain conditions.					
14.29	Track status of accounts referred to other agencies or organizations for collection, e.g., FARE, DSO, etc.  Track case/party transaction (financial, calendar) that have been referred to associated court agency or external agency for collection					
14.30	View information on docket(s) by specific date range in chronological or reverse chronological order.					
14.31	Within user specified date range, produce separate reports showing (1) cases for which fees received, no fees received, fees waived, no fees due, waived or deferred fees; (2) all adjustments to accounts; (3) accounts receivable or payable for each case.  Provide an ability to view/print reports showing (1) cases for which fees received, no fees received, fees waived, no fees due, waived or deferred fees; (2) all adjustments to accounts; (3) accounts receivable or payable for each case.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
14.32	<p>Identify inactive cases.</p> <p>Provide an ability to view/print report that list cases/parties that have been placed on inactive status.</p>					
14.33	The CMS should collect and store all manually and electronically entered data.					
14.34	The CMS should compile collected data into user defined reports and allow for creation, modification, saving, printing and reprinting of the reports.					
14.35	The CMS should store contacts which will allow users to create and modify distribution lists. Further, the system should allow for the automatic electronic distribution of data reports at a pre-defined date and time, i.e., a scheduler.					
14.36	<p>The ability to see where the data is stored in the screen/table.</p> <p>Provide the table name with in the screen to easily identify what table to use if you have to write a report containing that data.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
14.37	<p>Generate report of incomplete cases.</p> <p>For example Shell cases that have been entered with minimal information</p>					
14.38	<p>Ability to automatically identify traffic cases eligible for amnesty and calculate the amount due and flag those cases upon approval.</p> <p>Cases may be written off according to AO 97-57</p> <p>CMS should filter cases eligible for Amnesty by last payment received or by inactivity with balance due</p>					
14.39	<p>Report of all appeals filed for a specified date range</p>					
14.40	<p>Provide reports on collection of payments (e.g., due date changes, extensions, balance adjustments, financial activity, payments, releases/full stays)</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
14.41	Produce statistics on electronic transactions received, accepted and rejected over specific time period  MVD and DPS transmittal records and internet payments					
14.42	The system should provide a tickler report of case in which the defendant has been committed under Rule 11.					
14.43	The system should track the amount of time the defendant remains under commitment for use by the judge at the time of sentencing.					
14.44	The system must have the ability to list all open appeals and their case status.					
14.45	The system must generate a deposit slip for each account with the account number, the amount of cash, a listing of each check being deposited, and total amount to be deposited in each account each day.					
14.46	The system must have the ability to support the creation of calculated data fields for reports including percent, mean, mode, median, addition and subtraction and ranking or sorting by frequency.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
14.47	The system must be able to split financial reports detailing restitution and fines assessed and collected by county, satellite and/or statewide or person.					
<b>15- NAVIGATION</b>						
15.1	Provide consistent and logical user interface with easy to follow menu options.					
15.2	Provide custom menus based on user authority and/or responsibilities, e.g., user who only works civil cases could have civil menu options only.  Clerks are assigned different responsibilities; user would have access to their own case load.					
15.3	Allow for filtering to display appropriate values based on case type or other specified criteria, e.g., only criminal event codes are available if user is working in criminal module.  Clerk would only be given option to use event codes that correspond to that specific case type, less errors.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
15.4	<p>Provide action or "smart" screens that navigate to the next logical screen in the workflow, e.g., after entering an order continuing a hearing, the system moves to the scheduling screen.</p> <p>Utilizing "smart" screens would mean less user error (no skipped screens)</p>					
15.5	<p>Provide custom links to other modules / screens within the CMS.</p>					
15.6	<p>Allow for re-sizing or positioning of display in any screen with the ability to save or easily modify as needed.</p> <p>Ability to view one screen to obtain information, while working in another screen to process: Payments, Customer Service etc...</p>					
15.7	<p>Provide quick access to navigational help in every screen, e.g., similar to the help text on the status line in good old AZTEC.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
15.8	<p>Navigation must comply with security policies.</p> <p>There should not be any work arounds to getting to a screen that you should not have access to based upon your security level.</p>					
15.9	<p>All CMS generated error messages must be relevant and easily understood by the user.</p> <p>Unable to process payment, unable to suspend fine, unable to save disposition</p>					
15.10	<p>When applicable, the system generated error message will prompt the user to take corrective action, or cease attempting the transaction, while concurrently recording to the operations error log for review and action.</p>					
15.11	<p>Allow a user to interrupt work in mid-transaction to perform an inquiry or another transaction and then resume the interrupted transaction.</p>					
15.12	<p>The court should have access to view cases that are in other courts.</p>					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
	<b>16- PHYSICAL FILE/ EVIDENCE TRACKING</b>					
16.1	Generate labels, e.g., title, bar code, and restrictions, for physical file tracking and provide ability to track multi-volume files.					
16.2	Generate notices to parties and record the return or destruction of exhibits and other property.					
16.3	Maintain audit trail of location for exhibits and case files and allow for receipt generation.					
16.4	Provide ability to label and track exhibits and associate with multiple cases/Parties.  Provide the ability to track submission, location, destruction, return of exhibits for cases/parties.					
	<b>17- SECURITY</b>					
17.1	All CMS electronic transmissions are secure as required by generally accepted security protocols (including the use of HTTP's and SSL's) and the AOC System Security Directives (See Appendix J).					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
17.2	Record electronic transactions via an audit log and make available for review by data managers as well as court management and staff.					
17.3	Electronic interfaces with external agencies must be sufficiently robust, secure, and meet CMS software requirements. The data interpretation must be limited with minimal transmission interruptions.					
17.4	The system must provide for centralized security level definition and control while allowing for limited delegation of security management at the local level.  Provide the ability to establish security starting from the field level up to the module level.					
17.5	The system must provide state-of-the-art virus control for all incoming and outgoing transmissions of data with front end notification to filer/sender of virus detection before the transmission is complete.					

		Yes "Y"	No "N"	In Development "F"	Partially "P"	Comments
17.6	<p>All CMS security functions must support system navigation requirements while maintaining data integrity and transmission security.</p> <p>Prohibit users from bypassing fields where information is required to establish a correct/complete record.</p>					
17.7	Provide for disaster recovery					

## **APPENDIX B**

### **Pricing Analysis and Timeline for Development & Deployment of CMS**

#### **1. Initial Costs:**

Please provide information on all initial costs to license and install the application software being proposed, including but not limited to those identified below. Also, please include costs for source code and object code as applicable. Include the costs for user documentation not included in the base license fee, and indicate the modules included with each product, if applicable. For each proposed product, provide the product item number, product description, proposed quantity, unit cost and total cost. Additionally, please state the following costs for:

##### **1.1 Custom Modifications:**

Provide complete information on costs to the AOC to develop and test any modifications to the application software being proposed. In every instance where you listed "N", "F" or "P" in Appendix A, provide the cost for modifying your CMS to meet the requirements. Assume that all such items will be integrated into your system at one time prior to full deployment of the CMS.

##### **1.2 Deployment and Training:**

List all costs of the plan detailed in response to Appendix C and D.

- 1.2.1 Include costs for training IT developers, network and operations staff, train-the-trainer, and user training costs as applicable.
- 1.2.2 If not bundled with the training costs, list costs for any documentation provided to AOC staff including user manuals.
- 1.2.3 Provide costs to the AOC for on-site deployment planning.
- 1.2.4 Provide details used to arrive at the cost to the AOC for these services, including personnel, travel and software and/or hardware costs.

##### **1.3 Installation:**

- 1.3.1 Provide cost for your proposed installation approach.
- 1.3.2 Provide pricing structure for technical assistance with performance tuning and system optimization.

##### **1.4 Customization:**

Modifications to your existing case management system to accommodate Arizona specific requirements.

- 1.4.1 Provide your pricing structure for development of the Arizona specific case management system.
- 1.4.2 Include costs for product customization that do not require programming modifications (e.g., customizing tables).
- 1.4.3 Provide pricing structure for unanticipated modifications that may occur after one of the following:
  - (a) Initial pilot
  - (b) During statewide deployment

**1.5 Pilot Court:**

List all costs of the plan for deployment to the Arizona General Jurisdiction two pilot courts inclusive of the pricing requirements in items 1.1, 1.2, 1.3, 1.4, 1.6, 1.7, 1.8 and 1.9.

**1.6 Source Code:**

The AOC desires that the design, development and implementation of future Arizona-specific enhancements be handled in the most efficient and cost-effective manner. Please describe how your company would handle such matters including any options for licensing and pricing for purchasing the source code. To ensure continuity of operations, the selected vendor must enter into a software and documentation agreement with the AOC that will allow the source code (as to the Arizona specific CMS) to be fully accessible by the AOC should the supplier of the case management system source code become insolvent or otherwise unable to provide software support. The AOC will offer to enter into a non-disclosure agreement with limited access.

**1.7 Licensing:**

Provide cost for software licenses as pertains to statewide CMS. AOC preference is for a statewide licensing structure allowing for ease of user additions. Please be specific concerning concurrent licensing, number of users per license and the cost for increasing the number of licenses or users per license. If necessary provide a price table for quantity pricing when increasing the number of licenses, or users per license beyond the required initial number of users for the first 13 courts. Other Licensing structure must be specifically described, and pricing associated, in order for the AOC to compare the value.

**1.8 Data Conversion**

Provide a separate cost/price statement for the conversion of data from one or multiple legacy data sources. Clarify the basis of your data conversion pricing as firm, fixed pricing for all data, or hourly charges for the amount of time required to complete the conversion portion of the project. The vendor participation in data conversion is considered to be completed after the success of two pilot courts.

1.8.1 Specifically provide the algorithm used to calculate data conversion costs.

1.8.2 If the algorithm described in 1.8.1 above is not specific to firm fixed price, please describe the algorithm that would allow for firm fixed price.

**1.9 Assumptions and Additions:**

Please state all assumptions made in determining the one-time costs. If there are additional initial costs not specifically requested, provide a description of the costs, and the unit cost for each separate item.

## **2. Ongoing Costs:**

Please provide information on all ongoing costs to license and install the application software being proposed, including but not limited to those identified below. All server hardware, operating system licenses and DBMS will be purchased or leased through AOC and should not be included in pricing. The identified ongoing costs should relate directly to the proposed deployment schedule[s] requested under Appendix C and D.

### **2.1 Maintenance:**

- 2.1.1 Provide costs for all first-year maintenance for all products including report writer, query tools and any other products included in your proposal, including: (1) the name of the product; (2) the product description; (3) the fixed annual maintenance fee; and (4) when the first-year maintenance fee is initiated.
- 2.1.2 Explain the basis for support increases, and state the maximum increases for the next two years.
- 2.1.3 Include a statement confirming that the fee as stated covers all maintenance and support as proposed in Appendix C and D of your proposal.
- 2.1.4 State your pricing structure for any fees associated with on-site support, system upgrades, and software defects.
- 2.1.5 Provide the applicable rates for “after hours” support services, i.e. support outside the normal business hours of 7:30 AM to 6:00 PM Arizona Time, including weekends, after hours, holidays, etc.

### **2.2. Additional Services:**

Provide your pricing structure for any additional services such as programming fees for custom modifications, training fees, or other fees related to your proposal.

- 2.2.1 Specify your hourly fee for design work, for programming, and for on-site training.
- 2.2.2 Please state your hourly rates for data conversion design and development personnel.
- 2.2.3 State your hourly rates for interface/integration design and development.

### **2.3 Training Costs:**

Provide ongoing costs for training associated with new releases.

### **2.4 Support Costs:**

Provide your pricing structure for support costs not included in the annual maintenance fee.

### **2.5 Assumptions and Additions:**

Please state all assumptions made in determining the ongoing costs including any additional ongoing costs associated with your solution that are not specifically requested herein. If applicable, provide the name of the product or service and the annual fee.

**3. Pricing Table:**

Please fill in the following table to compile and summarize all deployment, cost, pricing, personnel and other resource information requested throughout the RFP to produce a cash/resource flow estimate tied directly to the proposed deployment schedule. Vendors are not required to enter costs in every possible column. Vendors may, instead, choose to spread costs over any timeframe so long as the minimum deployment schedule identified in Appendix C is satisfied. Vendors may instead provide their own pricing table to satisfy this requirement.

Example Pricing and Timeline Table

Proposed Deployment Schedule										
Year	Quarter	One Time	2008				2009			
		Costs	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Small County		NA								
Medium County		NA								
Total For Quarter			0	0	0	0	0	0	0	0
Total Counties Deployed to Date			0	0	0	0	0	0	0	0
<b>Pricing</b>										
Project Initiation Fees										
License Fees (includes PM)										
Source Code Licensing										
Maintenance Fees										
Deployment										
Training										
Support										
Others (as needed)										
Total For Quarter										
<b>Other Resources:</b>										
Vendor Resources (list as full time employees)										
Project / Program Management										
Project Administration										
Development										
Testing										
Quality Assurance										
Subject Matter Expert										
Business Analyst										
Technical Analyst										
Trainer										
Deployment										
Others (as needed)										
<b>IT Infrastructure</b>										
Database Server										
Application Server										
Others (as needed)										
Disk Space										
3rd party software (e.g. MS Word)										
Others (as needed)										

## **APPENDIX C**

### **Proposed Deployment Schedule**

The AOC's long-term goal is to have a structure in place that will permit integration of all divisions for all jurisdiction courts in Arizona and state agencies utilizing court information. Within six months after a contract or letter of intent is signed it is the goal of the AOC to complete delivery of a functioning CMS to the general jurisdiction court in at least two counties (one small and one medium) as determined by the AOC. These will be considered Pilot Courts in preparation for the full deployment of the CMS to all 13 counties within twelve months after successful completion of the pilot courts implementation.

- Small           60 or less users
  - Medium       61 or more users
- (see Appendix K)

Based upon these goals and the capacity of your company, please prepare a deployment schedule by showing the number deployments for each quarter up to and including deployment in all 13 participating Arizona counties. This deployment schedule may be used in the Pricing Table (Appendix B) to compute cash flow over the duration of the project. The table allows for payments to be directly tied to the number of counties deployed.

The AOC does not intend to dictate the pricing structure of the deployment schedule. Up to three deployment schedules will be considered, all of which must meet the minimum deployment as described above and related pricing structures. Pricing may be spread over as many or as few time periods as desired and agreed upon.

## **APPENDIX D**

### **Deployment, Training and Support**

The purpose of this section is to determine the vendor's experience, methods, and abilities for deploying large projects, such as a statewide case management system.

#### **1. Experience**

Provide information regarding any projects in which you have deployed your system and trained and supported users in a project that linked multiple courts and external agencies using court information, including:

- 1.1 Whether the application was statewide, and if not, describe the scope of the deployment.
- 1.2 Number of courts involved.
- 1.3 Number of users involved.
- 1.4 Number of agencies and users external to the courts, accessing court information.
- 1.5 Date(s) of deployment.
- 1.6 Length of deployment, from contract date to user acceptance.
- 1.7 If the deployment is still underway, what portion of the deployment is completed?
- 1.8 Please provide at least five references with contact information.

#### **2. Methods**

##### **2.1 Deployment:**

- 2.1.1 Generally describe your implementation planning (including project management) process. (see Appendix E)
- 2.1.2 Generally describe your recommendation for roles your company personnel will assume and the roles AOC staff should assume in the implementation process.
- 2.1.3 Please respond to the following questions that relate to specific issues:
  - (1) Describe how you would facilitate any required interfaces or electronic tools that have been purchased and/or installed and may be copyrighted. Examples of local interfaces may include jail management systems, booking systems, juvenile detention management systems, imaging systems, and probation systems. An example of copyrighted electronic tools is a risk assessment program.
  - (2) Describe the process involved in implementing any required specific configurations, e.g., local ordinances, terms of probation and pretrial release, creation of standard local documents using case management information, and include any AOC and/or local personnel required to accomplish the task.
- 2.1.4 What is your process for managing user acceptance?
- 2.1.5 Describe your plan for initial deployment through a pilot court(s).
  - (1) What are some of your successful pilot court implementations?

(2) What do you consider to be adequate staffing for pilot court implementation?

(3) What does your plan describe as requirements from the pilot courts during pilot process?

(4) What does your plan describe as requirements from the AOC during the pilot process?

- 2.1.6 Describe the process employed to track and report progress in system deployment.
- 2.1.7 Describe the process and standards employed in determining when phases of deployment are satisfactorily completed.
- 2.1.8 Describe the process involved in implementing any required state-level configurations, e.g., implementation of state statutes and rules, creation of standard state documents, state calendar, etc., including any AOC personnel required to accomplish the task.
- 2.1.9 Describe the AOC personnel and system resources required to develop, test, and support any changes that require access to systems that are only available on the internal state network.

## 2.2 Training:

- 2.2.1 Describe your training plan, both initial and continual, for users, super users, system administrators, technical staff, operational staff and development staff.
- 2.2.2 Is your training process standardized? Explain.
- 2.2.3 Does your process utilize direct user-training, train-the-trainer, a combination of the two or other means? Explain.
- 2.2.4 Does your process entail development of Arizona-specific training materials? If yes, how are those materials developed?
- 2.2.5 Provide reference contact information for persons who have been trained in the use of your system.

## 2.3 Support:

- 2.3.1 Describe your support plan, including anticipated response time. If not previously covered, does your support plan focus upon direct support to the user as well as county and statewide support services and/or is your system flexible to the point where responses occur at various levels depending upon the complexity of the inquiry?

## 3. Abilities

### 3.1 Deployment:

- 3.1.1 Describe the respective functions and credentials of members of your deployment team and the anticipated durational need for each. Specify the number of such personnel required to service the number of counties being deployed in the Proposed Deployment Schedule. (see Appendix C)
- 3.1.2 Describe the respective functions and credentials of members of a team to be assembled by Arizona AOC to assist in deployment and the anticipated durational need for each. Specify the number of

such personnel required to service the number of counties being deployed in the Proposed Deployment Schedule. (see Appendix C)

- 3.1.3 Describe the respective functions and credentials of personnel required on a local level to assist in deployment and the anticipated durational need for each. Specify the number of such personnel required to service the number of counties being deployed in the Proposed Deployment Schedule. (see Appendix C)

3.2 Training:

- 3.2.1 Describe the respective functions and credentials of the members of your training team and the anticipated durational need of each. Specify the number of such personnel required to service the number of counties being deployed in the Proposed Deployment Schedule. (see Appendix C)
- 3.2.2 Describe the respective functions and credentials of members of a team to be assembled by AOC to assist in training and the anticipated durational need for each. Specify the number of such personnel required to service the number of counties being deployed in the Proposed Deployment Schedule. (see Appendix C)
- 3.2.3 Describe the respective functions and credentials of personnel required on a local level to assist in training and anticipated durational need for each. Specify the number of such personnel required to service the number of counties being deployed in the Proposed Deployment Schedule. (see Appendix C)

3.3 Support:

- 3.3.1 Describe the respective functions and credentials of the members of your support team and the anticipated durational need for each.
- 3.3.2 Describe the respective functions and credentials of members of a team to be assembled by AOC to assist in support and the anticipated durational need for each. Specify the number of such personnel required to service the number of counties being deployed in the Proposed Deployment Schedule. (see Appendix C)
- 3.3.3 Describe the respective functions and credentials of personnel required on a local level to assist in support and anticipated durational need for each. Specify the number of such personnel required to service the number of counties being deployed in the Proposed Deployment Schedule. (see Appendix C)

## **APPENDIX E**

### **Project Management**

The submission should identify key persons, by name, title and contact information be actually assigned to work on the project and include a statement of the availability and commitment level for each person. It should be expected that this availability and commitment of personnel would be included as a requirement in the contracting document, and the level of commitment of all key persons to the statewide CMS project for Arizona will be a determining factor in contract award.

#### **1. Project Management Methodology:**

Please detail your project management methodology and how it addresses the following elements of Project Management:

- 1.1 Development
- 1.2 Integration
- 1.3 Scope
- 1.4 Time
- 1.5 Cost
- 1.6 Quality
- 1.7 Human Resources
- 1.8 Communications
- 1.9 Risk
- 1.10 Change
- 1.11 Version Control

#### **2. Project Manager:**

Propose a project manager, by name, title and contact information, including a resume detailing his/her experience on similar projects (e.g., court or judicial) size and scope. His/her availability and commitment level is required to be 100%.

#### **3. Project Structure:**

Propose a project structure including vendor-provided staff and AOC staff. Discuss team organization and interaction with project management and project governing bodies or steering committee of the AOC.

## **APPENDIX F Technology, Interfaces and Data Conversion**

### **Technology**

The purpose of this section is to determine the vendor's available technological resources. The application will be hosted in the Data Center maintained and managed by the AOC. Therefore, all server hardware and operating system licenses, and database management system (DBMS) will be purchased or leased through AOC and should not be included in pricing. Any third party or add-on products needed to operate the application should be itemized separately with pricing. AOC anticipates that the courts and clerks' offices will connect to the AOC Data Center through various methods including designated interfaces.

#### **1. Application:**

Please describe your application architecture by focusing on the implementation details for your presentation, business and data layers. You are encouraged to provide diagrams within the constraints of the proposal instructions.

#### **2. Client/Presentation Layer Requirements:**

##### **2.1 Hardware/Software:**

- 2.1.1 What is the minimum hardware configuration for a client machine?
- 2.1.2 What is the recommended hardware configuration for a client machine?
- 2.1.3 Please list any third party hardware or software that is required for a client machine. If the hardware or software is only needed on some client machines, please indicate the criterion that determines the number, for example: one per office, two for every ten users, etc.
- 2.1.4 How are client software updates distributed? Do all clients have to be running the most recent software or can an update rollout be phased, for example, by county, county agency or office?
- 2.1.5 What is the minimum screen resolution to run the application?
- 2.1.6 What is the recommended screen resolution to run the application that minimizes the use of scrolling?
- 2.1.7 Please describe any recommended hardware or software that is needed for cash drawer functions, including but not limited to: cash drawer, receipt printer, credit/debit card processing, check scanning, etc.
- 2.1.8 What network protocols are necessary for the client to successfully run the application?
- 2.1.9 Is your application browser-based? If yes, does it support Mozilla Firefox, Safari and Internet Explorer? Will it run (and on what version) of Windows, Linux, Mac and Unix?
- 2.1.10 Is the application certified to run under Microsoft Vista?
- 2.1.11 Does your application support Microsoft Word?

2.1.12 Does your application support and utilize multi-core/multi-CPU hardware and operating systems?

2.1.13 Are any changes to the Client/Presentation Architecture being considered for future releases? If yes, explain.

2.2 Security:

2.2.1 Does the application contain a workstation timeout function that will prohibit the client from accessing data after a specified amount of activity? If yes, what happens to any data that may have not been saved at the point the timeout occurs?

2.2.2 Does the client use any external security devices, e.g., biometric, card readers, etc., to validate the identity of the user? If so, can multiple users share the same client machine, and how many users can share it?

2.2.3 Are the communication and data between the client and servers encrypted?

2.2.4 Are logins or other user activities logged in an audit table?

2.2.5 What other security features are provided?

2.2.6 Are any changes to the security structure architecture being considered for future releases? If yes, explain.

**3. Business Layer/Application Server Hardware/Software**

3.1 If the business layer is implemented on an application server, what software and version (OS, application server, etc) is required?

3.2 What is the minimum hardware configuration for an application server?

3.3 What is the recommended hardware configuration for an application server?

3.4 Are multiple/clustered application servers supported?

3.5 Is any additional hardware or software, such as load balancers, transaction coordination, messaging, etc., needed for a deployment of this size?

3.6 Specify the number of such servers required in the IT Infrastructure for the number of counties being deployed in the Proposed Deployment Schedule. (see Appendix C)

3.7 What method of communication is used between presentation tier and Business Layer? (Remoting, Web Service, Com, etc)

3.8 Are any changes to the Business Layer architecture being considered for future releases? If yes, explain.

#### **4. Data Layer**

##### **4.1 Hardware/Software:**

- 4.1.1 What DBMS (include version) are you recommending for a statewide implementation of a possible 800 court and clerk users and 400 inquiry-only users with a maximum of 700 concurrent transactions?
- 4.1.2 Based on the DBMS selected, please describe your approach to scalability in both processing power and storage.
- 4.1.3 What is the minimum hardware configuration for a database server?
- 4.1.4 What is the recommended hardware configuration for a database server?
- 4.1.5 Are multiple/clustered database servers supported?
- 4.1.6 Specify the number of such servers required in the IT Infrastructure for the number of counties being deployed in the Proposed Deployment Schedule. (see Appendix C)
- 4.1.7 Specify the amount of disk space required in the IT Infrastructure for the number of counties being deployed in the Proposed Deployment Schedule. (see Appendix C)
- 4.1.8 Does the system have a data archiving function?
- 4.1.9 Does the system support DB replication to redundant hardware?

##### **4.2 Security:**

- 4.2.1 What security measures are taken to ensure that authenticated users can only see information that they would normally see within the application when connecting to the data layer using third party tools?
- 4.2.2 At what levels, i.e., statewide administration, statewide administration plus county administration functions, etc., can security be administered?

#### **5. Requirements**

- 5.1 Describe the hardware requirements, connectivity requirements, and network bandwidth requirements at the statewide and local levels.
- 5.2 Describe how your system and deployment approach meets the minimum information security standards established by the AOC. (See Appendix J)

#### **6. Strategies**

Please describe your backup and business continuity strategies.

#### **7. Languages**

- 7.1 What is the primary language used in writing the application?
- 7.2 Other languages used?
- 7.3 What tool is utilized to manage Source Control?
- 7.4 If web application, any java used? Explain

## 8. Development Process

### 8.1 Questions

- Development technique(s) used?
- How is analysis done / recorded?
- How is change management performed?
- How are defects reported / investigated / processed?
- How are enhancements reported / investigated / processed?
- How often are upgrades / updates released to production?

### 8.2 Documentation

- Provide a copy of the release notes of your last 4 upgrades/updates.
- Provide a copy of the outstanding defect list
- Provide a copy of the outstanding enhancement request list

### 8.3 Staffing Levels

- Approximate # of full-time analysts employed
- Approximate # of full-time programmers employed
- Approximate # of full-time testers employed
- Average length of employment of programmers
- Are programmers / analysts / testers located in same location?
- Are outside consultants used for programming / analysis / testing?

## 9. Version Control

### 9.1 Questions

- Please detail your methodology for maintaining version control of the case management systems in production (deployed).
- How many versions of the application are currently in production and under maintenance?
- What is your methodology for distribution of new releases?
- How is the application upgraded / updated with new releases?
- What was the total file size of the last 2 upgrades / updates?
- Is an automated testing tool used? If so, what product and version?
- What is the testing process used? (etc. Beta / CTP / ?)

## 10. Miscellaneous

### 10.1 Questions

- Of all of your production sites, what is the largest number of users at one site?
- Of all of your production sites, what is the average number of users?

## **Interfaces**

The purpose of this section is to determine the vendor's methods, abilities and experience in designing and developing interfaces. The required interfaces with state agencies and other external entities, including existing case management systems, are identified below with brief descriptions. At this time, specifications adequate to provide accurate cost estimates for these interfaces are not available. Specific cost estimates for these interfaces will be discussed in later stages of the proposal process.

In your response, please answer the following questions related to your approach for constructing interfaces with external agencies:

- 2.1 Describe any existing framework your product may include to facilitate interfacing with other systems.
- 2.2 Is the existing framework available to third parties to use for development, i.e., could the State use the framework to develop the interfaces independently?
- 2.3 Would your system require any third party products such as WebSphere, MQ, or Microsoft Message Queuing? If so, please include licensing cost estimates in your proposal.
- 2.4 What method does your system use to ensure data is successfully delivered to other systems?
- 2.5 Please identify any relevant experience including reference contact information.
- 2.6 Is your business layer capable of receiving data from sources other than your presentation layer? For example, can a third party program directly access your business layer and have all business logic executed?
- 2.7 Do you currently have interfaces in production that support real-time, near real-time and batch modes?
- 2.8 Please describe existing interfaces that the application currently provides. Specifically, detail the method of transferring data, timing, location of edits and business logic and the methodology of communicating failures to initiating party.

The AOC is currently developing software programs that will require interface/integration with the selected CMS. AOC is interested in discussing and/or pursuing partnership agreements for shared development of these programs, with the selected vendor of the CMS.

### **• Exhibits of Interfaces**

The following appendix G is included in this RFP as exhibits to demonstrate the types of interfaces possibly required of the case management system.

## **Data Conversion**

Data conversion is the process of moving data from an existing CMS (and related systems) to a new CMS. This data can consist of information on cases currently in process at the time of the switchover from one CMS to another or historical data. Case management system currently used in Arizona courts is AZTEC (Informix database). Therefore, responses should contain pricing information for data conversion.

In your response, please answer the following questions related to your approach for data conversion:

- 3.1 Do you have experience with data conversion from other CMS's to your system? If so, what CMS systems have you converted? Please identify relevant experience including reference contact information of clients.
- 3.2 Describe any existing framework your product may include to facilitate converting data from other systems.
- 3.3 If your product includes an existing framework that will facilitate data conversion, is the framework available to third parties to use for development, i.e., could the AOC use this framework to convert data independently once the pilot court(s) have been implemented?
- 3.4 Describe if/how the application's business logic would be enforced on new data as its being converted.
- 3.5 Provide information related to the actual percentage of data converted from a legacy system that has been successful.
- 3.6 How much experience does your company have in full data conversion of a court or multiple court centralized data?

## **APPENDIX G**

### **Adult and Juvenile Probation Interface Document**

#### **Adult Probation:**

Adults coming into contact with the Adult Probation Department do so after having already entered the Court System. After a defendant enters into a plea agreement or is convicted of a crime, the initial information is sent to the Probation Department from the Court. This is the first contact the defendant has with the Probation Department. This information; including demographics, address, charge, and attorney information; is entered into the APETS system by Probation Staff. The case is then transferred to a pre-sentence officer and a pre-sentence investigation report is completed. The pre-sentence report is submitted to the court prior to the defendant's sentencing date. At sentencing, the defendant can be placed on probation, sentenced to the Department of Corrections, placed on unsupervised probation, etc. Disposition information is then given to the Probation Department from the Court and entered into the APETS system by Probation Staff. If the defendant was placed on probation, all conditions of probation are entered into the APETS system and the defendant is assigned to a supervising probation officer. The APETS file is then transferred to that probation officer.

Attached is a list of fields\* that a General Case Management System will be required to provide to the Adult Probation Department and what purpose\*\* within the above process those fields serve.

\*Fields = Field required by APETS from a General Jurisdiction Case Management System

\*\*Purpose = What is being created in the APETS system with the information requested

Field = Field required by APETS from a General Jurisdiction Case Management System

Purpose = What is being created in the APETS system with the information requested

## APETS INTERFACE REQUIREMENTS

Field	Purpose
Client ID	Alias
Last Name	Alias
First Name	Alias
Middle Name	Alias
Name Suffix	Alias
Name Type	Alias
Court Name Flag	Alias
County of Origin ID	Case
Interstate Compact Flag	Case
Location Branch	Case
Original Judge Name	Case
Case RSN	Case
Client RSN	Case
Case Year	Case
Case Number	Case
Case Sub	Case
Judge Name	Case
Prosecuting Attorney Name	Case
Defense Counsel Name	Case
Sentence Date	Case
Plea Date	Case
Age at Sentence	Case
Active Code	Case
Guilt by Type	Case
Court Number	Case
Reference Division Judge RSN	Case
Court Type	Case
Category Code	Case
Defense Counsel Type	Case
Prosecuting Attorney Type	Case
Sequence Number	Case
Father Legal Name	Client
County Client ID	Client
Arizona State ID Number	Client
Client ID	Client
Ethnicity Code	Client
Religion Code	Client
High Grade Code	Client

Marital Status Code	Client
First Name	Client
Middle Name	Client
Last Name	Client
Name Suffix	Client
Height Feet	Client
Weight	Client
Birth State	Client
Birth City	Client
Citizen Country	Client
Alien Number	Client
Birth Country	Client
FBI Number	Client
Height Inches	Client
Gender Code	Client
Eye Color Code	Client
Hair Color Code	Client
Race Code	Client
Date of Birth	Client
Social Security Number	Client
Country Code	Client Address
Client RSN	Client Address
County Code	Client Address
Address Type	Client Address
State Code	Client Address
Begin Date	Client Address
Directions	Client Address
Street Address	Client Address
City	Client Address
Zip Code	Client Address
Apartment Number	Client Address
Phone	Client Address
Message Phone	Client Address
End Date	Client Address
Primary Address	Client Address
Phone Extension	Client Address
Message Phone Extension	Client Address
Significant Other	Collaterals
Immediate Family	Collaterals
Client RSN	Collaterals
Relationship Code	Collaterals
State Code	Collaterals
First Name	Collaterals
Middle Name	Collaterals
Last Name	Collaterals
Name Suffix	Collaterals
Age	Collaterals
Street Address	Collaterals

City	Collaterals
Zip Code	Collaterals
Phone	Collaterals
Apartment Number	Collaterals
Phone Extension	Collaterals
Division Flag	Count
Interstate Compact Override	Count
Sex Offender Charge	Count
Weapon Code	Count
Violence Code	Count
Clarification	Count
Count Modifier	Count
Vacated	Count
DOC	Count
NCIC Section	Count
Roman Numeral	Count
Charge	Count
Offense Date	Count
Between Date	Count
Statue	Count
Dangerous	Count
ARS List	Count
Remand Juvenile	Count
Remand Date	Count
Case RSN	Count
ARS Code	Count
Offense Class	Count
Offense Type	Count
General Offense Code	Count
Victim Crime	Count
Sentence Time	Court Action
County of Origin ID	Court Action
Report Due in Court	Court Action
Report Court Date	Court Action
Original Judge Name	Court Action
Report Type	Court Action
Report Status	Court Action
Report Complete	Court Action
Report Location	Court Action
Active Code	Court Action
Uniform Conditions Reference	Court Action
Court Action RSN	Court Action
Initiate Code	Court Action
Client RSN	Court Action
Initiated Date	Court Action
Court Submit Date	Court Action
Result Judge Sign Date	Court Action
Judge Name	Court Action

Defense Counsel Name	Court Action
Prosecuting Attorney Name	Court Action
Judge Division	Court Action
Defendant Counsel Type	Court Action
Prosecuting Attorney Type	Court Action
Court Number	Court Location
Location Description	Court Location
Street Address	Court Location
City	Court Location
State	Court Location
Zip Code	Court Location
Phone	Court Location
Phone Extension	Court Location
Active Code	Court Location
Source Code	Employment
Processed Flag	Employment
Client RSN	Employment
Begin Date	Employment
End Date	Employment
Employer Name	Employment
Street Address	Employment
City	Employment
Zip Code	Employment
Contact Name	Employment
Occupation	Employment
Verify Date	Employment
Salary	Employment
Begin Hour	Employment
End Hour	Employment
Phone	Employment
Employer Termination Type	Employment
Suite Number	Employment
State Code	Employment
Salary Frequency Code	Employment
Pay Frequency Code	Employment
Phone Extension	Employment
Employment Type	Employment
Weekly Hours	Employment
Extend Restitution	Terms
Extended End Date	Terms
Terms RSN	Terms
Term Type	Terms
Supervision Type Code	Terms
Supervision Level Code	Terms
Length Years	Terms
Length Months	Terms
Length Weeks	Terms
Length Days	Terms

Start Date	Terms
Estimated Expire Date	Terms
Actual Expire Date	Terms
Reference Victim Report Code	Victim Representative
State Code	Victim Representative
First Name	Victim Representative
Middle Name	Victim Representative
Last Name	Victim Representative
Street Address	Victim Representative
Apartment Number	Victim Representative
City	Victim Representative
Zip Code	Victim Representative
Phone	Victim Representative
Message Phone	Victim Representative
Court Appointed	Victim Representative
Phone Extension	Victim Representative
Message Phone Extension	Victim Representative
Victim Type	Victim
First Name	Victim
Middle Name	Victim
Last Name	Victim
Suffix	Victim
Street Address	Victim
City	Victim
Zip Code	Victim
Phone	Victim
Message Phone	Victim
Ethnicity Code	Victim
State Code	Victim
Language Code	Victim
Date of Birth	Victim
Valid Address	Victim
Social Security Number	Victim
Apartment Number	Victim
Gender Code	Victim
Phone Extension	Victim
Message Phone Extension	Victim

**Juvenile Probation:**

Police agencies deliver referral packets to the Juvenile Court. Upon receiving these referrals, court employees enter information into the Legacy JOLTS application. JOLTS is searched to see if the juvenile has a record within the JOLTS application, if the juvenile has a record within the JOLTS application, demographic information is verified and the new complaint information is added to the juvenile's record. If the juvenile is not in JOLTS, demographic, alias, parents, sibling, employment, school, and complaint information is added.

A Probation Employee then reviews the referral to determine if it is eligible for diversion or requires review by the County Attorney's Office. If the referral is eligible for diversion, the juvenile is interviewed by probation staff and admits guilt in the crime. If the juvenile does not admit guilt in the crime he/she is not eligible for diversion and the referral is sent to the County Attorney's Office. The diversion case is entered into the JOLTS system by probation staff. The juvenile is assigned consequences to complete within a specified time period, which is tracked in JOLTS. If the juvenile successfully completes all consequences within the specified time period, the diversion case is closed in JOLTS and the juvenile's record adjusted. If the juvenile does not complete the consequences within the specified time period, an extension may be granted or the referral may be sent back to the County Attorney's Office.

If the referral is not eligible for diversion, it is sent to the County Attorney's Office to be reviewed. At that time, the County Attorney's Office will decide whether or not to file a petition. A hearing is set and an Advisory Notice of Hearing or Subpoena is sent to the juvenile and parents. Once the juvenile appears in court, a Record of Proceeding is filed with the Juvenile Court. As the juvenile proceeds through the court process, an individual's petition(s) can be dismissed or as a result of the process the juvenile can be adjudicated delinquent. If the juvenile has been adjudicated, he/she will then have a disposition hearing and can be placed on Juvenile Probation, committed to the Department of Juvenile Corrections, or receive an alternative sanction such as fines and restitution. The sanction received by the juvenile is then entered into the JOLTS system.

Attached is a list of fields\* that a General Jurisdiction Case Management System would be required to provide to the Juvenile Probation Department and what purpose\*\* within the above process that information serves.

\*Fields = Field required by APETS from a General Jurisdiction Case Management System

\*\*Purpose = What is being created in the APETS system with the information requested

Field = Field required by JOLTSaz from a General Jurisdiction Case Management System  
Purpose = What is being created in the JOLTSaz system with the information requested

## JOLTSaz INTERFACE REQUIREMENTS

Field	Purpose
File Number	Complaint
Complaint Number	Complaint
Referring Agency	Complaint
Complaint Date	Complaint
Number of Original Counts	Complaint
Number of Accomplices	Complaint
School District of Juvenile	Complaint
School Status of Juvenile	Complaint
School Grade of Juvenile	Complaint
Date Last Attended School	Complaint
Parents Marital Status	Complaint
Parents Employment Status	Complaint
Cite In Date	Complaint
Cite In Time	Complaint
Complaint Type	Complaint
County Attorney Grade	Complaint
County Attorney Grade Date	Complaint
Disposition Code	Complaint
Disposition Date	Complaint
Most Severe Offense Code	Complaint
Complaint Record Established By	Complaint
Complaint Record Established Date	Complaint
Complaint Record Updated By	Complaint
Complaint Record Address of Offense	Complaint
Complaint Record City of Offense	Complaint
Complaint Record State of Offense	Complaint
Complaint Record Zip Code of Offense	Complaint
Payment ID	Financial
Payment Date	Financial
Payment Amount	Financial
Payment Made By	Financial
Payment By Social Security Number	Financial
Payment By Phone Number	Financial
Payment Type	Financial
Check or Money Order Number	Financial
Payment Notes	Financial
Payment Void	Financial
Void By	Financial

Void Date	Financial
Void Time	Financial
Established By	Financial
Established Date	Financial
Updated By	Financial
Updated Date	Financial
Record ID	Financial
Receipt Printed	Financial
File Number	Financial
Account ID	Financial
Assessment ID	Financial
Assessment Date	Financial
Beginning Balance	Financial
Ending Balance	Financial
Assessment Start Date	Financial
Assessment End Date	Financial
Assessment Estimated End Date	Financial
Assessment End Type	Financial
Assessment Code	Financial
Assessment Type	Financial
Ranking For Payment	Financial
Monthly Assessment	Financial
Assessment Amount	Financial
Modified Date	Financial
Modified Amount	Financial
Suspend From Date	Financial
Suspend To Date	Financial
Total Assessed	Financial
Balance - or +	Financial
Total Paid From Payment Transaction	Financial
Past Due Amount	Financial
Current Due Amount	Financial
Installment Amount	Financial
Number of Installments	Financial
Last Bill Date	Financial
Bill Assessment Flag	Financial
Assessment Void	Financial
Void By	Financial
Void Date	Financial
Void Time	Financial
Assessment Record Established By	Financial
Assessment Record Established Date	Financial
Assessment Record Updated By	Financial
Assessment Record Updated Date	Financial
Transaction ID	Financial
Transaction Date	Financial
Transaction Code	Financial
Debit Amount	Financial

Credit Amount	Financial
Payment Received Date	Financial
Receipt Number	Financial
Transaction On Bill Date	Financial
Transaction Void	Financial
Transaction Record Established By	Financial
Transaction Record Established Date	Financial
Transaction Record Updated By	Financial
Transaction Record Updated Date	Financial
Petition Number	Petition
Amended Petition Date	Petition
Amended Petition Comment	Petition
Record Established By	Petition
Record Established Date	Petition
Record Updated By	Petition
Record Updated Date	Petition
Petition Date Suffix	Petition
Filed By Code	Petition
Petition Code	Petition
Status Code	Petition
Facility	Petition
File Number	Petition
Petition Disposition	Petition
Petition Disposition Date	Petition
Complaint Number	Petition
Petition Count	Petition
Petition Count Suffix	Petition
Petition Count Suffix A	Petition
Court Offense Code	Petition
Complaint Count	Petition
Disposition Code	Petition
Disposition Date	Petition
Downgrade Code	Petition
Downgrade Conditions	Petition
Downgrade Date	Petition
Downgrade Type	Petition
Downgrade Class	Petition
Downgrade Severity	Petition
Physical File Record Established By	Petition
Physical File Record Established Date	Petition
Physical File Record Updated By	Petition
Physical File Record Updated Date	Petition
Interest Party ID	Petition
Interest Party Number	Petition
Active Party	Petition
Last Name	Petition
First Name	Petition
Type of Interested Parties	Petition

Phone Number	Petition
Representing Who	Petition
Bar Number	Petition
Transfer Requested	Petition
Transfer Request Date	Petition
Transfer Conditions	Petition
Transfer Conditions Date	Petition
Transfer Result	Petition
Transfer Result Date	Petition
Psychologist Recommendation	Petition
Probation Officer Recommendation	Petition
Adult ID	Petition
Finding Code	Petition
Finding Date	Petition
Established By	Petition
Established Date	Petition
Updated By	Petition
Updated Date	Petition
File Number	Juvenile
Start Date	Juvenile
Supervision Level	Juvenile
Record Established By	Juvenile
Record Established Date	Juvenile
Record Updated By	Juvenile
Record Updated Date	Juvenile
End Date	Juvenile
Juvenile File Number	Juvenile
Juvenile First Name	Juvenile
Juvenile Middle Name	Juvenile
Juvenile Last Name	Juvenile
Date of Birth	Juvenile
Sex Code	Juvenile
Race Code	Juvenile
County Code	Juvenile
Phone Number	Juvenile
Alternate Phone Number	Juvenile
School District Code	Juvenile
School Grade	Juvenile
School Status	Juvenile
Date Last Attended School	Juvenile
Place of Employment	Juvenile
Parents Marital Status	Juvenile
Parents Employment Status	Juvenile
Number of Delinquent Referrals	Juvenile
Number of Court Hearings	Juvenile
Number of Notepad Entries	Juvenile
Number of AKA	Juvenile
Number of Placements	Juvenile

Number of Parent Records	Juvenile
Number of Sibling Records	Juvenile
Number of Person Living With Records	Juvenile
Number of Services Records	Juvenile
Number of Detention Records	Juvenile
Number of Legal Stats	Juvenile
Number of Warrant Records	Juvenile
Number of Probation Officer Assignments	Juvenile
Defensive Driving School Status	Juvenile
DOR Flag	Juvenile
Juvenile Name Suffix	Juvenile
Next Review Date	Juvenile
Caseload Monitor Flag	Juvenile
Area Code	Juvenile
Alternate Area Code	Juvenile
Hair Color	Juvenile
Eye Color	Juvenile
Weight	Juvenile
Foot Component of Height	Juvenile
Inch Component of Height	Juvenile
Gang Affiliation Code	Juvenile
Gang Source	Juvenile
Citizenship	Juvenile
Mark ID	Juvenile
Type of Mark	Juvenile
Description of Mark	Juvenile
Updated by ID	Juvenile
Updated Date	Juvenile
AKA ID	Juvenile
Last Name of AKA	Juvenile
First Name of AKA	Juvenile
Middle Initial of AKA	Juvenile
Parent ID	Juvenile
Last Name of First Parent	Juvenile
First Name of First Parent	Juvenile
Middle Initial of First Parent	Juvenile
Street of First Parent	Juvenile
City of First Parent	Juvenile
State of First Parent	Juvenile
Zip of First Parent	Juvenile
Relationship of First Parent	Juvenile
Phone Number of First Parent	Juvenile
Marital Status of First Parent	Juvenile
Employment Status of First Parent	Juvenile
Employer of First Parent	Juvenile
Work Phone Number For First Parent	Juvenile
Last Name of Second Parent	Juvenile
First Name of Second Parent	Juvenile

Middle Initial of Second Parent	Juvenile
Street of Second Parent	Juvenile
City of Second Parent	Juvenile
State of Second Parent	Juvenile
Zip of Second Parent	Juvenile
Relationship of Second Parent	Juvenile
Phone Number of Second Parent	Juvenile
Marital Status of Second Parent	Juvenile
Employment Status of Second Parent	Juvenile
Employer of Second Parent	Juvenile
Work Phone Number for Second Parent	Juvenile
Sibling ID	Juvenile
Last Name of Sibling	Juvenile
First Name of Sibling	Juvenile
Middle Initial of Sibling	Juvenile
Relationship Code	Juvenile
File Number of Sibling	Juvenile
Complaint Number	Juvenile
Referral Eligibility Reason 1	Juvenile
Referral Eligibility Reason 2	Juvenile
Referral Eligibility Reason 3	Juvenile
Reason 1 To Criminal System	Juvenile
Reason 2 To Criminal System	Juvenile
Reason 3 To Criminal System	Juvenile
Reason 1 Not Sent Criminal	Juvenile
Reason 2 Not Sent Criminal	Juvenile
Reason 3 Not Sent Criminal	Juvenile
Criminal System Start Date	Juvenile
Date Returned From Criminal	Juvenile
Why Returned From Criminal	Juvenile
Related Number ID	Juvenile
Adult Agency	Juvenile
Adult Agency Number	Juvenile
Active Number	Juvenile
Petition Number	Juvenile
Sequence Number	Juvenile
Start Date	Juvenile
Start Time	Juvenile
End Date	Juvenile
End Time	Juvenile
Home Detention Area	Juvenile
Plan ID	Juvenile
Plan Type	Juvenile
Relationship 1	Juvenile
Relationship 2	Juvenile
Start Date	Juvenile
End Date	Juvenile
End Code	Juvenile

Fingerprints Taken or Needed	Juvenile
Date Fingerprints Taken	Juvenile
County Where Prints Taken	Juvenile
Persons ID Number (Can't Associate With)	Juvenile
Persons File Number (Can't Associate With)	Juvenile
Persons Last Name (Can't Associate With)	Juvenile
Persons First Name (Can't Associate With)	Juvenile
Persons Middle Name (Can't Associate With)	Juvenile
File Number	Consequences
Account ID	Consequences
Bill Cycle	Consequences
Last Bill Date	Consequences
Collection Status Flag	Consequences
Collection Status Date	Consequences
Record Established By	Consequences
Record Established Date	Consequences
Record Updated By	Consequences
Record Updated Date	Consequences
Effective Date	Consequences
Address ID	Consequences
Last Name	Consequences
First Name	Consequences
Middle Initial	Consequences
Relationship	Consequences
Billing Address Street	Consequences
Billing Address City	Consequences
Billing State	Consequences
Billing Address Zip	Consequences
Area Code For Home Number	Consequences
Phone Number	Consequences
Source of Information	Consequences
Account ID	Consequences
Assessment ID	Consequences
Message Number	Consequences
Date Message Logged	Consequences
Program ID	Consequences
Program Code	Consequences
Program Type	Consequences
Program Start Date	Consequences
Program End Date	Consequences
Program Due Date	Consequences
Extension Date	Consequences
Number of Extensions	Consequences
Interview Flag	Consequences
Hours Assigned	Consequences
Hours Completed	Consequences
Completion Code	Consequences
Number of Completion Entries	Consequences

Current Agency Code	Consequences
Complaint Number	Consequences
Program Completion ID	Consequences
Hours Due	Consequences
Hours Start Date	Consequences
Hours Due Date	Consequences
Program Completion Date	Consequences
Agency Code	Consequences
Payment Id	Consequences
Payment Date	Consequences
Payment Amount	Consequences
Payment Made By	Consequences
Payment Made By Social Security Number	Consequences
Payment By Phone Number	Consequences
Payment Type	Consequences
Check or Money Order Number	Consequences
Payment Notes	Consequences
Payment Void	Consequences
Void By	Consequences
Void Date	Consequences
Void Time	Consequences
Assessment ID	Consequences
Assessment Start Date	Consequences
Assessment End Date	Consequences
Assessment Estimated End Date	Consequences
Assessment End Type	Consequences
Assessment Code	Consequences
Assessment Type	Consequences
Ranking For Payment	Consequences
Monthly Assessment	Consequences
Assessment Amount	Consequences
Modified Date	Consequences
Modified Amount	Consequences
Suspend From Date	Consequences
Suspend To Date	Consequences
Total Assessed	Consequences
Balance - or +	Consequences
Total Paid From Payment Transaction	Consequences
Past Due Amount	Consequences
Current Due Amount	Consequences
Installment Amount	Consequences
Number of Installments	Consequences
Last Bill Date	Consequences
Bill Assessment Flag	Consequences
Assessment Void	Consequences
Void By	Consequences
Void Date	Consequences
Void Time	Consequences

Transaction ID	Consequences
Transaction Date	Consequences
Transaction Code	Consequences
Debit Amount	Consequences
Credit Amount	Consequences
Payment Received Date	Consequences
Receipt Number	Consequences
Transaction On Bill Date	Consequences
Transaction Void	Consequences
File Number	Diversion
Case Status ID	Diversion
Case Status	Diversion
Start Date	Diversion
Start Code	Diversion
Estimated End Date	Diversion
End Date	Diversion
End Code	Diversion
Hearing ID	Diversion
Established By	Diversion
Established Date	Diversion
Last Updated By	Diversion
Last Updated Date	Diversion
Complaint Number	Diversion
Date Complaint Recived	Diversion
County Attorney Review Level	Diversion
Count Number	Diversion
Offense Code	Diversion
Offense Date	Diversion
Offense Time	Diversion
DR Number	Diversion
Complaint Record Established By	Diversion
Complaint Record Established Date	Diversion
Complaint Record Updated By	Diversion
Complaint Record Updated Date	Diversion
Referral Eligibility Reason 1	Diversion
Referral Eligibility Reason 2	Diversion
Referral Eligibility Reason 3	Diversion
Reason 1 To Criminal System	Diversion
Reason 2 To Criminal System	Diversion
Reason 3 To Criminal System	Diversion
Reason 1 Not Sent Criminal	Diversion
Reason 2 Not Sent Criminal	Diversion
Reason 3 Not Sent Criminal	Diversion
Criminal System Start Date	Diversion
Date Returned From Criminal	Diversion
Why Returned From Criminal	Diversion
Location Code	Calendaring
Location Name	Calendaring

Location Street	Calendaring
Location City	Calendaring
Lcoation State	Calendaring
Location Zip Code	Calendaring
Location Area Code	Calendaring
Location Prefix	Calendaring
Location Extension	Calendaring
Hearing Record Established By	Calendaring
Hearing Record Established Date	Calendaring
Hearing Record Updated By	Calendaring
Hearing Record Updated Date	Calendaring
User ID	Calendaring
Last Name	Calendaring
First Name	Calendaring
Users Document Number	Calendaring
Users Batch Number	Calendaring
Hearing Date	Calendaring
Scheduled Hearing Officer	Calendaring
Hearing Time	Calendaring
Hearing Type	Calendaring
File Number	Calendaring
Hearing ID	Calendaring
Notepad ID Number	Calendaring
Notepad	Calendaring
Confidential ID	Calendaring
Related File Number	Calendaring
Active Number	Calendaring
Actual Hearing Officer	Calendaring
Evidence Code	Calendaring
Actual Start Time	Calendaring
Actual End Time	Calendaring
Estimated Length	Calendaring
Specific Set Flag	Calendaring
Hearing Facility	Calendaring
Result Code	Calendaring
Hearing Movant Code	Calendaring
Date Made Inactive	Calendaring
Petition Number	Calendaring
Petition Date	Calendaring
Petition Date Suffix	Calendaring
Filed By Code	Calendaring
Petition Code	Calendaring
Status Code	Calendaring
Facility	Calendaring
Interested Party ID	Calendaring
Interested Party Number	Calendaring
Active Party	Calendaring
Last Name	Calendaring

First Name	Calendaring
Type of Interested Parties	Calendaring
Phone Number	Calendaring
Representing Who	Calendaring
Bar Number	Calendaring

## APPENDIX H Victim Needs for CMS

### **Victims**

*Legal Reference: ACJA Section 5-204: Administration of Victim Rights; ARS 13-804-806; 13-4401-4439 and ARS 8-381-421*

### Critical Needs

- Sensitive data screen- court must maintain confidentiality\*\* (13-4434)
- Ability to determine minor victim (under age 18)
- If minor, need information fields for parent/guardian
- Indicate if interpreter is needed for victim with capabilities to list multiple languages
- Ability to note if victim requested or “invoked” rights
- Ability to note if victim impact statement received
- Victim impact statement routed to APD- Pre-sentence
- Restitution
  - Multiple fields for address and contact information and update fields
  - Capable for multiple entries for multiple victims
  - J/S liable capabilities- split payments
  - Total restitution amount for all victims
  - Total amount field owed to each separate victim
  - Total monthly payment amount field owed to each separate victim
  - Capability to add modifications to payments (text and date fields)
  - Automatic flag to disburse monies within XX days of payments received  
\*\*(ACJA 5-204 (K)(2))
  - Interest calculator \*\* (13-805)
  - Multiple fields to allow for changes to payment/disbursement schedule
  - Check box to indicate appeal status- trigger payment holds (i.e. appeals)
  - Criminal restitution order filed checkbox/date field

### Desired Enhancements

- Notation of victim advocate involved
- Victims' Private counsel contact information

## APPENDIX I Interpreter Needs for CMS

### ***Interpreters***

#### Critical Needs

- Capability to indicate which language needed – (able to add to list)
- Sub-fields to record dialects
- Interpreter Name/Agency- must expand when multiple interpreters used
- Designation for division or region
- Job ID request field
- Job ID filled or continuance
- Job duration (expected)
- Job start time (actual)
- Job end time (actual)
- Multiple interpreters needed (check box)
- Interpreter designation (staff, contract)
- Interpreter appearance (in person, telephonic, video)

#### Desired Enhancements

- Capable to run a report to provide a calendaring system for staff interpreters
- Report functionality for statistics by:
  - Language
  - Interpreter
  - Division
- Functionality to create payments for contract/per diem interpreters (including hourly rate & mileage calculator)
- Field to indicate certification status- ability to note if interpreters have complied with courts' rules
- Email notification- automatic emails sent to interpreters. First email sent to preferred interpreters. Timed-out feature to trigger second email sent if not accepted to secondary level interpreters

**APPENDIX J  
AOC Security Directives**

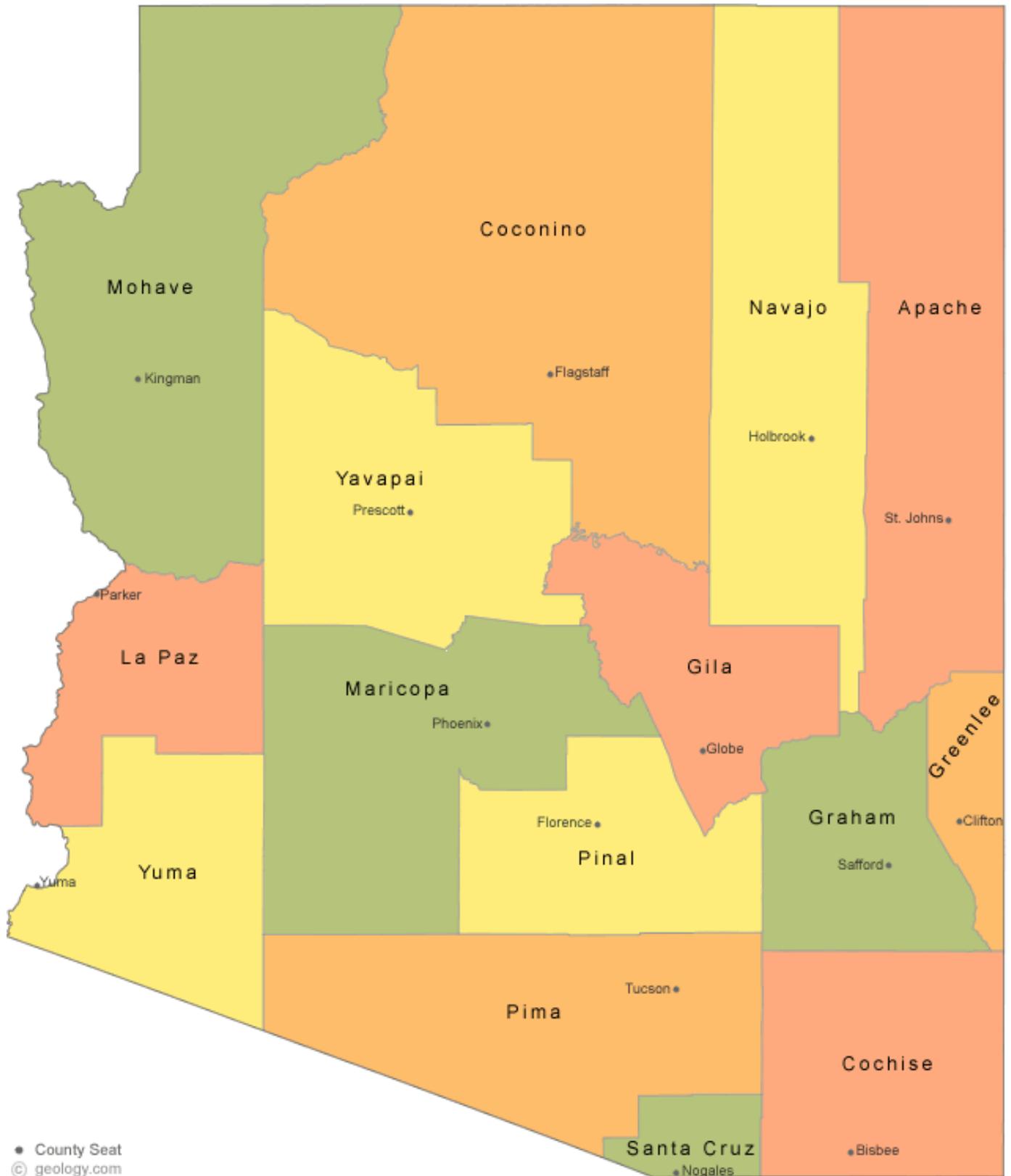
<b>Workstations</b>	<p>The workstations run Microsoft XP and Vista and are configured using Window's group security policies which restrict the user's rights, preventing them from adding and modifying unauthorized software or hardware on the workstation. The users can delete some software and hardware components, but software such as virus scan and remote access software are locked by a hidden administrative password, so the user can not remove them. The users also can not access the windows registry under the security policy. The workstation's screen saver feature are locked after 20 minutes of inactivity and require a password to reactivate, this feature can be modify to a shorter duration, if required.</p>
<b>Application Servers</b>	<p>Application servers run under Windows 2003 and are configured for the specific purpose of the server. Only operations personnel will have administrative rights to the production server. All servers will have McAfee virus and Tivoli Monitoring software installed.</p>
<b>Database Servers</b>	<p>Database servers run under Windows 2003 with Microsoft SQL 2005 SP1. Only operations personnel will have administrative rights to the production servers and database engines. All servers will have McAfee virus and Tivoli Monitoring software installed.</p>
<b>Internet Access</b>	<p>Internet access to internal applications is control under a user account and password utilizing a full</p>

	<b>tunnel Cisco VPN connection provide by operations.</b>
<b>Intranet Access</b>	<b>Applications access is control by domain authentication using a user account and password.</b>
<b>Extranet Access</b>	<b>Extranet access to internal applications is control under a user account and password utilizing a full tunnel Cisco VPN connection provide by operations.</b>
<b>User Accounts</b>	<b>User-IDs will conform to the standard format of first initial last name. Duplicate names will use the second letter of the first name or the first letter of middle name.</b>
<b>Passwords</b>	<b>Depending on a system's capability, passwords should have a minimum length of 5 characters and must contain a minimum of 2 alpha characters and 2 numeric characters. Depending upon system capability, the password must be changed at least every 60 days.</b>
<b>Access Management</b>	<b>Web server applications access will be control italicizing Tivoli Access Manger for e-business to enforce defense in depth protection. Defense in depth involves layering access enforcement points, and separating an untrusted requester's network from a secure network with a buffer network (DMZ).</b>
<b>Vendor Support</b>	<b>Third party vendor's support will be provided with the approval and monitoring of the system administrator. The vendor will be given an account id and password which will be enabled only for the time period required to accomplish the approved tasks (such as remote</b>

	<p><b>maintenance). Third Party Vendor Support will not be granted to shared databases. Support will be through the application only. Database support will be coordinated and conducted by the AOC DBAs. If a perpetual or long-term connection is required, then the connection must be established by approved extended user authentication methods (hand-held tokens, software-based challenge/response process, etc.).</b></p>
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**APPENDIX K**  
**Arizona County Sizes and Map**

<b>SUPERIOR COURT</b>	<b>2006 Case Filings</b>	<b># of PC's</b>	<b>Size of Court</b>
APACHE	1,081	17	SMALL
COCHISE	4,441	75	MEDIUM
COCONINO	3,895	50	SMALL
GILA	1,976	51	SMALL
GRAHAM	1,429	17	SMALL
GREENLEE	296	7	SMALL
LA PAZ	935	13	SMALL
MOHAVE	6,319	100	MEDIUM
NAVAJO	3,047	46	SMALL
PINAL	8,646	145	MEDIUM
SANTA CRUZ	2,329	32	SMALL
YAVAPAI	7,970	97	MEDIUM
YUMA	6,222	100	MEDIUM
<b>Totals</b>	<b>48,586</b>	<b>750</b>	



**APPENDIX L**  
**Sample Letter & Questionnaire to References**

Dear \_\_\_\_\_ :

The Judiciary in the State of Arizona has issued an RFP for an integrated case management system that will integrate all cases in our court system. Your jurisdiction was listed as one of the sites by XXXXXXXX, who is one of the bidders on this project.

Since this system is one of the most important steps that the Arizona Court System has undertaken, we would like to maximize our chance of success by checking out the work of the vendor or the effectiveness of the software package as much as possible. Any information you could provide us would be valuable in helping us evaluate the vendor and the package. As such, please feel free to attach comments or additional information that you feel would be helpful to us in our quest.

We can be reached via mail at:

Automation Services Unit  
Arizona Supreme Court  
1501 West Jefferson Street, Suite 410  
Phoenix, AZ 85007

Or via email at: \_\_\_\_\_@courts.az.gov

Or via telephone at: (602) 452-XXXX.

Thank you very much for your contribution to this project. We are very much in appreciation for your time and effort to complete the questionnaire.

Yours very truly,

### USER SATISFACTION QUESTIONNAIRE

System: \_\_\_\_\_ Court: \_\_\_\_\_

Scoring criteria: 1=unsatisfactory, 2=below average, 3=average, 4=better than average, 5=outstanding

#	General System Questions	1	2	3	4	5
1	How satisfied are you with the general operation of the system?					
2	To what extent does the system fulfill your requirements pursuant to your requirements?					
3	Does the system contribute significantly toward making your work more efficient?					
4	How satisfied are you with the user interfaces?					
5	How do you rate the system response time?					
6	How helpful was the training you received?					
7	How satisfied are you with the company's response to your problems or questions?					
8	How do you rate the stability of the system?					
9	How do you rate the level of service provided by the contractor?					
10	How do you rate the level of service provided by the software vendor?					
11	What is your evaluation of the system security?					
12	How changes are managed (handling of problems and bugs)?					
13	Rate the openness of the system and its flexibility vis-à-vis suggestions for changes and improvements.					
14	What is the extent of activity and involvement of the users?					

### USER SATISFACTION QUESTIONNAIRE

System: \_\_\_\_\_ Court: \_\_\_\_\_

Scoring criteria: 1=unsatisfactory, 2=below average, 3=average, 4=better than average, 5=outstanding

#	User Interface Questions	1	2	3	4	5
1	How satisfied are you with the general operation of the system?					
2	To what extent does the system fulfill your requirements pursuant to your requirements?					
3	Does the system contribute significantly toward making your work more efficient?					
4	How satisfied are you with the user interfaces?					
5	Do the screen layouts make tasks easier?					
		inadequate< ----- > adequate				
6	Is the amount of information displayed on the screen adequate?					
		illogical< ----- > logical				
7	Is the arrangement of information on the screen logical or illogical?					
		confusing< ----- > clear				
8	Is the sequence of screens confusing or clear?					
9	When performing a sequence of tasks (case initiation etc.), is the system confusing or clear and easy to understand?					
		unpredictable< ----- > predictable				
10	Is the next screen in sequence predictable or unpredictable?					
		impossible< ----- > possible				
11	Going back to the previous screen is?					
12	Finding information in the system is?					
13	Screen to screen movement is?					
14	Finding all of a person's cases given just a name is?					

## **APPENDIX M**

### **Definitions**

**Administrative Office of the Courts (AOC)** is the Arizona Supreme Court support agency.

**Assessment** is a monetary obligation for which a party on a case must pay. These obligations may be required by statute and implemented by the clerk ordered from the court. Assessments are generally paid through the clerk's office, but may in some instances be paid at other locations/agencies. Examples of assessments include judgments, fines, fees, restitution.

**Batch** is a set of data or jobs to be processed in a single program run.

**Calendar Types** include 1) court calendars that document the schedule of trials and hearings and are generally available for public viewing, and 2) personal calendars that maintain a judicial officer's schedule and are not generally available for public viewing.

**Capital Case** is a designation dealing with a capitol offense, such as murder.

**Case Status Types for the MCSR** include: 1) Pending cases that have not been adjudicated; 2) Adjudicated cases, which have been concluded by final judgment or other order of the court, 3) Dormant cases that are not currently active but are not scheduled for a hearing for dismissal; and 4) Vacated cases that have been made void or annulled.

**Cash Drawer** holds paper money and currency and can be an integrated component of a cash register or a separate peripheral device.

**Case Docket or Register of Actions** is a term used to describe the document that contains all events in a case.

**Check Run** is a process by which checks are processed and printed, based on a pre-defined schedule, to be distributed to the appropriate parties.

**Clerk Location** is any physical location where personnel from the clerk's office have the ability to enter assessments or to collect money on previous assessments.

**Community Restitution** is the act of performing charitable services without monetary compensation, either entirely or partly, in lieu of, other judicial remedies and penalties such as fines and jail time

**Complex Case** is any case that can be classified as complex because it involves multiple parties, non-party participants, counter-claims, cross claims and/or a more

complex decision environment such as a higher level court cases, or complex legal or technical issues.

**Court Location** is a physical location in which hearings and trials are heard and may also describe the four digit court identifying number assigned by Arizona Department of Public Safety.

**CourTools** is a set of ten trial court performance measures that offers court managers a balanced perspective on court operations.

**Disbursements** are monies collected by the clerk and sent, either electronically or via check, to another individual or entity.

**Disposition** is an event that serves to conclude the court's jurisdiction or involvement in the case and, while including judgments, also includes other events such as transfer out to another court and/or venue or jurisdiction. \*\*Note: dispositions can be legal, which resolve a matter between parties, or statistical.

**Distribution Formula (Allocation Criteria)** is an algorithm that allows the proper allocation of money collected to the proper obligations on the case.

**Distribution** is the division of monies or assets from an estate or property among rightful entities and/or individuals and can be disbursed either electronically or by paper.

**Escrow** is money, property, a deed, or a bond put into the custody of a third party for delivery to a grantee only after the fulfillment of the conditions specified.

**Event** is any occurrence in the life of a case or prior to a case that must be documented. Events can be public, viewable by any user or private with viewing restricted by security mechanisms. Examples include the filing of a document, issuance of an order, and appearance by an attorney.

**Journal** is a book of original entry in a double-entry system listing all transactions and indicating the accounts to which they belong.

**Judgment** is a legal adjudication of a claim upon its merits. Examples include judgment following a trial, default judgment, summary judgment, and judgment on the evidence.

**Ledger Account or General Ledger** is an account of a customer kept in a business ledger of debits and credits, i.e., charges and payments, which shows the amount due at any given time.

**Local Level** refers to a configuration that allows state administrators to delegate certain configuration parameters to be set at the county or other levels as defined by the state.

**Miscellaneous Receipts** refers to a clerk's account into which funds collected for non-case related matters are placed for disbursement, e.g. photocopying or charges for certified copies of court documents.

**Monthly Caseload Statistical Report** is a report that captures statistics, by case type, which each court must submit to the Arizona Supreme Court, Administrative Office of the Courts on a monthly basis according to the Code of Judicial Administration, Section 1-701. The report has multiple parts: 1) the number of defendants, per case type, that were pending at the end of the preceding month and thus becomes the beginning pending for the current month; 2) the number of defendants, by case type, that were filed or came into the court during the current month; 3) the disposition of the cases, by case type, during the current month; and 4) cases pending at the end of the current month, which is a mathematical computation starting with the number of cases pending from the preceding month to which cases filed during the current month are added and dispositions during the month are subtracted. The general jurisdiction statistical report also captures certain events that take place in the court during the month, such as the number of trials commenced, and also reports on the disposition of criminal defendants and the disposition of limited jurisdiction court appeals.

**Navigation** refers to the functionality related to usability and presentation of the CMS.

**Offense** is used in the criminal context and means a violation of a specific statute, which can be either a felony or misdemeanor.

**Paper Receipt** is the printed payment verification that is generated, via a printer or other printing device, at the time a payment is received.

**Participant** is any person or entity involved in a case that is not a party, judicial officer or attorney representing a party. Examples include a witness, guardian ad litem, and interpreter.

**Payment Instrument** means the specific manner in which a clerk's office receives or tenders money and can be cash, cashier's check, personal check, money order, debit card, credit card, etc. Each type may be subject to a clearing hold, and the duration of the hold may vary by the type of instrument.

**Receipt Verification** is a paper or electronic verification of a financial transaction.

**Receipts** are issued for monies paid to the court or clerk's office.

**Related Cases** are two or more cases that have a characteristic in common and, although not formally joined or consolidated, may be linked for scheduling or other purposes for the convenience of the court or parties.

**Role** indicates a specific status within a case, such as a party, judicial officer or attorney representing a party.

**Rule 8** is the Arizona Court Procedural rule dealing with speedy trial.

**Sealed Cases** are trial records and decisions that – based on a specific court order – can not be examined without express permission. \*\* Note: Different than “not public access” as defined in Rule 123.

**Service of Notice** is the process by which a party or attorney is made aware of court activities for which they must be informed. Service of notice is typically performed using first class mail to an address provided by a party or attorney, but may use alternate methods when appropriate including certified mail, etc. Service of notice may also be performed for participants at the direction of the court.

**Service of Process** is the process by which a court acquires jurisdiction over a party by producing a written notice to the party and verifying the delivery of this notice to the party. Various methods may be employed to effect service of process, including personal service, certified mail/return receipt, service by law enforcement, etc.

**Simple Civil Case** is a civil case with one plaintiff and one defendant and not more than one counter-claim.

**SSL** is an acronym for Secure Sockets Layer, a protocol developed for transmitting private documents via the Internet. By convention, URLs requiring a SSL connection start with https: instead of http:

**Tickler** is an automatic system for reminding users of scheduled events or tasks. A “smart” tickler refers to a tickler that has the ability to analyze the context of what a user is doing and can provide automatic references or reminders to users that could be contextually relevant.

**Title IV-D** is a Status Type of family law case for Federal funding.

## APPENDIX N Acronyms

ABA	Arizona State Bar Association
ACJC	Arizona Criminal Justice Commission
ADPS	Arizona Department of Public Safety (State Police)
ADR	Alternate Dispute Resolution
AFIS	Automated Fingerprint Identification System
AG	State Attorney General
AJIN	Arizona Judicial Information Network
AOC	Administrative Office of the Courts
APO	Adult Probation Office
AZTEC	Statewide legacy CMS
CA	County Attorney
CACC	Court Automation Coordinating Committee
CASA	Court Appointed Special Advocate
CMS	Case Management System
COC	Clerk of Court
COT	Commission on Technology
CPOR	Central Protective Order Repository
CSD	Court Services Division at AOC
DBMS	Database Management System
DCMS	Differentiated Case Management System
DES	Department of Economic Security
DOC	Department of Corrections
DOR	Department of Revenue
EDMS	Electronic Document Management System
FARE	Fines Fees and Restitution Enforcement Program
FDR	Final Disposition Report
G/L	General Ledger
GJXDM	Global Justice XML Data Model
ICJIS	Integrated Criminal Justice Information System
ITD	Information Technology Division at AOC
IV-D	Status Type of family law case for Federal funding
LEA	Law Enforcement Agency
MAS	Minimum Accounting Standards
ME	Minute Entry
MEEDS	Minute Entry Electronic Distribution System
MVD	Motor Vehicle Division
NCIC	National Crime Information Center
NCSC	National Center for State Courts
PAM	Probate and Arbitration Module
PD	Public Defender
ROA	Register of Actions
TAC	Technical Advisory Committee
TIP	Tax Intercept Program