



February 2, 2015

**STATE OF ALABAMA
COUNTY OF SHELBY**

Sealed Bids for Case Management System

Sealed bids for Case Management System will be received in the office of the County Manager, Shelby County Administration Building, 200 West College Street in Columbiana, Alabama 35051 (mailing address: P. O. Box 467), until **4:30 p.m. March 10, 2015** at which time bids will be publicly opened and read. The Shelby County Commission reserves the right to reject any or all bids and to waive informalities in awarding this bid to the lowest bidder. Bidders are to state that bids submitted are firm and that no claims for errors will be made after bids are opened and subsequent thereof. If you have any questions concerning this bid, please contact Chuck Owen at westes@shelbyal.com.

GENERAL INFORMATION

All bidders must use our form for submitting their bids. All bids must be sealed and marked in the lower left corner "**BID –Case Management System**" with opening date and time. Late bids will not be opened.

Records showing successful bidder(s) and prices quoted will be placed on file and may be examined upon request. If contract is awarded to someone other than lowest bidder, a note of explanation will appear in the file and Commission Minutes.

Prices must be valid for a period of one year from date of bid award. This contract may be renewed for up to three (3) years from the initial award date upon the agreement of both parties

Products shall be compatible with dispensers currently in use. All pricing shall include delivery to Columbiana, Alabama.

Any entity of Shelby County Commission may purchase from this bid.

Shelby County requires a purchase order for all purchases. Copies of purchase orders shall be required by vendor for orders to be processed and invoices paid.

DISQUALIFICATION OF BIDS

Bids may be disqualified before awarding of the contract for any of the following:

- A. Failure to mark envelope as required;
- B. Failure to sign or notarize the bid document;
- C. Failure to include requested information or other details of the bid
- D.

METHOD OF AWARD

The award will be made to the lowest responsive bidder meeting specifications. It is not the policy of The Shelby County Commission to purchase on the basis of low bid only. Quality, conformity with specifications, purpose for which required, terms of delivery, and past service and experience are among the factors that may be considered in determining the responsive bidder.

The Shelby County Commission reserves the right to award separate contracts for each item, each product, or any combination of products if in the best interest of the Shelby County Commission.

All awarded vendors must provide Immigration Law Compliance Documents found on the Shelby County website at www.shelbyal.com.

Please provide your bid response in triplicate, one original and two copies.



Alex Dudchock
County Manager

The undersigned offers these prices, terms and delivery as per stated specifications.

Name of Company: _____
Signature: _____
Print Name: _____
Address: _____
Email Address: _____
Phone: (Include area code) _____

Sworn to and subscribed before me this

The _____ day of _____, 2015

Notary Public

My Commission Expires: _____.



2015

Case Management System

(Probate Court)

Prepared by:

IT Services

Shelby County

102 Depot Street

P.O. Box 467

Columbiana, AL 35051

1/30/2015

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1. Introduction

1.1. Overview

Shelby County, Alabama desires to solicit competitive bids from responsible vendors to provide a judicial case management system product and services for the Probate Court, Shelby County, Alabama.

This bid is the first step in an initiative to replace the existing case management system currently in use by the Probate Court. The focus is on flexibility of managing court cases as well as providing extensive audit reporting to meet the current and future demands of Shelby County. This initiative will provide the framework to streamline business processes and implement a system with a common architecture, which will ultimately allow the Probate Court to respond to new requirements in a timely and effective manner. Accordingly, the Probate Court is soliciting information for established application software. This bid is not a custom coding development effort. The Probate Court desires to purchase/license an existing Commercially Off the Shelf (COTS) product with maintenance services.

The Probate Court will schedule pre-proposal meetings to respond to all inquiries with regards to this project. Prospective vendors are encouraged to schedule their meeting time during the weeks of February 9th and February 16th. Meetings will be scheduled on a first come first served basis at the availability of the court. Meetings will be held in the Probate Court, located in the Court House at 112 North Main Street, in Columbiana, Alabama. To schedule a pre-proposal meeting contact Kim Melton or Lisa Morgan at (205) 669-3710.

1.2. Background

Shelby County is one of the fastest growing counties in the State of Alabama, encompassing approximately 810 square miles in Central Alabama. Shelby County presently has an estimated 195,000 residents and projections are that by 2015 there will be 216,000 people living in Shelby County. Shelby County currently employs almost 600 employees.

This project was formulated to deliver a Microsoft Windows Server, Microsoft SQL Server, web based, on premise solution incorporated into the County's VMware 5.1 virtual environment. This project fits into the County's technology strategy of migrating business applications from disparate systems to a defined architecture that enables web based delivery to connect information, people, systems, and devices through software.

1.3. General Goals and Objectives

This project is designed to improve the overall effectiveness of the Probate Court's case management system and position the County for future growth. The primary reason for this project and making the change is that the current systems vendor has exited the case management market. This project will enable re-engineering of the business units and provide for flexibility, additional monitoring tools and enhanced performance. Thus, Shelby County has developed the following objectives:

Integrate people, processes, and technology to provide a balanced service level.

- Create a collaborative environment where access to data and information, even from remote locations, is based on a common system interface. This will enhance flexibility, data definition, data stewardship, reporting & monitoring and increasing security.

Leverage resources, institutional knowledge, developing skill sets, and technology in an effort to continuously improve service and productivity throughout Shelby County.

- Increase the ability to be more responsive to business demands

- Promote the creation of a faster, more accurate, and more proactive technological environment.

Mitigate risk to Shelby County by focusing on compliance requirements and understanding the impact these requirements have on productivity and customer service.

- Develop an integrated structure that will promote the consistent enforcement of policies, procedures, local, state and Federal laws and regulations throughout Shelby County.
- Design an environment that eliminates redundant technological solutions and encourages solutions that maximize the goals and objectives of Shelby County. This may be accomplished through the use of creative design, timely issue resolution, thoughtful decision making, and consistent project management.

1.4. Partnering Principles

Shelby County believes the general partnering principles below are essential to successful technology relationships. These principles are incorporated into all contractual relationships regarding strategic applications.

Partnering Principle #1 - Commitment to state-of-the-art products

Shelby County will be making a significant intellectual capital and resource investment in Vendor's products. Vendor historically has made and, within reasonable fiscal constraints expects to continue to make, investments in the ongoing development of its products, including the Software.

Partnering Principle #2 - Predictability of on-going costs and expenses

Costs and expenses must be clearly articulated and understood by the Parties prior to executing contractual agreements or change orders.

Partnering Principle #3 - Decision-making authority

Each Party will commit knowledgeable and empowered managers and other key decision-makers to cultivate and support the relationship created through the Agreement.

Partnering Principle #4 - Time-to-market solutions and regulatory updates

In a long-term technology relationship, time-to-market for products is critical to Shelby County. Vendor will work with Shelby County to facilitate timely deployment of Vendor's products.

Partnering Principle #5 - Realizing expected and future benefits

Vendor will work with Shelby County to identify and set forth in contractual agreements quantifiable, measurable benefits associated with deploying and using Vendor's products.

Partnering Principle #6 - Protection of investment

Vendor will work with Shelby County to ensure investments in Vendor's products are protected economically against shifts in platforms and product migrations.

Partnering Principle #7 - Management participation

Vendor will make appropriate opportunities available to Shelby County to become involved in Vendor's technology strategic planning process. On-going representation and/or observation on appropriate customer councils and committees related to Vendor products also will be made available to Shelby County.

Partnering Principle #8 - Quality resources to support the relationship

Vendor will commit quality and support resources and systems to support their relationship. You manage what you measure.

Partnering Principle #9 - Growth opportunities

Vendor must be flexible in addressing Shelby County's future growth.

Partnering Principle #10 - Commitment to open architecture environment

Vendor has adopted and intends to continue to promote open architecture solutions. Vendor will make available to Shelby County all application programming interfaces and other

Interfaces and related documentation to promote interoperability among Vendor's system and Shelby County's other systems to the same extent that like items are made available by Vendor to its other customers.

Partnering Principle #11 - Alignment of accountability/responsibility

Accountability and responsibility will be aligned to facilitate decision making, accountability and a results-focused orientation.

2. Project Scope

2.1. Specific Tasks

Provide Project Management Services for the length of the project. Provide a case management system customized to the needs of the Probate Court, which has the following, but is not limited to:

- Provide a graphical user interface that is visually appealing and encourages intuitive use.
- Can be used and accessed with a traditional desktop, laptop, tablet or iPad with minimal differences in functionality and user interface.
- Provide user notifications about upcoming events, overdue events and other notable events.
- Allows for differentiated case management of various types of petitions, services, and cases, each set to have user-defined rules and timeframes that the user can change at any time without provider support.
- Provide integrated scanning capabilities or integrates with electronic document images so that documents can be scanned and stored in the system as well as images may be emailed from the system.
- Allows document and label creation through integration with industry standard products such as: Microsoft Word, Adobe PDF, Microsoft Excel.
- Differentiates levels of users who are granted access to the system based on defined roles.
- User should be able to create new reports, change case rules, change user privileges, with the appropriate privileged access to the system.
- Allows for electronic signature of all documents that can be authenticated in some way. Signature pad capability is preferred, but not required.
- Provide a web-based, password protected interface for outside users (generally attorneys) to e-file any and all court documents in compliance with rules of the Alabama Supreme Court, including secure payment of fees as required by the Alabama Department of Public Examiner's office.
- All report writing capabilities should be able to be done through an interface that allows the end-user to build the report without support from the vendor whenever and wherever possible.
- The current system has many customized reports required by the Probate Office. These include but are not limited to monthly financial reports, daily financial reports, monthly disbursement reports, claims reports, case action summary reports and docket reports. Vendor must reproduce or prove that such reports exist in proposed system.
- Provide easy-to-understand error reporting, messaging, and logs to help identify software problems quickly and efficiently.

- Provide the ability to review all cases in which a particular petitioner, applicant or attorney is involved, and which are currently open and active, as well as all cases that have been disposed.
- Provide the ability to print multiple copies of documents and case notes.
- System should have the capability to schedule hearings, reminders, letters, notices, citations, and annual reports based on defined parameters.
- Provide electronic access for the public to review and print court records from the web or at kiosks within the courthouse based on user-defined security and access parameters.
- Ability to print checks to a preprinted check and to choose what amounts to include on the check.
- Provide ability for user to add or change cost types.
- Ability to create and pay invoices, including partial payments, and properly disburse to the payee. The system should allow for costs to be charged to multiple payors.
- Upon creation of case, the system must have the ability to auto-generate a case number, notify the user of cases regarding the same person already in the system and create an invoice where applicable.
- Must be able to search by name, case number, case type, document type, invoice number and receipt number.
- Must be able to scan individual documents into a case and identify each document on a case action summary screen.
- Must have ability in document creation to populate the form with data previously entered in the case and be able to change the populated form (including font and content) after its creation.
- Provide a court calendar, with ability to docket, continue, and remove cases.
- Ability to create notices based on the hearing date.
- Ability to track service of process in the system showing current service status.
- Ability to create a claims report showing all claims in the case and their current status.
- Ability to track surety bonds.
- Maintain a separate fiduciary financial account with the ability to generate checks, log deposits and make disbursements including interest entries.
- Ability to establish ticklers to notify a clerk of items required by the court that are due or past due.

Provide data conversion services to the new system prior to implementation of the new system, as well as provide guarantees that data is accurately converted from the old system to the new system.

Provide extensive end user training and product documentation on the version of software being implemented. Where applicable, vendor will provide the IT Services Department with the appropriate setup files and installation instructions to install a fully functional case management workstation.

2.2. Technology Scope

The hardware and technical infrastructure requirements to support enterprise systems include hardware, software, technical and networking infrastructure, and desktop

requirements. Proposed solutions will be evaluated for their support and use of the following technology components:

- Intranet Usage
- Document Imaging
- User Access/Security Infrastructure
- Integration and Interface Architecture
- Reporting and Data Warehousing
- User Interfaces
- Data Conversions
- Web, application, and database server architecture
- Software Development Tools
- Performance Monitoring Tools
- Technology Standards
- Hardware Architecture

2.3. Current Technical Environment

There are a wide variety of information technology systems, architectures, and infrastructures currently in use at Shelby County. This is the result of several influences including the available technology at the time the applications were developed, the varied needs resulting from Shelby County's broad mission and focus. This section briefly describes those existing architectures.

Application Architecture

Today, there are a several standalone systems that perform Shelby County's day to day business functions. Newer applications are for the most part SQL, Oracle and .Net applications. The current GIS utilizes the following ESRI desktop and server products:

- ArcSDE Server 10.0
- ArcGIS Server 10.0
- ArcGIS ImageServer 10.0
- ArcMap 10.0
 - ArcView
 - ArcEditor
 - ArcInfo

The ESRI server products run on VMWare 5.1 virtual machines and the GIS database is currently Microsoft SQL Server 2008 R2. The County's mobile work force uses NetMotion mobile VPN technologies to securely communicate with local servers.

Data Architecture

As a direct result of Shelby County's diverse application portfolio, data is stored on multiple platforms using multiple formats, and application-specific designs and conventions. Most data structures were implemented around the application architecture resulting in a data architecture that has emerged rather than evolved. Rather than utilizing one or two database products, Oracle, SQL Server and Access are all represented in the enterprise.

2.4. Key Architectural Principles

Although the existing technological environment may continue to exist for some time, Shelby County will be building the bulk of its future technical architecture on VMWare platform foundation. As a result it is essential that any solution set adhere to the following key architectural principles:

Reusability

The architecture should support the mixing and matching of generic and specific elements without undermining the overall design, accelerate the spread of reusable and extendible code, and provide object-oriented software, design tools and execution environments.

Manageability

The architecture should include facilities and support for control, tracking, and monitoring. For example, the tool set should include the ability to capture runtime events and to observe a single unit of work or thread.

Openness

The architecture should support software, platforms, and networks with open standards for process, user interface, data, and information exchange. Examples include Web Services or UBL, WSDL, UDDI, XSD, as well as open languages such as Java, and common dynamic scripting languages (e.g. Ruby/Perl). Further, preference will be given to solutions that support multiple standards, such as Microsoft's .Net Web services.

Scalability and Portability

In addition to the capacity for future growth, the architecture should provide for rapid capacity adjustment, seamless device connection or disconnection, and operation without impeding other platforms, applications, or databases. Further, the architecture should not be locked into a single platform and should be able to run on various platforms with little or no effort.

Flexibility and Adaptability

Support for device-independent interactions, user-specific customization, smart profiles and device detection, configuration, and operation are expected. The architecture should have the ability to support Microsoft SQL Server in addition to multiple browsers such as Microsoft Internet Explorer, Netscape, and Mozilla.

Compartmentalized Components

Separation of data structures, application logic and user interfaces, and support for Web services should be anticipated. Other essentials include exposing functionality as services, separating and modularizing the business logic, loosely coupling services, and designing appropriate granularity of services.

Robust Security Implementation

The architecture shall support standard security architectures to ensure integrity, and confidentiality. Information must be protected from tampering, or accidental changes and should be available only to authorized users. Access to applications, information, and resources should be parameter-based and provide authentication, authorization, and non-repudiation.

3. Vendor Qualifications

3.1. General Information

Each vendor shall give a brief background and history of its company, including the following:

- Corporate vision
- Software vision and applicability to County government
- Services and support vision
- Customer base specifically in government and, more specifically, in government probate or similar judicial systems.

3.2. Financial Data

Each vendor shall provide the following financial data:

- A copy of a credit rating report from any of the major credit rating agencies, Dun & Bradstreet, Moody's, Standard & Poor's, etc.
- Last 3 years of audited Key Financial Reports (Income Statements, Balance Sheet, etc.)

3.3. Market Experience

Each vendor shall provide information that demonstrates its commitment to the government market, including the following:

- List the dollar value and the percentage of total sales in the government market for each of the past three (3) years.
- List all government based entities that have implemented your software within the last three (3) years, the versions used by each, and the associated modules they implemented.

3.4. References

Provide three (3) references in the following format:

- Institution name
- Date contract was signed
- Date Implementation was completed
- Background of the project
- Modules Implemented
- Scale (budget and people assigned to project)
- Brief explanation of why this reference is relevant to Shelby County
- Reference Contact Name
- Reference Contact Title and Role in Implementation
- Contact Information, preferably address, telephone and email

3.5. Software Development

Each vendor shall provide information about its software product including the minimum information:

- Describe the overall architecture of your proposed software approach.
- Describe the hardware development platform and operating system that is used for development of the software.
- Describe the database used for development of the product.
- List the number of employees dedicated to product development
- Specify priority R&D initiatives of relevance to government systems

3.6. Pricing

Each vendor shall provide a detailed pricing proposal for the proposed software solution. The proposal should also include pricing information for support and maintenance services.

3.7. Software Support Services by Vendor

Each vendor shall provide the following minimum information regarding support services:

- Describe your method to collect and manage assistance requests or error reports from customer. Describe any proposed Service Level Agreement (SLA) commitments and processes.
- Describe the documentation provided with the product and the frequency and method of documentation updates.
- Describe your customer training program including on-site and off-site classes, class schedules, curriculum, materials and any on-line or computer based training

- Describe the tools you provide to test the software for configuration consistency, accuracy of function and system performance.

4. Instructions, Requirements

This bid is only available in electronic PDF format. The County will review all responses and supporting documentation to this bid and, if necessary, gather or solicit additional information that may be required to fulfill the purpose and expected outcomes contained in this document. Responding to this bid is not mandatory.

4.1. Handling of Vendor Inquiries

Vendors must respond to this bid by close of business on **March 10th, 2015**.

We may request respondents to present oral and/or provide demonstrations of the information contained in their response to this bid.

4.2. Confidential Information

Shelby County is a public institution, and as such, it is subject to the Alabama Public Records Laws. Vendor responses are not public documents until a contract is awarded. After a contract is awarded, if Shelby County receives a public records request pursuant to this statute for the vendors' proposals or other information relating to this bid, it is required by law to disclose such information unless such information meets the definition of a "trade secret". A "trade secret" is typically defined as "business or technical information, including but not limited to a formula, pattern, program, device, compilation of information, method, technique, or process that: (a) derives independent actual or potential commercial value from not being generally known or readily ascertainable through independent development or reverse engineering by persons who can obtain economic value from its disclosure or use; and (b) is the subject of efforts that are reasonable under the circumstances to maintain its secrecy." The vendor disclosing such trade secret must clearly mark such information "Confidential" in order for Shelby County to assert that it is a protected trade secret and not a public record if it receives a public records request.

4.3. Timeframes for Evaluation Process

The timeframes for the evaluation process will be as follows:

- **Distribute bid on February 2nd, 2015**
- **Receive Proposals from Vendors by March 10th, 2015**

4.4. Incorporation of Vendor Proposal

THE PROPOSAL SUBMITTED BY THE SUCCESSFUL VENDOR, TOGETHER WITH THE REPRESENTATIONS MADE BY THE SUCCESSFUL VENDOR, SHALL BE INCORPORATED INTO A MASTER TECHNOLOGY AGREEMENT BETWEEN SHELBY COUNTY AND THE SUCCESSFUL VENDOR.

In the event of a conflict between the terms of the successful vendor's proposal and this bid or the terms of another document relating to this bid, the order of precedence set forth in the Master Technology Agreement shall apply.

5. Business Workflows

To educate vendors on the Probate Court's business as it relates to this bid, we have constructed a system overview of our existing environment. This file is included with the bid.

- **Appendix A – Probate Court System Overview 337KB**

6. Legal Requirements

6.1. Overview

Shelby County wants to memorialize its arrangement with the successful vendor with a contract that fully and accurately captures the various commitments being made by vendor. Shelby County reserves the right to negotiate with more than one vendor as it determines from which vendor to purchase the system.

6.2. The Master Technology Agreement

Shelby County plans to use a Master Technology Agreement, or "MTA" to establish the contractual relationship with the successful vendor. The MTA will be structured as a master agreement to afford Shelby County the flexibility to acquire additional products and services in the future without the need to renegotiate the base agreement. Shelby County is mindful that the MTA will need to be tailored to take into consideration technical and functional aspects of a vendor's solution; however, the core approach and basic terms and conditions contained in the contract are not expected to change.

6.3. Use of Legal Counsel

Shelby County will use legal counsel to develop the MTA and may be using legal counsel to assist it in reviewing the vendors' responses. Because a legal review of each vendor's response may be undertaken by Shelby County in determining the likelihood of securing a contract with such vendor, Shelby County strongly recommends that each vendor involve its legal counsel as well.