KING COUNTY DEPARTMENT OF JUDICIAL ADMINISTRATION

E-FILING PROJECT
REQUEST FOR PROPOSALS (RFP)

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Section 1: Project Goal & Objectives

1.1 PROJECT GOAL

To enable the electronic filing and automated handling of all King County Superior Court case documents maintained by the Department of Judicial Administration (DJA), the Superior Court Clerk's Office.

1.2 PROJECT OBJECTIVES (MEASURABLE)

- Allow attorneys, litigants, court staff and other King County Law, Safety, and Justice (LSJ) agencies to electronically file court documents directly with DJA without requiring (1) the production of paper copies or (2) the services of a third party.

- Integrate the management of such electronic documents with the existing electronic document management (EDM) system. The current document handling system (Core ECR) manages only imaged (TIFF) documents and files.

- Develop automated methods for indexing, docketing, and processing financial transactions through the transfer of data between the filed electronic document and other requisite systems.

- Provide King County with Intranet access for internal agencies to view electronically filed documents, building on the existing system's capabilities for viewing imaged (TIFF) documents. This will include access control and security for sealed documents.

- Provide Internet access for the general public to the electronic court case records maintained by DJA.

- Comply with all State of Washington standards for electronic filing.

- Work cooperatively with the Washington State Bar Association and other interested parties to promote the use of electronic filing by attorneys and self-represented (pro se) litigants.

Section 2: Executive Summary

2.1 THE ELECTRONIC COURT RECORDS (ECR) PROGRAM

The addition of the ability to accept electronically filed documents to the current document image management system will complete DJA's multi-year plan for a comprehensive move into an Electronic Court Records (ECR) system. DJA is currently maintaining both paper case files and electronic case files that contain imaged (TIFF) documents scanned by DJA staff. DJA needs to complete the ECR Program (composed of Core ECR, ECR Connectivity, and Electronic Filing) to reap maximum benefits from the overall ECR plan. Plan completion requires a system that adds (1) electronic filing functionality for documents through a DJA Web site, and (2) Internet access for viewing public documents that are in the existing system, Core ECR.

The required system will provide both automated and manual processing support for all types of electronic documents that may be filed in the electronic court case file: TIFF images, PDF documents, or XML documents. The system will also support the automated flow of XML data to and from other electronic information systems, including those systems provided by the Office of the Administrator for the Courts (OAC) in the Judicial Information System (JIS), including the Superior Court Management Information System (SCOMIS) and the Judicial Receipting System (JRS), plus those provided by other King County law, safety, and justice agencies.

The required system will use modern Web technology (including XML, HTTPS, SSL) and King County Internet security standards and models for receiving electronic data for document processing, the documents themselves, and the payment of associated filing and other fees. It will also integrate Portable Document Format (PDF) and eXtensible Mark-up Language (XML) documents into the existing TIFF processing procedures performed through Core ECR. Finally, it will extend the use of DJA's existing FileNET document management system to include PDF and XML documents.

2.2 THE E-FILING PROJECT

The E-Filing Project, which is this final part of the ECR Program, will be completed in four phases. The timing and implementation for the final three phases will be dependent on Project funding and DJA approval. The phases of the E-Filing Project are:

- Phase One: Pilot Project (funded)
- Phase Two: Full Implementation of Public E-Filing
- Phase Three: Internet Access for Public Document Viewing
- Phase Four: Additional Support for the Judiciary

The Pilot Project involves the filing of a limited number of civil case documents by volunteer attorneys from private firms or practices over at least a three-month period. It will extend King County Intranet based court case document viewing capability to include the electronically filed documents. It *may* include on-line payment of filing and other fees. This component is dependent upon King County's approval of an e-commerce component for the Project.

Filing functionality will be based on (1) the user's completion of an XML data "envelope" containing data about the documents to be filed and (2) the electronic attachment of the document(s) for filing. Documents for filing will be converted to PDF by the ECR system when received in an approved word processing format. Functionality will extend the current system's capabilities to handle and process XML data, as well as to accept and integrate PDF and XML documents into the Core ECR document management system.

2.3 OTHER PROJECT PHASES

Other technology to be implemented in later Project phases include:

- Judiciary support to enable the electronic filing of documents by judicial officers (*i.e.*, Judges and Commissioners). This includes "cut and paste" word processing functionality for document composition and the capability to apply Public Key Infrastructure (PKI) digital certificates for document signing prior to transmission. (Phase 2)
- Electronic transmission of case schedule and judge assignment information to the filer (litigant or attorney). (Phase 2)
- Internet access for court case document viewing by the general public. This will include the capability to securely restrict access to sealed documents and sealed cases to authorized viewers only. (Phase 3)
- Judicial access through a queue of documents for individual Judge's case calendar support. (Phase 4)
- Judiciary support for the production of a private set of annotations for each document and provision of the Judge's “Working Papers” electronically. (Phase 4)

2.4 STRUCTURE OF THIS REQUEST FOR PROPOSALS (RFP)

The Request for Proposals contains nine Sections.

Section 1 consists of the Project Goal and measurable objectives for achieving this Goal.

Section 2 is an Executive Summary of the Project and RFP.

Section 3 contains an overview of DJA and a brief history of the ECR Program.

Sections 4 and 5 contain the Functional Requirements for electronic filing (E-filing) and for viewing documents electronically.

Section 6 contains additional Project Requirements including a detailed listing of Project Deliverables.

Section 7 describes the four phases of the E-Filing Project including a listing of required technology for Phase One, the Pilot Project.

Section 8 contains the Project Structure and Management Requirements for Proposers.

Section 9 provides detailed information about desired Vendor Qualifications and Criteria to be used for Proposal Evaluation and Award.

Appendices A and B provide detailed descriptions of DJA's current ECR system, broken out into separate descriptions of the technical and functional environments. Sections 4 through 6 contain extensive references to this information. DJA believes that successful proposers must have a thorough understanding of the existing Core ECR system to be able to develop realistic proposal and pricing information for a proposal in response to this RFP. The Project expansion and integration requirements for building XML and PDF documents into the existing systems are among the most challenging aspects of the E-Filing Project.

Other Appendices, referenced variously in Sections 3 through 9, contain Standards and other requirement information for the system to be developed pursuant to this RFP. A list of terms, acronyms, and their definitions, as used in this RFP, can be found in Appendix N: Definitions, page 89. The “Proposer’s Cost Worksheet” is provided in Appendix O: Proposer’s Cost Worksheet, page 93.

Section 3: DJA Background & Core Ecr History

3.1 THE SUPERIOR COURT AND THE DEPARTMENT OF JUDICIAL ADMINISTRATION (DJA)

The King County Superior Court and the Department of Judicial Administration (DJA) have been planning and working toward electronic filing for several years. The Electronic Court Records (ECR) Project brought an imaging system in to take the place of traditional paper based methods for managing case files. ECR also created the electronic document management system (EDMS or DMS) to capture, store, and manage the images. This DMS is expected, after modification, to manage the non-paper, non-imaged documents created through electronic filing. (Electronically filed documents are also referred to as "digital documents" in this RFP.)

The King County Superior Court is a court of general jurisdiction. The Court handles criminal and civil cases. Superior Court case types include criminal, civil, family law, probate, guardianship, parentage, adoption, mental illness, juvenile dependency, and juvenile offender. Cases from the King County Superior Court may be appealed to the Court of Appeals, Division 1, in Seattle or, in some cases, directly to the Washington State Supreme Court in Olympia.

The Department of Judicial Administration (DJA) serves as the Superior Court Clerk's Office.

3.1.1 Duties of the Superior Court Clerk that relate to electronic filing are to:

- Maintain the case files of the Superior Court, on microfilm, in paper files, or as electronic images. Case files, by law, must be retained indefinitely.
- Maintain a detailed electronic index for these cases in the State's Superior Court Management Information System (SCOMIS).
- Create "Court Minutes", the official record of Court actions within courtrooms.
- Receive new case filings, issuing "Case Schedules" to guide a case's progress.
- Collect case and document filing fees, fines, and other payments as required by statute, Court rule, Court order, or County Ordinance, and properly account for those funds.
- Manage funds entrusted to it by the Court, receiving and processing payments, investments, and disbursements in a manner consistent with legislative mandates and pursuant to Court directives; and account for these funds.
- Compute and levy Court costs.
- Protect all sealed, confidential records from unauthorized viewing or use.
- Prepare "Clerk's Papers," an indexed set of documents designated by a litigant for transmittal to an appellate Court.

3.1.2 Services of the Superior Court Clerk for litigants and the public that relate to electronic filing include to:

- Create certified and exemplified copies of case file documents.
- Make Superior Court case files available for viewing.
- Help petitioners for protection from domestic violence to complete required paperwork.
- Make many Court forms, including domestic relations pattern forms, available for purchase or for downloading from the Web.

3.2 THE ADMINISTRATOR FOR THE COURTS (OAC) & THE STATE BAR ASSOCIATION (WSBA)

All Washington Courts are overseen by the State Supreme Court, which appoints the Administrator for the Courts for this purpose. The Office of the Administrator for the Courts (OAC), in Olympia, provides large data systems used by the various state and local Courts to maintain case and financial records. The Judicial Information System (JIS) is a branch of the OAC and is responsible for data and data systems provided by the State. Systems provided by JIS include the Superior Court Case Management Information System (SCOMIS), a case management system used to maintain part of the official record for all Superior Court cases; and the Judicial Receipting System (JRS), an accounting system for the receipt of payments. These systems are described in details in Section 4.13.1 (SCOMIS) and Section 4.13.2 (JRS) on page 22.

DJA maintains strong working relations with the Washington State Bar Association (WSBA). DJA intends to use passwords issued by WSBA to its members for management and control of their access to view sealed court case documents and for verification of a WSBA member filer's identity in DJA's E-Filing Project. The Electronic Communications Committee (EC2) of the WSBA is participating with DJA in determining and managing the participation of attorneys and legal staff in the Private Bar Civil Pilot Project.

3.3 DJA BUSINESS OPERATIONS

The Clerk's Office operates at four geographically separate locations within King County where documents are accepted for filing. These locations are

Downtown Seattle Courthouse ("The Courthouse" or "KCCH")
King County Courthouse
516 Third Avenue, Room E-609
Seattle, WA 98104

Regional Justice Center ("RJC")
401 Fourth Avenue N
Kent, WA 98032

Juvenile Court Facility ("Juvenile")
1211 East Alder, 3rd Floor
Seattle, WA 98112

Bellevue Branch Office (Open only during specified hours)
Located within the King County District Court
Bellevue, WA

A fifth location, the Mental Illness Courtroom, located at Harborview Hospital, is not accessible to the public because all cases heard there are sealed, confidential matters.

The Clerk's Office is open from 8:30 a.m. to 4:30 p.m., Pacific Time, Monday through Friday, except for legal holidays. Documents for filing must be received in the Clerk's Office by 4:30 p.m. in order to be considered "Filed" on that date. Documents submitted after that time are "Filed" stamped marking them received on the next business day.

3.4 CURRENT DOCUMENT RECEIPT AND FILING SERVICES

Cases before the Superior Court are assigned to one of eight case types. Within each case type, there are cause codes that further define the action. A ninth case type, assigned for judgment tracking, does not involve paper files. The case types are numbered as follows:

1 Criminal
2 Civil
3 Domestic (Family Law)
4 Probate (and Guardianships)
5 Parentage and Adoptions (sealed, by statute)
6 Mental illness and Involuntary Alcohol Treatment (sealed, by statute)
7 Juvenile dependency (sealed, by statute)
8 Juvenile offender
9 Judgments

Approximately 75,000 cases are filed in paper form each year with the Superior Court. Each case is assigned a unique case number. The number of documents received each business day varies, but the average per day is about 8,000 documents. Documents vary from one page to thousands of pages in length. It is estimated that more than 7 million filed pages are handled by DJA each year.

In order to be included in a case file, each document must be filed with the Clerk (DJA). They are submitted in several ways: handed to the Clerk in the courtroom; submitted in person or by messenger at the Clerk's Office (at counter, in a filing slot, in an after-hours slot); submitted by mail to the Clerk's Office; or submitted by fax.

All documents are submitted in paper form at the downtown Seattle Courthouse, the Regional Justice Center, the Juvenile facility, or the Bellevue satellite. Documents may be filed in Seattle or Kent even when they are for cases that are designated for another site.

Currently case files are maintained in both paper and electronic (imaged) formats. Documents that begin the case are filed as the initial "subs" (*i.e.*, sub-documents) in the case file. Documents in paper files are assigned "sub numbers" and kept in order in the case files by date filed. Electronic case file contents are also displayed by default in numerical "sub number" order to facilitate user access.

Imaged documents are maintained in electronic case files maintained by custom-built software called "Core ECR," which uses a commercial file management system called FileNET. These are maintained on optical disks. See Appendix B: Current DJA Functional Environment, page 52, for a detailed description.

3.5 THE ELECTRONIC DOCUMENT MANAGEMENT SYSTEM (CORE ECR)

3.5.1 Core ECR

The electronic document management system known as Core ECR (*i.e.*, Core Electronic Court Records) was procured through a standardized competitive process in 1998. After careful review of the qualifications and experience presented by the applicants, DJA selected Sierra Systems Group, Inc. (Sierra) of Bellevue, Washington as the successful proposer and a contract was signed in November 1998.

The Core ECR system created by Sierra is an integration of several programs. The basic imaging and file management systems are FileNET products. The database for Core ECR is Microsoft SQL Server. The Core ECR operating system is Windows NT 4.0. DJA worked with Sierra to modify a Web-based image viewer called Daeja oneVIEW.

3.5.2 Scanning & Indexing

All documents are currently filed in paper form. Those in cases opened since January 3, 2000, are routinely scanned into images as they are received. The imaged documents are the official court case record, although the Clerk has kept paper files for these cases as well. Within the next few months, the Clerk will no longer maintain paper files for imaged cases. Documents entering the Clerk's Office are sorted by case designation area (SEA for Seattle, KNT for Kent) and then further sorted into pre-2000 and subsequent cases.

When scanning a batch of documents, a scanning technician enters information into the Core ECR FileNET Image Capture component. The technician scans the documents in a group or batch by inserting them into the Fujitsu 3097 or 3099 scanner.

After scanning, an indexing technician retrieves the scanned batch and opens the Core ECR program; selecting the corresponding numbered batch of images. The indexer reviews each document and enters the case number that appears on the first page into Core ECR. This associates the document image with the appropriate electronic case file. The indexer selects a button so Core ECR will derive the "sub" number for the document. The indexer may reject the sub number offered by Core ECR if appropriate. After the sub number is assigned, the indexer writes it on the physical document, in the lower right-hand corner. If the document images are acceptable (*i.e.*, don't need to be rescanned), the indexer presses the "Index" button and the images are committed to the system; they are recorded on the optical disks in the ECR jukebox. The indexer also assigns the document to a "General Docketing" process or to an ECR workflow for further processing.

3.5.2 Workflow Processing

Defined electronic workflows facilitate document processing by DJA staff. Some involve one step performed by one person, *e.g.*, basic data entry into SCOMIS for "general docketing." Other workflows involve multiple worksteps that are completed in sequence. A document may be processed through multiple workflows, one workstep at a time, in a specified order. Upon completion, the document goes to the next workflow queue, and so forth, until the final step of the final workflow is completed. During this processing, a "P" (=Pending) appears in the "Alerts" column in Core ECR and in the ECR Viewer displays of the Case Contents screen. This "P" is automatically removed when the last workflow step has been completed. Document images do not actually "move" from queue to queue; rather, pointers to them are passed from queue to queue until processing is completed.

3.6 PRIMARY INTERFACES (SCOMIS & JRS)

Each document's processing involves entry of data into the State-provided Superior Court Management Information System (SCOMIS), a case management system used by all Superior Courts in Washington State. Core ECR and SCOMIS are coordinated through custom programming in Core ECR, so that the appropriate SCOMIS screen and position is opened for the DJA worker when processing a document. In general docketing, Core ECR "pushes" the date filed and, if entered at the time of scanning, the SCOMIS code, into SCOMIS. After the worker enters the remaining data into the SCOMIS docket screen, the worker selects the "Docket" button and a screen-scrape takes place, copying the data from the SCOMIS screen back to the Core ECR program for that entry. Thus, *SCOMIS is the official record* and Core ECR copies its information from it. Other workflow steps involving data entry into SCOMIS are similarly coordinated by Core ECR. All actions of the workflow process reside in the Core ECR program; SCOMIS was not modified for and is not aware that Core ECR is operating. For a technical overview of the current SCOMIS interface see 4.13.1, SCOMIS, page 22.

The current operation of Core ECR only supports the exchange of data between Core ECR and SCOMIS as described above. However, DJA staff, during document processing, may open other systems and screens that are also provided by the State Judicial Information System (JIS). Currently there are no screen-scraping or other interfaces in place between Core ECR and these other JIS systems. With the implementation of electronic filing,

DJA will require the development of an additional interface with the Judicial Receipting System (JRS), an accounting system which tracks payment of fees. For a technical overview of the current JRS interface see Section 4.13.2, Integration Requirements for the Judicial Receipting System (JRS), on page 23.

3.7 EXTENDING CORE ECR FOR ELECTRONIC FILING

Core ECR was built as an extensible electronic document management system that would be extended to encompass both imaged and digital documents. This FileNET based system was proposed by Sierra because the FileNET products are able to manage and display electronic documents recorded in over two hundred different formats. Core ECR was built so that there is no technical barrier to adding digital documents into case files now composed of images. They can be assigned the same types of “filed” dates, titles, sub numbers, and other attributes. The known exception to this is Core ECR’s Daeja oneVIEW, which currently only supports image viewing over the King County Intranet. DJA will require modification or replacement of this product so that digital and imaged documents can be displayed seamlessly to users from a single graphical user interface.

Appendices A and B provide detailed information regarding Core ECR’s current technical and functional environments. Sections 4 through 8 provide detailed requirements which proposers must meet in responding to this RFP. Section 9 provides information regarding vendor qualifications and proposal selection criteria.

4 Detailed Functional Requirements – Electronic Filing Of Documents

4.14 SINGLE SYSTEM OPERATION AND FUNCTIONAL COMPONENTS

The existing Core ECR imaging system and the new functionality of e-filing, remote access, and other matters that are the subject of this RFP, are intended to be operated and maintained as a single system, ECR, with distinct components:

4.1.1 EFSP – Electronic Filing Service Provider

An EFSP is an Internet-based Web interface allowing end-users to file documents, initiate court cases, and submit financial transactions over the Internet or the County Intranet. DJA intends to provide EFSP services, as well as to enable commercial EFSPs to accept filings and forward them to the ECR system.

4.1.2 EFM – Electronic Filing Manager

An EFM is middleware that accepts documents from an EFSP along with appropriate XML data, provides security checking of those documents, validates the documents, and forwards the documents to the appropriate document management system (DMS). It also forwards appropriate data from the XML filing envelope to the Case Management System (CMS).

4.1.3 CMS = Case Management System

A CMS is a system that manages the litigants, attorneys, documents, hearings, and other components of a court case. Examples include SCOMIS, the State-provided court case management information system; and CMIS, a King County Superior Court-owned court case management information system. Where “CMS” is used throughout this RFP it is meant to encompass any systems that now or in the future might play any part in case management.

4.1.4 DMS/FMS/IMS – Document Management System/File Management System/Image Management System

A DMS, FMS, and/or IMS constitute a storage and retrieval system for documents, files or images that comprise the filings in a Superior Court case.

4.15 DJA-OWNED SYSTEM

DJA wishes to procure a technology system (referred to hereafter as “the system”) that shall provide the ability for Internet and King County WAN (Intranet) users to electronically file court documents directly with the Clerk’s Office (DJA). The system is to be developed and implemented by the successful proposer in this procurement, but the system shall be wholly owned and operated by King County through DJA. DJA’s intent is to provide an open system, with an open architecture technology that can be accessed by end users directly without requiring the services of any commercial electronic filing service provider (EFSP). Commercial service providers will certainly be allowed to electronically file on behalf of individual litigants, attorneys, or law firms, but such services shall not be required to use the system.

4.2.1 Full system functionality is described below and contains system capabilities beyond those needed for the initial Pilot Project (see 0, Section 7: Project Phases, page 36). Some decisions about system design options for this full set of functionality will be made by DJA after the Phase One Pilot Project has been completed and evaluated.

4.2.2 The subset of system functionality required to support the Pilot Project shall be, at a minimum, the first required Project deliverable. This subset is detailed in 0. In order to expedite delivery, decisions about what shall be included are based solely on the technology to be tested during the Pilot Project.

4.2.3 With the exception of Subsections 4.24 and 4.3, which contain information relevant to both document filing and viewing functionality, Section 40 only contains system requirements for electronic filing. Section 5, "Functional Requirements for Electronic Viewing," provides detailed system requirements for electronic access for viewing court case file documents.

4.16 SYSTEM USERS AND SYSTEM ACCESS

4.3.1 For the purposes of this Request for Proposal, an "Intranet" or "Intranet-enabled" PC shall be one that is connected to DJA's Web site through the King County Wide Area Network (KC WAN).

4.3.2 The system shall support access for any person wishing to file or view an electronic document in a Superior Court case file through the use of any Internet or Intranet-enabled personal computer. Users will include attorneys and self-represented litigants, other members of the general public, judicial officers, and Superior Court staff, as well as staff from the Offices of the Prosecuting Attorney, Public Defender, Sheriff, District Court, Jail, and Superior Court Clerk, that is, the King County law, safety, and justice community.

4.3.3 All use shall be through an Internet or Intranet connection with a DJA Web site set up to provide: (1) document acceptance and fee payment, if any, and (2) document viewing. Such access shall be by individuals using only standard types of modern browser software. DJA will have final determination of which browser software packages and versions the system shall be required to support. At a minimum, these shall include Netscape Version 4.7 or above, Internet Explorer Version 5.0 or above, and, to the extent feasible to comply with King County's ADA Web Publishing Standards, the text-based browser, LYNX (See Appendix G: King County Web Publishing Accessibility Requirements, starting on page 71).

4.3.4 In the future, DJA intends to provide additional support for the use of publicly accessible, Internet or Intranet-enabled personal computers in locations such as community centers, law libraries, public libraries, and other public facilities throughout the King County region. It is expected that individuals who are not represented by an attorney and who do not otherwise have access to a personal computer capable of accessing DJA's Web site will be able to use these points of access. It is planned that certain forms and tutorials shall exist on Web sites accessible to these PCs to support users in their electronic filing and document viewing efforts. All access with DJA's Web site will be through a standard Internet or Intranet connection made via the use of one of the browser software packages described in Section 4.3.3, above.

4.3.5 System users shall also be able to access DJA's Web site through the use of publicly accessible PCs located in the public areas of the Clerk's Office at the King County Courthouse and Juvenile Division in Seattle, and at the Regional Justice Center in Kent. These PCs will access DJA's Web site through the Intranet.

4.3.6 All Web pages must meet the County's Web Publishing Guidelines under the Americans with Disabilities Act (ADA) to the extent feasible (See Appendix G: King County Web Publishing Accessibility

Requirements, page 71, or the Web site at http://www.metrokc.gov/pub_guidelines/ada.htm). Additionally, the design of all Web pages must be approved by DJA before implementation.

4.3.7 The System shall be available "24 X 7" (twenty-four hours per day, seven days a week) for receipt and initial acceptance/rejection of documents, regardless of whether the entire system (Core ECR) is available during those hours.

4.17 CONTROL FOR SYSTEM ACCESS AND USE

The system provided shall allow DJA staff to assign Logon Ids and passwords to internal system in order to electronically file documents. In some instances, the same Logon ID and password may be used to control sealed document viewing, as described in 5. The system also shall allow self-represented litigants to obtain Logon Ids and passwords online, through an automated application process. Such functionality shall build upon the existing capabilities provided in Core ECR.

4.4.1 Core ECR currently allows the assignment of a Logon ID and password for system access to both "Thick Client" and ECR "Web Viewer" users. (See Appendix B: Current DJA Functional Environment for a description of these user types). These users are all members of the King County law, safety, and justice community who access documents via the Intranet.

4.4.1.1 Thick Client users, who are DJA staff, log on for system access to the full set of functionality described in Appendix B: Current DJA Functional Environment. The system shall use the existing Logon Ids and passwords assigned to this group of users.

4.4.1.2 ECR Web Viewer users currently have access for document viewing only. Passwords and Logon Ids are assigned to this group of users only if they have been granted the appropriate group rights to view sealed files and sealed documents in specific case types. See 5 for a detailed description of document viewing access requirements. Existing Logon Ids and passwords will be used for the *non-attorney* members of this group.

4.4.2 DJA anticipates being able to use Washington State Bar Association-provided passwords and Logon Ids which WSBA shall have assigned to its member attorneys in good standing. These shall be used to authenticate an attorney's identity upon entrance into the system. This identity shall be used to "sign" each filed document. The system shall provide a way to maintain the currency of this information by importing both global and partial updates received electronically from the WSBA. The system also shall provide DJA staff with a way to remove an individual's Logon ID and password. The attorney members of the law, safety, and justice community who currently have Logon Ids and passwords issued for ECR Web Viewer access to documents, will have these replaced with their WSBA passwords and Logon Ids. Existing group and individual rights for access to sealed documents must be maintained when migrated to the new system and whenever Logon Ids and/or passwords are updated.

4.4.3 The system shall provide self-represented litigants and other parties to a case with "temporary" Logon Ids and passwords upon on-line application. These shall be used to authenticate a filer's identity and to "sign" each filed document. The system also shall provide functionality to allow either (1) the automated batch removal of this type of user's Logon ID and password after a DJA-specified time period, or (2) the removal of an individual user's access by DJA staff. To this end, it is expected that the system shall track the date each user was issued a logon and password. The system shall also allow DJA staff to sort the list of this group of users in date order to more easily determine which ones should be removed.

4.18 PUBLIC KEY INFRASTRUCTURE (PKI) DIGITAL SIGNATURES

4.5.1 Public Key Infrastructure (PKI) digital signatures are defined, for the purposes of this Request for Proposals, as those digital signatures produced through the use of Digital Certificates issued by a State of Washington licensed Certificate Authority. These shall not be required for filer authentication for the signing of electronic documents, with possible exceptions noted in subsection 4.5.2 4.5.2.1following. However, the system shall be able to accept electronic documents for filing that contain such digital signatures and to preserve their identity in the "filed" document.

4.5.2 System support for the use of PKI digital signatures shall be required for some, if not all, of the purposes listed below. Authentication shall include checking the issuing Certificate Authority's Public Repository of Digital Certificates to determine whether a valid Certificate exists for that user and using the user's public key to determine that the received document was not changed since it was digitally signed.

4.5.2.1 Use of High Level Assurance PKI digital signatures by judicial officers to sign and file court-initiated electronic documents for filing.

4.5.2.2 Use by Clerk's Office staff to electronically sign and provide "Certified" electronic copies of documents.

4.19 METHODS OF FILING: COURT FILING XML STANDARD

4.6.1 All document filings will be based on the use of the Legal XML Court Filing Standard, Version 1.0, shown at the Legal XML Web site using this hypertext link and also provided in Appendix Appendix E: Court Filing Proposed XML Standard, Version 1.0. As this proposed Standard is still under development, this requirement will be based on the proposed or recommended version of the Standard at the time of contract award, unless DJA and the successful proposer agree to work with a subsequent version.

4.6.1.1 DJA will work with the successful proposer to define additional data elements to this Legal XML Court Filing Standard to produce an extended XML data set intended for publication and system implementation. These additional data elements will be those items needed to meet internal DJA requirements. Subsequent references in this Request for Proposals to "Court Filing XML" or to "DJA's published standard" shall be meant to describe this extended XML data set.

4.6.1.2 The initial implementation shall utilize the Court Filing XML Standard's "envelope" or XML form to which document(s) are attached for filing. The successful proposer shall provide all compliant envelopes needed for the collection of information required by the Court Filing XML data set, to enable the automated filing and processing of a DJA-defined set of electronic documents (see Appendix M: Civil Docket Codes Selected for Pilot Project Filing for an initial proposed list of such documents). The proposer also shall provide the Document Type Definition(s) (DTDs), XML Schema, and/or other specifications needed to clearly identify the requisite set of data elements that system users must provide to complete this XML envelope.

4.6.1.3 The system shall provide DJA with the ability to move to future versions of the Court Filing XML Standard, at DJA's option. Functionality shall be provided to maintain DTDs, XML Schema, and/or other related specifications, if any, for different versions of this Standard, to support access to existing XML documents. At the same time, the system shall provide DJA staff with the ability to specify a particular version of the Standard to which all subsequent documents submitted for filing must comply.

4.6.1.4 The successful proposer shall provide an XML forms development tool which could be used to comply with subsection 4.6.1.2 above for DJA's future in-house development of forms (including both envelopes and documents). This tool must be able to produce documents compliant with both the Court Filing XML Standard and the Court Document XML Standard described in Section METHODS OF FILING – COURT DOCUMENT XML STANDARD below.

4.6.2 The successful proposer shall create an XML interface for entering electronically filed documents into Core ECR. This interface shall use the Legal XML Court Filing Standard, as defined above in Section 4.6.1, including related DTDs, Schema, etc.

4.6.2.1 DJA expects that a number of commercial electronic filing service vendors will offer electronic filing services to attorneys and self-represented litigants. While DJA intends to provide an electronic filing system that is user-friendly and that supports direct filing by end-users, it is also DJA's intention to allow such vendors to collect documents and data from various sources and to submit those documents, along with the appropriate data, for electronic filing. All such vendors will be required to translate incoming XML to conform to DJA's published standard before submitting Court Filing XML compliant envelopes, documents, and/or attachments for filing.

4.6.2.2 There shall be no direct XML interfaces to Core ECR that do not conform to the Legal XML Court Filing Standard published by DJA. If the successful proposer wishes to develop Web interfaces or XML envelopes using tools that create proprietary XML (such as Forms tools), he/she shall create filters which translate that XML to DJA's published standard. This translation must be completed prior to any entry into Core ECR and before passing data elements and data sets between electronic systems.

4.6.3 On-line filing functionality shall support the ability to file either a single document or a batch of more than one document. The document(s) and attachment(s), if any, to be filed must be included within a single Court Filing XML envelope that is completed either on-line or via an electronic transmission by the filer.

4.6.4 Electronic transmission of batches of document(s); attachment(s), if any; and a completed Court Filing XML compliant envelope from a filer to the DJA electronic filing Web server shall also be supported.

4.6.5 Functionality to support the transfer of large numbers of documents, attachments, and Court Filing XML envelopes by high volume filers such as commercial electronic service providers shall also be provided. The methodology for this shall be proposed by the successful proposer as a system deliverable and must be approved by DJA before implementation. A maximum number of documents to be submitted at one time will be determined by DJA after the completion of the Phase One Pilot Project.

4.20 METHODS OF FILING – COURT DOCUMENT XML STANDARD

4.7.1 The Court Document XML Standard, previously was called the "Court Filing XML Standard, Version 2" by the Legal XML Court Filing Work Group. This renamed Standard, presently in development, only applies to electronic *documents* submitted for filing that contain tagged XML data. Version One of this Standard is currently under development and will be provided at a later date, whether in draft or as a proposed standard, as is stated in Appendix F: Court Document XML Standard, page 69.

4.7.2 The implementation of filing support for the Court Document XML Standard shall be required before Project completion. DJA, at a later date, will make final determination about when and how this standard is to be implemented. However, it is expected that this will include security checks on the document as outlined below, validity checking for compliance with the Standard, and the subsequent extraction of the

requisite XML data elements from within the document itself as well as from the document's envelop. These documents will then be filed, indexed, and processed in the manner detailed in Appendix B: Current DJA Functional Environment, page 52. Compliant (Court Document XML) documents shall not be converted to PDF but rather shall be stored as XML documents.

4.21 WEB SITE FUNCTIONALITY FOR ELECTRONIC FILING (EFMS)

The system shall provide a Web site, which shall be located outside the King County WAN's firewall. The Web site itself, as a part of the Public Access Segment, will be provided and maintained by King County's Information and Telecommunications Systems (ITS) division. The Web site shall pass data to one or more servers inside the firewall. These servers shall be provided as part of the delivered system and are to be isolated so as not to put the King County Wide Area Network at risk. Required functionality shall include the verification of a filer's identity, using DJA-issued Logon Ids and passwords; completion of the compliant Court Filing XML envelope, as necessary, by authorized users; secure receipt of electronic documents and fee payments for filing; and provision of certain document and data checking functions. All these tasks are described in detail below and shall be successfully completed before passing any data or files out of the secure server(s) to Core ECR for further processing.

4.8.1 Verification of an authorized user's identity shall be through the use of DJA authorized logons and passwords as described in Section 4.17, "CONTROL FOR SYSTEM ACCESS AND USE," Page 12

4.8.2 Once a user has been identified and authorized as approved for filing, the system shall provide functionality to allow the user to complete the XML envelope. The envelope shall be provided for the user either on-line or through electronic transmission to DJA's Web site. If such an envelope is transmitted, it shall be subject to the security processing described in 4.8.3, page 15, below.

4.8.2.1 If an envelope is successfully transmitted, the system shall check it for full compliance with DJA's published Court Filing XML standard. If it is determined not to be compliant, the data shall be displayed in the on-line form for correction and/or completion as described below.

4.8.2.2 An envelope that is completed on-line through interaction with a system-provided XML form must be fully compliant with DJA's published Court Filing XML standard before acceptance into the system for processing. Attempts to submit a non-compliant or incomplete form shall cause the system to display to the filer easily-understood information indicating the areas of non-compliance. The user shall then be allowed to choose either to complete the form or to terminate the filing attempt by exiting the Web site.

4.8.2.3 Once the envelope is deemed compliant, the user shall be able to "attach" the document(s) and attachment(s) for filing that have been described in the envelope.

4.8.3 All security processing for the safe transmission of electronic files shall take place, as appropriate, during the transmission of and immediately upon their receipt. To this end, the successful proposer shall recommend a plan for providing the following security. This plan must be given DJA approval before implementation. At a minimum, HyperText Transport Protocol Secure (HTTPS) and Secure Socket Layer (SSL) technology shall be used.

4.8.3.1 Validation, through appropriate security measures, that each transmitted electronic file was received in its entirety and without changes.

4.8.3.2 Validation, through appropriate security measures, that each and every electronic envelope, document, and attachment received for filing contain no viruses, macros, scripts, other types of executable code or embedded objects that could place King County or Core ECR at risk.

4.8.3.3 Identification of and validation that any and all embedded documents contained within an electronic document, envelope or attachment received for filing have passed the same security checks provided for the parent document.

4.8.3.4 An electronic file that fails any of the above validation procedures shall be rejected for filing and an appropriate message shall be displayed to the filer (see Appendix J: DJA: Current Document Rejection Messages for a list of current document rejection messages used by DJA).

4.8.4 If an electronic file (envelope, document, or attachment) successfully passes the security checking procedures outlined in 4.8.3 and the XML envelope has been successfully completed, additional document checking shall include, but not be limited to, the following processes:

4.8.4.1 If a document is to be filed in an existing case file, the case number shall be validated as to form, *i.e.*, it is in the proper format, has a properly calculated check digit and correct case designation. (See Appendix B: Current DJA Functional Environment for a description of the case number formats and attributes.) Additionally, the Office of the Prosecuting Attorney (PA) routinely files cases and documents in hard copy, substituting the letter 'C' for the case type "1" in order to indicate that the case has "C"o-defendants. DJA will continue to allow the PA to follow this practice, including allowing the PA to electronically file documents while still placing the letter "C" in the position usually occupied by the case type ("1"). The successful proposer shall modify the current ECR case number validation software to allow this substitution when cases and documents are filed, making the change to "1" or "01" in the ECR database.

4.8.4.2 Validation that the document was intended to be filed in King County Superior Court;

4.8.4.3 Validation that the document's format is one of DJA's acceptable choices: Portable Document Format (PDF), Microsoft Word for Windows or Macintosh, WordPerfect for Windows or Macintosh, and NisusWriter for Macintosh.

4.8.4.4 Additionally, word-processed, PDF or TIFF formatted *attachments* to electronic (parent) documents shall be allowed if submitted at the same time as the parent document and identified as being an "attachment" to the parent document in the envelope. The system shall validate word-processed attachments as being in one of the acceptable formats listed above. The system shall treat them as part of the document submitted for filing in the Court case file.

4.8.4.5 Validation that each document and attachment meet Washington Courts' General Rule 14 requirements for margins. See Appendix L: General Rule (GR) 14: Document Formatting Requirements, page 87 for the provisions of General Rule 14.

4.8.4.6 Any document or attachment that fails any of the above checks shall be rejected for filing and an appropriate message shall be displayed to the filer (See Appendix J: DJA: Current Document Rejection Messages, page 82, for a list of current document rejection messages used by DJA).

4.8.5 The system shall automatically convert any compliant word-processed document to PDF format, carefully preserving the margins as required by General Rule 14. The system shall then require the filer to review the converted PDF document and confirm that the conversion was acceptable to the filer. Upon receipt of

such confirmation, the system shall accept the PDF document for filing. If a user finds the PDF conversion of his/her word-processed document to be unacceptable, the system shall allow him/her to not continue with the filing request. The user shall also be able to end the session and terminate the connection with the Web site if desired. The system shall track the number of successful and unsuccessful conversions made on a monthly basis and provide this information to DJA staff upon request. (See system reporting requirements in Section 6.2.13, Additional Reporting Requirements, page 32.

4.8.6 On-line payment of filing fees shall be by use of HTTPS and SSL technology, at a minimum, for transaction processing. Proposers shall provide their recommended security plan, which must meet current Internet standards for credit card transactions and Electronic Funds Transfer. DJA approval must be obtained before implementation of any such plan. Failure of the filer to successfully complete the payment process for any requisite filing fee shall cause the submitted electronic document(s) to be rejected (See Appendix J: DJA: Current Document Rejection Messages, page 82, for a list of current document rejection messages).

4.8.7 Upon the successful completion of the security checks, submission validation and payment requirements described above, the system shall check to see whether Core ECR is operational. If Core ECR is not operational, a limited document acceptance message, as described below, shall be immediately returned to the filer. If Core ECR is operational, the system shall check the following criteria against existing information and a more complete document acceptance message shall be returned:

4.8.7.1 If the submitted document(s) are to be filed in an existing court case file, each document shall be checked to see if the case number provided exists and, if so, that it has a caption consistent with existing case information.

4.22 If either of these two checks shows that invalid information has been provided, the system shall return to the last completed version of the envelope with the incorrect data element(s) highlighted. The system shall display an easily understood message to the user regarding the invalid data and allow the user to choose to either complete the form or withdraw the filing attempt by exiting the Web site. Revision of the data and resubmission of the filing shall cause the same data validation checks to be completed again.

4.23 If these two checks show that valid information has been provided, the system, using existing Core ECR functionality, shall assign and return a “sub” number for the document. This shall be included in the acceptance message described below. A “sub” number” shall be provided for each separate document contained in the e-filing envelope.

4.8.7.2 If the submitted document is a case-initiating document, *i.e.*, a document which causes a new case to be opened, no further checking will be required. A document acceptance message, as described in Section 4.8.8.1 below, shall be immediately returned to the filer with a system-provided SCOMIS case number – See Section 4.31, page 24.

4.8.8 Immediately upon completion of the security checks and data validations described above, the filer shall receive an on-line message, suitable for printing, either accepting the submitted document or rejecting the document submission. Any such message shall contain the date and time the document was received. The design and content of all message screens must be approved by DJA before implementation.

4.8.8.1 Document acceptance and rejection messages shall also display, if appropriate, the case number and document “sub” number assigned (See subsection 4.8.7.1.2 above). They shall also contain a

unique acceptance tracking number assigned by the system. This tracking number shall be stored in the XML envelope. The document rejection message shall also contain the specific reason(s) for document rejection (See Appendix J: DJA: Current Document Rejection Messages, page 82).

4.8.8.2 The filer shall have an opportunity, during the same on-line session, to correct deficiencies that have caused the rejection of his/her attempts to electronically file a document. If, at the user-initiated end of an on-line session, such deficiencies have not been successfully corrected, the filing shall be deemed unsuccessful and the submitted document(s) shall be finally rejected.

4.8.8.3 Documents that have been rejected shall never be allowed to put King County's Wide Area Network at risk. They shall be removed entirely from the Web site.

4.8.8.4 Documents that are received and accepted shall be immediately forwarded through King County's Wide Area Network firewall to a secured server(s) for further processing.

4.24 ADDITIONAL AUTOMATED RESPONSE CAPABILITY

Additional automated response capability shall include, but not be limited to, the following:

4.9.1 E-mail communication for subsequent acceptance or rejection of the document for filing. This response to document filing is to be distinguished from the above-described response to document *submission* or *receipt*. The e-mail response rejecting a document shall be initiated either by automated procedures or by DJA staff, and it may occur at any point during filing, indexing, or processing when a fatal error is encountered. The e-mail response confirming successful filing shall be initiated either by automated procedures or by DJA staff upon the successful completion of processing. The system shall provide both automated and manual procedures for confirmation and rejection notices.

4.25 The design and content of all response messages must be approved by DJA, whether for document rejection or acceptance, prior to implementation.

4.9.1.2 All response messages shall automatically include, without the need for reentering data from the case record:

- the date and time of message creation,
- filer name,
- filer mailing address,
- WSBA number, if filer is an attorney,
- document name, and
- case number (unless document opens a new case).

Other information may also be required if determined by DJA to be necessary. The messaging system shall support automated querying of the XML envelope in which the document was received, as well as querying of the SQL Server tables. It shall also support query/response from SCOMIS. Data returned from such queries may be imbedded in the message itself.

4.9.1.3 Acceptance messages for successfully filed documents shall also include effective date and time of document filing, which will be based upon the submission or receipt date and determined as per the rules outlined in Section 4.30.1, page 24. This type of message is optional, that is, it may or may not be sent by DJA staff or the system, depending on DJA's future assessment of the need.

4.9.1.4 A list of fatal errors that may occur during system filing, indexing, and processing shall be agreed upon by the successful proposer and DJA. In addition to the information described above, all such

messages shall automatically include information regarding any fatal error that caused the document to be rejected. See Appendix J: DJA: Current Document Rejection Messages, page 82, for messages currently used by DJA for rejected document return.

4.9.1.5 Response messaging by e-mail shall have the inherent ability to be sent automatically by the system, or to bring the message up on the DJA staff user's screen for editing prior to its transmission.

4.9.2 Individuals who may receive messages, of types other than those defined in Section 4.9.1 above, shall include but are not limited to the following:

4.9.2.1 Internal & external filers;

4.9.2.2 Other parties in the case;

4.9.2.3 Judicial officers and Superior Court staff;

4.9.2.4 Other Clerk's office staff; and

4.9.2.5 Appellate Court staff.

4.9.3 An automated interface with King County e-mail functionality is encouraged for completion of this requirement.

4.9.4 Each response message will be entered as an activity in a messaging activity log.

4.26 STORAGE OF E-FILED DOCUMENTS

Electronically filed documents will be limited to certain word-processing formats (see Section 4.8.4.3 for allowable types). In order to facilitate ease-of-viewing technology over the *Intranet* in the Pilot phase of this Project, as well as in the future Remote Access phase (when viewing of case files over the Internet becomes available), the system shall convert all word-processed documents to PDF format.

It is critical that ECR, including E-Filing, be trusted by all stakeholders in the system (DJA, judges, attorneys, litigants, and the general public). Therefore, documents received into ECR must be guaranteed not to have changed by the Document Management System proposed. This criticality is apparent when it is understood that Digital Signature technology may be used in certain documents and those documents must be verifiable not only as to who signed them, but that they have not been modified in any way.

On the other hand, there are certain markings that DJA must add to documents. When a document is officially "Filed" by the Clerk, the Clerk is required to affix a "Filed Stamp" to the original document itself. If an existing public document is ordered to be sealed from public view, DJA requires that the face of the first page of the document have "SEALED" physically stamped on it. If that document is later unsealed, the stamp must be removed.

Within the current imaging system, Core ECR, the "Filed Stamp" presents no problem as it is stamped onto the face of the document in ink prior to scanning. When a document already existing in ECR is "SEALED", the document is actually checked out from FileNET, the bitmap of the first page of the document has the word "SEALED" programmatically added to it, and the document is imported back into FileNET as a new document. When a document is ordered to be unsealed, a similar process takes place with the bit map changed to remove the "SEALED" notation. The old document is then deleted and references to it in the Core ECR database are switched from the old document identifier to the new document identifier. An audit trail of the change is kept in the database.

4.10.1 For each electronically filed document, the system may be required to save a collection of documents:

4.10.1.1 The XML envelope, within which the document was filed, including addition of CRC (cyclic redundancy check) or other identifying algorithm used to insure that the document was received in its entirety and without change.

4.10.1.2 The PDF document, either as originally uploaded to DJA by the filer or as converted by the system to PDF and reviewed by the filer before submission.

4.10.1.3 Each attachment to the document received for filing that has been received as a TIFF or PDF document. A PDF attachment may either be uploaded to DJA by the filer or converted to that format and reviewed by the filer before submission.

4.27 REQUIREMENTS FOR DOCUMENTS THAT MUST BE "SEALED" WHEN ELECTRONICALLY FILED

4.11.1 Identification of documents to be sealed may come from the following sources:

4.11.1.1 From the filer and exist as an XML data element in the XML envelope. This identification shall require verification by DJA staff through an automated review process provided by the system;

4.11.1.2 When the document belongs to a sealed case type. In this event an automated means of document identification as "SEALED" is required if the case is a new filing rather than an existing case. Sealed case types include the following:

- Case type 5 – Paternity and Adoption
- Case type 6 – Mental Illness and Involuntary Treatment
- Case type 7 – Juvenile Dependency

4.11.1.3 When the document is part of a case ordered by a judicial officer to be sealed in its entirety; and

4.11.1.4 When an individual document is ordered sealed by a judicial officer.

4.11.2 Security flags are used for sealed documents:

Currently each case and each document in a case has a security flag associated with it. Documents filed in an existing case default to the same security flag as the case itself.

4.11.3 Authorization of users who may view sealed documents is carefully managed.

Except for internal staff and judicial officers who have general authorization to view sealed documents ***under existing functionality***, sealed documents shall only be accessed by users whose names are included on a unique list of authorized users for that document. This list of authorized users will be judicially defined and its contents shall be maintained by DJA through tools provided by the system. This system functionality shall provide the ability to define and maintain both a "per document" and a "per case" list of authorized users.

4.11.4 "SEALED" must be placed on documents sealed in non-sealed cases.

The identification of any document in a non-sealed case which is to be sealed shall require the system to add the word "SEALED" to the area within the top three inches of each document as an integral part of the document itself, not as an overlay. A document that needs to be unsealed shall require the system to remove the word "SEALED" from this area. Core ECR changes the bitmap of a document, either adding or removing the word "SEALED" at one of several predetermined locations selected by the Clerk (see Appendix B, Section H, page

58). It is a requirement that electronically filed documents be integrated into this functionality, whether received in TIFF, PDF or XML formats.

4.28 DOCUMENT PROCESSING

4.12.1 Once a document has been successfully submitted as described above in Section 4.20, that document shall automatically move from a location outside the King County firewall into a location suitable for completion of its filing, indexing and processing functions.

4.12.2 Workflow: The system shall integrate e-filed documents into the current workflow system as described in Appendix B: Current DJA Functional Environment, either within existing workflows/worksteps or in new workflows/worksteps which are added specifically for e-filed documents. In addition to current Core ECR functionality, the system shall provide new automated functions using data that has already been captured in the XML envelope. An example of this would be adding information to the SCOMIS database within the appropriate case number by date filed, "sub" number assigned to the document, document docket code, docket description and other relevant data.

4.12.3 The successful proposer shall implement a mechanism which replicates the General Docketing function, to allow for both the automatic and manual docketing into SCOMIS of qualified electronically filed documents which are put into a new General Docketing queue, as described in Appendix B: Current DJA Functional Environment. As with workflow documents, certain data entry tasks shall be automated using the XML data set that has already been captured.

4.12.4 The DJA ECR Business System Administrator(s) shall be able to control, through table entries, whether newly implemented automated document processing functionality which is added for electronically filed documents is on or off. In other words, DJA must be able to switch the newly implemented automation on or off at will. This shall ensure that DJA can take full advantage of savings provided by the automation. At the same time, DJA Business System Administrator(s) shall be able to return any document, any set of documents, or any work items to manual processing and control if automation is suspected of not functioning or not being able to function at full reliability. The ability to turn automation off and on shall be controlled through table entries as follows:

- Case Type (general type of case, e.g., Civil, Criminal, Domestic)
- Cause Code (a finer subdivision of case type, e.g., Medical Malpractice)
- Docket Code (identifies what type of document)
- Automation Type (which automated function is to take place)
- On/Off (whether the function is automated or manual)

Automation types shall include, but not be limited to, the following:

- Simple SCOMIS docket entry – case number, date, docket code, default description
- SCOMIS Calendar entry – case number, calendar date, calendar code
- Appearance of attorney – case number, litigant(s) represented, litigant type (defendant, plaintiff, etc)
- Withdrawal of attorney – case number, litigant(s) for whom attorney is withdrawing
- Addition of litigant – case number, litigant name, litigant type, litigant number

4.12.5 E-Filing document staging: All documents received and accepted shall be committed (indexed to FileNET, indexed to SQL Server, and written to OSAR) to the document management system as rapidly as possible. In order to prevent document or data loss in the event of catastrophic system failure,

additional electronic copies of these documents, together with related Court Filing XML envelopes and acknowledgements of document submission, must be held in a secure environment pending the success of daily backups. In the event of catastrophic system failure, the system shall be able to "restore" from the last backup and "roll forward" to current status, including re-entry of electronically filed documents. Current functionality for imaged document re-entry would require DJA to rescan all documents imaged since the last successful backup. DJA does not release hard copy for further processing until a successful backup has been accomplished.

4.12.6 Document Management System: DJA has a significant investment in FileNET Panagon IDMIS as the image management system (IMS) selected for Core ECR. The system shall use FileNET Panagon Content Services as the document management system (DMS), for ease of integration and maintenance. It shall be the responsibility of the successful proposer to integrate the E-filing system's functionality with the existing image management component of Core ECR. Such integration shall include all needed modifications, upgrades, and additions to the existing SQL Server tables and stored procedures as well as to the Custom Visual Basic code. Core ECR and E-filing shall become a single system. The successful proposer will assume responsibility for Application/Database maintenance, bug fixes, enhancement requests, and any other assistance which is required by DJA for the entire ECR system.

4.12.7 Document rejection message: During manual processing and review, DJA staff shall have the capability to determine whether a "problem" document can be indexed and docketed through manual processing, as described in Appendix B: Current DJA Functional Environment, or that it must be rejected. If a document must be rejected, DJA shall have the capability of sending an e-mail to the filer through the messaging capabilities described in Section 4.24.

4.29 INTEGRATION WITH OTHER SYSTEMS

The ability to tie systems such as local case management systems and Core ECR to State-run systems through the use of Court Filing XML Standards while reducing costs is a priority at both King County and the Washington State Office of the Administrator for the Courts (OAC) and its Judicial Information Systems (JIS). Examples of such systems include SCOMIS, JRS and the Person Database (a Statewide index of litigants involved in Criminal, Domestic, Paternity, Juvenile and Civil cases as defined by statute at District, Superior and Juvenile court levels). DJA and the successful proposer will be working closely with OAC to enable XML data exchange between SCOMIS and Core ECR and, when DJA implements on-line payment of filing fees, between JRS and Core ECR.

4.13.1 SCOMIS

Part of the E-filing Project is the implementation of the exchange of data between Core ECR and SCOMIS, using the Court Filing XML Standard to define the data exchange format. SCOMIS is maintained by OAC. The successful proposer shall implement real-time and batch communication between Core ECR and SCOMIS using TCP/IP and compliant XML data in order to:

4.13.1.1 Replace that portion of the current system's utilization of screen scrape technology within Image docketing and workflow that is used to exchange data between Core ECR and SCOMIS, and

4.13.1.2 Automate docketing and other processing of documents received by electronic filing when OAC completes the interface.

OAC is currently working to produce both real-time and batch capability for SCOMIS to accept data according to the Court Filing XML Standard. It is intended that electronically filed documents and the E-Filing system shall exchange data with OAC in this XML format in order to update SCOMIS. The Court Filing XML Standard will

become the required statewide standard for judicial data exchange. It is the basis for the current Appellate Court E-filing project. See Appendix I: State of Washington Proposed Electronic Filing Standards.

4.13.2 Integration Requirements for the Judicial Receipting System (JRS)

DJA uses JRS to account for case-related funds received (filing fees, jury fees received, etc.). This is a Delphi-based database that is provided and supported by OAC. OAC believes that this database is accessible via ODBC and SQL calls. Each cash register at each site maintains its own database. The contents of these databases are combined daily into a master database that is then uploaded to OAC for distribution into the Judicial Accounting Sub System (JASS).

When DJA is allowed by King County to accept on-line payment of fees, the system shall provide XML data elements for transfer to the existing JRS. These data elements shall also be suitable for direct transfer to OAC once JRS is rewritten as an on-line system by OAC.

4.13.3 Case Scheduling

DJA maintains a “Case Scheduling” software application. When a new case is filed, a Case Schedule is generated based on:

4.13.3.1 Case Type
4.13.3.2 Cause code
4.13.3.3 Date filed
4.13.3.4 Trial date (may be manually selected, or offset from date case filed)

The Case Schedule establishes a series of milestones based on offsets from either the date filed or the prospective trial date. Parties are required to perform certain actions by each milestone date. In addition, some of the milestones set Court hearing dates. For some types of cases, a Judge is randomly selected from a separate “Random Judge Assignment” application to be the Judge in that case from start to finish. DJA cashiers assign a case number to the case drawn from a manual list of available case numbers. All this information is integrated into the case schedule along with the title of the case, and the completed schedule is given to the filer.

It is the intent of DJA to replace the case scheduling and Random Judge Assignment software, providing an API to be used by the E-Filing system to automatically create and return this information to the filer at the time a new case is opened.

The successful proposer shall architect the system so that such integration may occur in the future. In the meantime, the successful proposer shall architect the system in such a way that if the current case schedule can be created as an electronic document within DJA, the system shall be able to forward it to the filer. The system shall also electronically file this case schedule in the appropriate Court case file.

4.13.4 Other Two-Way Data Exchanges

DJA requires that the system shall support a two-way data exchange between ECR and any other automated system based on the Court Filing XML Standard for the data transport vehicle. XML will be the basis of data exchange for the King County Law, Safety, and Justice Integration Project and Court Filing XML Standards will apply to all such interactions with Core ECR.

4.30 CLERK’S OFFICE COURT CASE DOCUMENT MODIFICATION REQUIREMENTS

The system shall support the modification of electronically filed documents *only* in the ways described below. The system shall track each and every modification made to a document in a manner which allows DJA staff to determine when, by whom and what type of change was made in the existing Document Activity Log and a new, system-provided Messaging Activity Log.

4.30.1 "FILED" Stamp

The Clerk is required to place a "FILED" stamp on the first page of every document filed in a court case file. The "FILED" stamp includes the date and time the document was received by the Clerk for filing. The system shall be required to automatically add the Clerk's "FILED" stamp in the top margin of the first page of each electronically filed document, including the appropriate date and time information.

DJA maintains office hours of 8:30 a.m. until 4:30 p.m., Monday through Friday, except for legal holidays. Documents that are electronically filed during DJA's office hours shall use the exact date and time of the successful document submission as their official "FILED" date. Documents electronically filed outside DJA's office hours will use 8:30 a.m. on the next day that DJA is open for business as the "FILED" date.

4.30.2 Clerk's Papers

Core ECR has a "Clerk's Papers" function in which selected documents are downloaded, documents are sorted, each page is sequentially numbered, and a new electronic document is created and added to the case (see Appendix B, Section I, page 59). It is a requirement that electronically filed documents be integrated into this functionality, regardless of any document's format.

4.30.3 "SEALED" Stamp

Core ECR has a function in which the word "SEALED" may be added or removed from the first page of an existing document, as appropriate (See Appendix B, Section H, page 58). It is a requirement that electronically filed documents be integrated into this functionality, regardless of document format.

4.30.4 Conversion to PDF

The system shall provide the ability to convert any allowable word-processed document (See Section 4.8.4.3) to a PDF document for storage in the FileNET file management system. In addition to the current imaged document handling, storage, and retrieval capabilities; allowable document types stored as part of the electronic Court case record shall be PDF or XML.

4.30.5 Case type number modification

The system shall accept documents designated as criminal Case Type "C" from the Prosecuting Attorney's Office and shall automatically convert these to a Case Type "1" designation.

4.31 GENERATION OF SCOMIS CASE NUMBERS FOR CASE INITIATION

In order to allow filers to electronically initiate new cases, the system shall automatically generate and supply the next available SCOMIS case number and attach this to the case-initiating document after it has successfully completed all integrity and validity checking procedures. It shall also assign "sub" number "1" to this document. Since DJA will continue to initiate cases at its customer counters, the system must generate, reserve, and print blocks of case numbers for manual use by DJA staff. These blocks of reserved case numbers shall not be available for assignment to electronic filers initiating new cases.

SCOMIS case numbers are composed of:

- A county ID number,
- Year in which case is filed,
- Case type (1 through 8),
- A serial number, and
- A check digit (computed using the components of the case number).

The algorithm for computing the check digit already exists in Core ECR, in the case number validity-checking module.

4.32 COMPUTER OUTPUT TO MICROFILM (COM)

COM is an important feature of the proposed Core ECR architecture. Recently adopted legislation revised Washington State laws on long-term Court record retention. The law authorizes the use of electronic media for long-term storage provided either: (1) the stored records and system will be continuously refreshed and upgraded as media, software, or hardware change over time; or (2) the records are scheduled for transfer to microfilm.

For now, DJA requires that the system shall provide a COM software that will create an electronic record (using tape, CDs or other method) that can be readily converted to microfilm by a qualified service provider.

5 Detailed Functional Requirements –

Electronic Viewing Of Documents

5.1 FILE VIEWING CAPACITY

5.1.1 All viewing access for non-sealed imaged and digital documents in the electronic Court case record shall be available to the general public without any requirement for user identification. The system shall implement this access in a way that does not require the user to know which type of document, digital or imaged, they wish to view. All viewing access to sealed cases and sealed documents shall be restricted to authorized individuals only.

5.1.2 Core ECR currently supports the viewing of imaged (TIFF) documents only by three types of internal (Intranet) users, the "Thick Client," the ECR Web Viewer, and the Public ECR Web Viewer. This functionality is provided through Panagon IDM Viewer in the Thick Client, and through a proprietary software package, Daeja oneVIEW, in both versions of ECR Web viewers. The Daeja software did not support viewing other formats at the time of licensing in 1999. See Appendix B: Current DJA Functional Environment for a complete description of the product.

5.1.2.1 Thick Client users, consisting of DJA staff, use Core ECR issued Logon IDs and passwords for system access to the full set of functionality, including document image viewing.

5.1.2.2 ECR Web Viewer users primarily consist of King County law, safety, and justice agency staff who are not DJA employees. Their access is limited to document viewing and printing, and they must provide a valid case number for any document they wish to view. These users are not required to login for access to non-sealed documents and cases. Users who are allowed to access sealed documents and cases are given Logon IDs and passwords, and granted rights within Core ECR to view sealed files and sealed documents. These access rights are granted based on membership in system-defined groups and give access to sealed files in specified case types. Any user wishing to view a sealed document is required to login. The Logon ID and password are then used to authenticate the user's identity and access rights.

5.1.2.3 Public ECR Web Viewer users consist of the general public who come to the Clerk's Office to view case files. This system accommodates viewing and printing of documents, but users may not log in for access to sealed documents. Access to sealed documents can only be granted by DJA staff on a document-by-document basis. The staff person first verifies that a requester is allowed access to a sealed record, by checking the appropriate court order and viewing picture identification. The staff person then allows access to the record by entering a system password that grants one-time access to view the document.

5.2 NEW VIEWING FUNCTIONALITY REQUIRED

The new system shall support both internal (Intranet) and external (Internet) electronic document viewing for all electronic Court case documents **while maintaining the highest security against their unauthorized viewing**. It is highly desired that encryption be employed only for sealed document transmission and electronic payment receipt and processing, in order to maximize overall system performance. The system shall indicate to the user the document's format (PDF, XML or TIFF). However, the appearance of all displayed documents shall be consistent, *i.e.*, the viewer shall see all types of documents in a similar viewing format, appearing like "words on paper."

5.2.1 Maintain Current Web Viewer Features

In addition to the maintaining the current ability to display TIFF documents to Intranet users (both Thick Client and ECR Web Viewer users), this functionality shall also support the viewing of documents in other acceptable formats, *i.e.*, in XML and PDF. The Web Viewer and Public Web Viewer, as modified, shall include all functionality currently available in the ECR Web Viewer and the Public Web Viewer. See Appendix B: Current DJA Functional Environment, subsections A(2) and (3). Also, the modified Web Viewer shall be written in Java, so that DJA need not become involved in issues of installation or platform (except that the Adobe Acrobat reader shall be an acceptable part of the modified viewer solution). The ECR Web Viewer and the Public Web Viewer shall retain the look and feel of the existing viewers to the greatest extent possible.

5.2.2 Display for Acceptable Document Formats

Additionally, the system shall provide document display capabilities for Internet and Intranet users for all acceptable document formats (TIFF, PDF, and XML) when a valid case number for the desired document is entered and the viewer is opened.

5.2.3 Security for Sealed Documents

The system shall add capabilities to regulate access for viewing sealed documents by any user (internal or external) at a case level and document level.

5.2.3.1 The system shall continue to support existing functionality that restricts access to all documents (whether TIFF, PDF or XML) in sealed case types.

5.2.3.2 The system shall also support restricted access on a per-document or per-case basis, maintaining unique tables of persons granted access on a document-by-document or case-by-case basis. Such rights shall be granted to individuals based on statute, rule or court order. See Section 4.11.3, page 20.

5.2.4 Printing

In all printing functions, the document type must be transparent to the user regardless of allowable document formats (TIFF, XML or PDF). XML documents shall use DTDs and/or stylesheets for printing formats. All such formatting must be approved by DJA prior to implementation.

5.2.4.1 The Public Web Viewer's current public print functionality shall be expanded to support the printing of XML and PDF document formats. Currently only imaged (TIFF) documents can be selected for printing from PCs located in the Clerk's Offices which are operated by DJA staff. See Appendix B: Current DJA Functional Environment for specifications of the current public printing functionality.

5.2.4.2 All documents, regardless of type, shall be provided in a suitable format for remote printing by users who access the system over the Internet or Intranet. End users shall be able to print or download documents to their personal computers.

5.2.4.3 Whether restrictions are limited by case type, case, or document; all restrictions on viewing access to sealed documents shall also be enforced and supported for printing access. The system shall provide the **highest security against the unauthorized printing of sealed records**.

5.2.5 Security

Proposer is to recommend security and access methodology and pricing for all new required viewing and printing functionality as part of the proposal. Possibilities may include, but are not limited to, PKI digital

signatures, as provided for in the State of Washington electronic authentication law (RCW 19.34), or further implementation of the Logon ID and password methodology.

Section 6: Additional Proposal Requirements

6.1 ADDITIONAL PROPOSAL REQUIREMENTS

6.1.1 Cost Information

Proposers shall provide information on all costs of their proposed services to DJA as indicated below. Proposers may not include the cost of travel in the proposal. This deliverable shall be required for each of Phases 1, 2, 3 and 4, as outlined in 0, Section 7: Project Phases. A "Proposer's Cost Worksheet" is included as Appendix O: Proposer's Cost Worksheet, page 93. This completed Worksheet shall be a part of the submitted roposal. Cost categories include:

6.1.1.1 Professional Services including

- Project Management
- Project Administration
- Technical (Programming, and so forth)
- Other (Specify)

6.1.1.2 Hardware (including upgrades and modifications)

6.1.1.3 Software (including detailed licensing costs with appropriate discounts [*e.g.*, FileNET], upgrades, and modifications)

6.1.1.4 Support/Maintenance (first year and subsequent annual costs, including support/maintenance for software licenses)

6.1.1.5Testing (including costs for proposer's own test environment, if charged to this Project)

6.1.1.6 Other (specify)

6.1.2 Personnel Information

Proposer shall include resumes and detailed job descriptions for staff who will be dedicated, in whole or in part, to this Project. This shall include, for each staff person, a description of the time to be allocated to DJA (as a percentage of overall assignments), the role each person is to play in the Project, and where the staff person is to be located during the course of the Project (*i.e.*, in the Seattle area or elsewhere). This deliverable shall be required in each of Phases 1, 2, 3 and 4 as outlined in 0.

6.2 PROJECT DELIVERABLES

6.2.1 Payment Schedule

The successful proposer shall be paid according to a payment schedule to be written and made a part of the Statement of Work that will be incorporated into the contract with DJA. The contract shall be negotiated with the successful proposer once the procurement process has been completed. The contract shall be a fixed price contract and shall be completed in phases. Only Phase One will be authorized for completion in the initial contract. Other Project phases will be authorized based upon funding and DJA approval. The contract negotiation should be expected to result in modifications to the proposer's response to this RFP, *i.e.*, the contract will not automatically incorporate all features, quantities, and prices quoted in the proposal.

6.2.2 Statement of Work

The Statement of Work will include agreed-upon milestones, deliverables and payment points. Upon successful implementation and testing of the requirements of any given payment point, the contractor shall be able to bill DJA for the amount associated with that payment point. Every invoice from the contractor shall be paid at 85%, with the 15% balance constituting a "hold-back," which shall be paid to the contractor upon DJA acceptance of all work specified in the contract. This deliverable shall be required in each of Phases 1, 2, 3 and 4 as outlined in 0.

6.2.3 Technical Requirements

The successful proposer shall provide DJA with a detailed set of technical requirements for implementation of the new system, including:

- 6.2.3.1 Hardware – required additions to existing technical environment
- 6.2.3.2 Software
- 6.2.3.3 LAN/WAN upgrades/changes
- 6.2.3.4 Web upgrades/changes

This deliverable shall be required for each of phases 1, 2, 3 and 4 as outlined in 0.

Due to security concerns the King County ITS Web Team maintains all servers on the "Public Access Segment" (PAS), *i.e.*, those servers to which the public has direct access. The Web front end must be a tiered application, with presentation separated from validation and validation separated from processing into the existing system. DJA desires to maintain the ECR servers, which are located inside the King County firewall, including servers to which PAS servers pass data and files. Proposers shall propose a secure way to receive and maintain documents during the security checking processes in compliance with this structure.

6.2.4 Integration Plan

The successful proposer shall provide a detailed plan for integrating E-Filing Project components and services into the existing systems and processes of DJA. This plan shall indicate who will be responsible for what tasks (successful proposer, DJA, OAC, or others) and when in the project schedule integration will take place. This should be done so that DJA can verify that proposed actions will, indeed, be feasible within the proposed timeframes. This deliverable shall be required for Phase 1 as outlined in 0.

6.2.5 Business Design Document

The successful proposer, working with DJA, shall provide a Business Design document specifying the business functionality being implemented, together with the user interface(s) required to implement. This deliverable shall be required in Phase 1 as outlined in 0.

6.2.6 System Documentation

The successful proposer shall be responsible for providing DJA with complete written documentation of all aspects of the system provided under the contract. Written documentation need not necessarily be printed, but must be readily accessible (*e.g.*, via Web pages). Contractor shall guarantee that the complete documentation shall be maintained for DJA reference throughout the life of the contract. Further the successful proposer shall guarantee that they will provide a full knowledge transfer regarding all aspects of the systems, equipment, software, etc., being installed, to DJA technical and project staff. The required documentation shall include all aspects of:

6.2.6.1 System Design - a detailed technical design document showing the hardware and software components to be delivered, how modules interact with each other, changes to be made to the database(s), new third party components to be integrated, and how, when and where data is added/deleted/updated. This may be considered a technical blueprint of ECR.

6.2.6.2 Technical Support - a technical support document detailing the maintenance procedures which DJA technical staff may reasonably expect to perform in providing operational support and maintaining the full production system, including but not limited to the following:

- Routine maintenance activities, including recommended backup procedures
- System expertise required
- Training required for DJA technical staff, including information regarding courses required or recommended, pricing of such courses, and locations where such courses are offered. This deliverable shall be required for each of phases 1, 2, 3 and 4 as outlined in 0.

6.2.7 Training Plan

The successful proposer shall provide DJA with a plan for needed training for DJA's technical and operations staff who will support Core ECR and related systems. This plan shall indicate all training to be provided by the successful proposer, as distinguished from training the successful proposer does not expect to provide directly. For the latter, the plan shall indicate how the training is to be provided (*e.g.*, by a "train the trainers" or other approach). The successful proposer shall provide written and graphic materials to DJA trainers for use in training these staff groups.

In addition, the successful proposer shall provide training plans and materials for electronic filers and other end users who will use the Web Viewer. This shall include on-line help and tutorials.

This deliverable shall be required for each of Phases 1, 2, 3 and 4 as outlined in 0.

6.2.8 System Test Plan

The successful proposer shall provide DJA with a test plan covering functional, operational and stress testing for each piece of required functionality, including:

- Proposed tests for each required functionality
- Timeline
- DJA and proposer's staff requirements
- Required modifications to proposed test environment

This deliverable shall be required for each of Phases 1, 2, 3 and 4 as outlined in 0.

6.2.9 ECR Failover Plan

Core ECR currently runs on two servers, for which details are provided Appendix A: Current DJA Technical Environment. One server acts as an Intranet Web server in addition to hosting MTS packages necessary to access Core ECR. The other server hosts SQL Server and FileNET IDMIS, as well providing the connection to the HP Jukebox OSAR on which images are written for permanent storage and to the DLT Tape Library used for backups. Although many individual components of the servers are redundant, ECR does not currently utilize load balancing or failover servers. In other words, if either of the primary servers fails or if the OSAR fails, Core ECR goes down until the failure is resolved. In addition, ECR is taken down for several hours each night in order to generate synchronized backups of the FileNET components (caches and proprietary databases) and the SQL Server databases.

It shall be a project deliverable to provide a plan, including costs, for load balancing and failover of ECR as a whole and to provide the most cost-effective way to upgrade ECR as a whole to reliable "24 X 7" operation. Implementation of load balancing and failover of ECR *as a whole is not a project deliverable*. This is not to be confused with the "24 X 7" operation and failover of the e-filing Web front end to accept electronically field documents, which *is* a project deliverable. See Section 4.3.7, page 12.

This deliverable shall be required in Phase 1, as outlined in 0, Section 7: Project Phases.

6.2.10 XML Forms Tools

As a Project deliverable, the successful proposer shall provide a commercial set of tools useable to produce XML forms (envelopes which can be deployed for use with the Court Filing XML Standard; and documents, forms and templates which can be deployed for use with the Court Document XML Standard) for ongoing use by DJA in the later phases of project implementation. As detailed in Section 4, Court Filing XML Standard, Version 1.0 shall be adhered to in the production of all forms used during the Pilot. This deliverable shall be required in Phase 1 as outlined in 0.

6.2.11 The ECR Web Viewer and ECR Public Web Viewer

The ECR Web Viewer and the ECR Public Web Viewer, as revised per Section 5 are Project deliverables. This deliverable shall be required in Phase 1, as outlined in 0.

6.2.12 Computer Output to Microfilm (COM)

The ability to perform COM for all documents contained in ECR, imaged or digital, is a Project deliverable. This deliverable shall be required in Phase 2 as outlined in 0.

6.2.13 Additional Reporting Requirements

The successful proposer shall provide DJA with up to 20 pre-formatted reports, the content of which shall be determined by DJA at a later date. See Appendix K: DJA: Sample Statistical Reports, page 84, for typical reports.

6.3 HELP DESK SUPPORT FOR FILERS

DJA will provide help-desk type telephone support to pilot participants during the pilot project. The successful proposer will provide technical assistance during this period as required.

6.4 SYSTEM WARRANTY & FOLLOW ON MAINTENANCE

Core ECR (imaging) and E-filing shall be maintained as a single system (ECR) with distinct components. DJA anticipates that its internal technical staff will provide first tier support consisting of routine operational and system maintenance. The successful proposer shall provide second tier application and database support and assistance, as well as such enhancements as may be required when the System is in place.

6.4.1 Warranty Period

The system is to be warranted against defects for a period of six months from system acceptance. The final payment will be made at the end of this period and this will consist of the release of all "holdback" monies. This holdback amount will consist of a percentage of each previous payment and the percentage will be negotiated prior to final contract award.

6.4.2 Terms and Pricing for System Maintenance

The successful proposer shall propose terms and pricing for the ongoing maintenance of the system for a period of one, two and three years after expiration of warranty, including information on proposed hours of support, response time, on-site situations.

6.4.3 Terms and pricing for System Enhancements and Modifications

The successful proposer shall propose terms and pricing for ongoing system enhancements and modifications for a period of one year.

6.5 INTELLECTUAL PROPERTY OWNERSHIP

6.5.1 DJA Ownership of System

DJA retains ownership of the entire system, including all code, and the software used to produce the code.

6.5.2 Knowledge Transfer

The offer must propose how the proposer would transfer knowledge of the system to another contractor should DJA decide to change contracted support in the future.

6.6 NON-DISCLOSURE

The contract shall provide for non-disclosure of system information or structure by the successful proposer.

6.7 FUTURE FUNCTIONALITY

DJA intends to consider implementing the functionality described below in subsections 6.7.1 through 6.7.9. **None of this would occur until after the completion of the system to be provided based on this RFP**. All proposers shall describe how their proposed systems would facilitate the later addition of these items or, at the

very least, shall explain how their proposed systems would avoid the need for extensive revisions to the electronic filing system they would provide if awarded a contract now. In seeking this information, DJA expects proposers to give serious consideration to design and technical requirements for this future functionality as they prepare their proposals.

6.7.1 Potential Future Use of PKI Digital Signature Technology

6.7.1.1 By Clerk's Office staff to issue electronic forms of Certified/Exemplified copies of filed documents.

6.7.1.2 By attorneys and self-represented litigants to access and view sealed documents for which they have permission to view.

6.7.1.3 By attorneys, self-represented litigants, parties to a case, and third parties, to sign documents and pleadings prior to electronic filing.

6.7.2 Integration Requirements

Integration requirements for future internal Superior Court case management systems include:

6.7.2.1 In addition to the case management capabilities provided by SCOMIS, the King County Superior Court maintains other local case management systems used for different types of cases. Criminal cases are managed with "CMIS" (Court Management Information System) which uses PowerBuilder over Informix. Civil IC (Individual Calendar) cases, assigned to "Individual Calendar" judges, are maintained within a flat file "Q&A" database (soon to be replaced with a product to be determined). Juvenile cases are managed by "JJWAN" (Juvenile Justice Wide Area Network) which uses a FoxPro database. Another Superior Court case management tool is KCCASEM, which uses Visual Basic and SQL Server, and shares some of CMIS' Informix tables via ODBC.

6.7.2.2 Typical data elements required by these systems include: case numbers; litigant names; attorneys and their clients; self-represented litigants; assigned judge; calendar dates; and types of hearings scheduled, continued and heard. Also included are case assignment areas (either Seattle, which includes Juvenile Court, or the Kent Regional Justice Center); scheduled milestones completed, pending, and/or overdue; and additional elements.

6.7.2.3 It is the intent of Superior Court to modify or replace various components of this case management functionality over time. The successful proposer shall architect ECR in an open architecture environment that facilitates the exchange of Court Filing XML tagged data elements with other systems, including information both about documents that are electronically filed and documents that are filed and received in hard copy and imaged.

6.7.3 Judicial Officer Electronic Document Support

Support of judicial officers will be provided in the future through automated tools that provide the ability to electronically file and route certain documents to selected attorneys and parties to a case, using information and e-mail addresses maintained by the E-Filing system (see subsection 6.7.7 Service on Litigants and Attorneys, below).

6.7.4 Electronic Judgment and Sentence

It is desired that the Superior Court be enabled to participate in the OAC-based project to build and use an electronic "Judgment and Sentence" (J&S) document, to be filed electronically. This may include "smart document" applications and other techniques for the development of each J&S in criminal and other cases, as well as XML-based functionality for filing and disseminating copies of the J&S.

6.7.5 XML Query/Response

This Legal XML product, now in development, may supplement or replace e-mail responses as standards and technology evolve.

6.7.6 Law, Safety, and Justice (LSJ) Integration

King County has an on-going Law, Safety, and Justice (LSJ) integration Project to identify and implement ways in which electronic data can be captured and shared among the systems that belong to LSJ agencies (Superior Court, District Court, DJA, Prosecuting Attorney, Sheriff, Jail and Juvenile). The basic goal is to require the entry of data only once, regardless of when or where it enters the justice system. This will reduce the time, expense, and possible errors arising from the current situation where each agency re-enters the same data even when it is obtained from another LSJ agency. ECR is expected to use Legal XML standards and tools to receive data from and forward data to these agencies, as required.

6.7.7 Service on Litigants and Attorneys

Future functionality may include the ability to automatically provide legal service of electronically filed documents on other parties (litigants and attorneys) in the case. This implies the ability to query SCOMIS for other parties who need to be served, to extract their e-mail addresses, and to automatically send an electronic message to those parties. This message would state that a document entitled "___" was filed in a specific case on a specific date and, ideally, it would provide a URI (Universal Resource Indicator) that would display the document for the receiving party on request (that is, when clicked on).

6.7.8 Document "Hot Links"

Future functionality may include the ability to provide within a document, "hot links" to other documents.

Section 7: Project Phases

DJA intends to take a phased approach to the implementation of the functionality for the E-Filing System as described in this Request for Proposals. While it is DJA's intention to award one contract for the full set of functionality described, initially only the first phase will be awarded and funded. Contract modification to cover the implementation of additional phases will be at DJA's option and shall depend upon the receipt of additional funding. Proposers are asked to provide separate pricing for each of the items in the described phases. See Appendix O: Proposer's Cost Worksheet, page 93. All proposed pricing shall remain valid through the end of 2001.

7.1 PHASE ONE: PRIVATE BAR PILOT PROJECT

DJA intends to run a Pilot Project to test an initial set of system functions and to gather information regarding system usage from volunteer participants. Phase One of the E-Filing Project shall be the delivery of a complete system with all functionality needed to support this Pilot. The Pilot consist of the electronic filing of a limited number of documents in civil cases by volunteer attorney participants, and the integration of these documents into the current Core ECR system functionality. Pilot participants shall require no specialized software or hardware beyond an Internet or Intranet connection and either Internet Explorer, Version 5.0 or above, or Netscape, Version 4.7 or above, along with approved word processing software.

The Pilot will involve members of the Washington State Bar Association (WSBA) who have active civil litigation before the King County Superior Court. DJA and the WSBA have recruited a small number of attorney volunteers from large, medium, and small law offices. A list of approximately 50 documents, including case initiating documents, will be defined and the participating attorneys will be required, when filing any of these documents in ECR cases (which are any cases filed on or after January 1, 2000), to do so electronically. There will be no duplicate paper filings for these documents and filing deadlines will not be extended for missed deadlines attributable to technical problems with any systems or equipment; whether related to DJA, Intranet, Internet, or the participant or firm.

The Pilot Project will last at least three months. Based on a review of information collected at the end of this period, its term may be extended. The successful proposer shall provide technical support during the Pilot to help identify and/or correct problems with the system. However, DJA technical staff will be the main contact people for Pilot participants and will provide end-user support. DJA participants will include both technical and line staff. Line staff will be involved in system testing and the processing of electronically submitted documents during the Pilot period.

Components not required for the Pilot include the use of PKI digital signatures and some of the system integration. However, the SCOMIS interface will be completed in cooperation with OAC, whose current timeline estimates predict that there will be an early summer (2001) completion date for it. The JRS interface will be required when on-line payment of filing fees begins. Both of these interfaces are included as part of Phase One functionality in the "Proposer's Cost Worksheet," even though they might not actually occur until Phase Two.

Modification of the current document viewing technology will be required to support *Intranet* access to electronically filed documents (in addition to current TIFF viewing capability). Since later Project phases will require support for *Internet* access to the same documents, the delivered functionality must be easily extended to provide for that as well.

It is expected that the successful proposer will provide all requisite XML forms for use during the Pilot Project. Additionally, as a Project deliverable, the successful proposer shall provide a commercial set of the tools useable to produce these forms. These tools will be used by DJA to produce additional forms, as needed, for use in later Project phases. The DJA extended Legal XML Court Filing Standard, Version 1.0, shall be adhered to in the production of all forms used during the Pilot.

A detailed list of Pilot functionality is given below. Each item on this list is described in detail in Sections 4, 5, or 6. While this list is meant to include all functionality needed, items not included on the list but subsequently discovered to be required for implementation of the Pilot Project shall also be provided for the successful completion of this phase. Any items added in this way shall not be to provide additional functionality, but only to complete the phase as described. Proposers, in their proposals, should bring to DJA's attention any missing functionality that they believe will be necessary for completion of Phase One.

Phase One technology and processes to be tested during these pilots include but are not limited to the following items:

- Electronic receipt and initial validation of documents, first outside the King County firewall on a King County Web server and then on a secured server within the firewall. At a minimum, this functionality should include all of Section 4.21, p. 15.
- In addition to support of current access controls, use of logon/password access control for attorney filers;
- An E-Commerce solution for the payment of filing fees, if needed, at the time of document filing;
- An automated interface to JRS for fee payment and accounting purposes using requisite XML data;
- A secure methodology for document transmission and maintenance during initial validation and processing via either the Intranet or Internet;
- The provision of requisite XML envelopes, based on document type, and the functionality to support their on-line completion and validation;
- Ability for filers to obtain instructions on types and use of services offered;
- Support for the filing of multiple documents per XML envelope and for the acceptance of both the envelope and document(s) from the filer;
- Automated security scanning of all submitted documents, including envelopes if appropriate, to detect viruses and other unauthorized inclusions, with immediate rejection of documents that fail to pass this test;
- Additional document checking and validation procedures;
- Ability to complete required document modifications and PDF conversion functionality; and
- Document acceptance or rejection and the provision of this information in an on-line message to the filer.

Support requirements for required Legal XML Court Filing protocols (Section 4.19, page 13) include:

- Use of the Legal XML Court Filing Standard (see Appendix E: Court Filing Proposed XML Standard, Version 1.0);
- Use of additional XML data elements as defined by DJA;
- Provision and use of forms (envelopes) for collecting all requisite XML data elements;
- Provision of commercial tool(s) useable to produce required XML forms and training of DJA staff in their use;
- Inclusion of XML data elements derived from the envelope in all DJA databases currently used to track information about filed documents;
- Provision and receipt of XML data elements for use in an OAC provided automated interface to SCOMIS;
- Provision of XML data elements for use in an OAC provided automated interface to JRS;
- Provision of XML data elements for use in future automated interfaces.

Identification and management of "sealed" documents (Section 4.27, page 20).

Document storage (Section 4.26, page 19)

Document processing functionality (Section 4.28, page 21);

- Movement from the secured environment into a location for suitable completion of filing, indexing, processing and storage functions;
- Integration of electronically filed documents into the Core ECR System for the use of document management including all its features such as:
    - Indexing to Case Number,
    - Assignment of Sub Number,
    - Recording and storage in the Core ECR jukebox,
    - Entry into a Core ECR workflow (including General Docketing),
    - Production of Clerks Papers, and
    - Addition and/or deletion of the word “SEALED” from the document.
- Modification of current Core ECR System to manage electronically filed documents as follows:
    - Modification of file management (FileNET and Core ECR) systems to support digital documents;
    - Addition of digital document management functionality;
    - Addition of response tools to be used by staff to generate a message to filer about subsequent document rejection or acceptance;
    - Ability to modify the digital document to add the Clerk’s FILED stamp which includes date and time the document was filed;
    - Generation of SCOMIS case numbers for cases initiated online.

Ability both manually and automatically to support distinct processing steps for electronic filing, including the ability for DJA staff to turn the automation of a given step “on” or “off,” as needed.

Provision of document viewing capability by modification or replacement of current viewing capabilities (for both the Thick Client and the ECR Web Viewers) to add transparent King County Intranet access to electronically filed documents (in addition to current TIFF viewing capability). This also shall include their viewing from the publicly accessible computers (PCs) located in the public areas of the Clerk’s Offices. Phase One does not include the implementation of Internet access for document viewing, but any modifications of viewing capability should support this functionality as well.

Addition of the ability to print electronically filed documents (as well as current TIFF documents) through modification or replacement of the existing Public Print capability.

7.2 **PHASE TWO: GENERAL SYSTEM IMPLEMENTATION**

With the exception of the specific functionality described in Phases 3 and 4 below, all other system functionality described in this Request for Proposals shall be implemented during this phase. Such functionality will include:

- Completion, if necessary, of an automated interface with SCOMIS to support an automated exchange of requisite XML data;
- Addition of Intranet accessible electronic filing access to the E-Filing Web site from the publicly accessible PCs located in the public areas of the Clerk’s Offices;

- Ability to receive, extract and store XML data elements from electronically filed documents (not envelopes) which contain such data and are compliant with the Court Document XML standard;
- Support, when appropriate, for the electronic receipt and transmission of a case schedule and judge assignment to the filer;
- Computer output to microfilm.

7.3 PHASE THREE: INTERNET VIEWING OF COURT CASE DOCUMENTS

The viewing capability of Intranet users, as enhanced in Phase One above, shall be extended to provide viewing and capabilities for Internet users. Also included shall be the ability to upload documents for the purposes of printing. Separate pricing for functionality that supports a per-case and per-document restricted secure access to “SEALED” documents over the Internet shall be provided.

7.4 PHASE FOUR: JUDICIAL SUPPORT REQUIREMENTS

Additional functionality required in this Phase shall include:

- Support for the judicial filing of documents signed using PKI digital signatures, including signature verification and document integrity checking before filing;
- Ability to “cut and paste” and otherwise word-process sections from electronically filed documents into other electronic documents, for example, while producing new documents for electronic filing by a judicial officer;
- Ability to add and use annotations and comments that would be “attached” to the appropriate locations in the annotated electronic document. This private set of annotations and comments shall be available only to the author.
- The provision, through Legal XML schema and/or stylesheets and other electronic tools, of an electronic document case file set of documents that would serve as Judge’s Working Papers.
- Ability to queue cases for document viewing based on a specific calendar for an individual judge. This is to provide easier and faster access to needed documents.

Section 8: Project Structure & Management

8.1 PRIME CONTRACTOR

The successful proposer shall be the prime or general contractor, who may form a team of subcontractors. The successful proposer shall be responsible for integrating the new functionality specified in the RFP into Core ECR, and for delivering ECR as a whole. The system is not just a group of hardware and software components, but an integrated system designed to perform clear functions. The successful proposer shall be responsible for performance of the entire system.

8.2 REQUIRED PLANNING

8.2.1 Detailed Project Plan

The successful proposer shall be responsible for providing and implementing a detailed project plan This plan shall include project milestones, work plans, implementation and payment schedules, etc. Proposers must show how they will develop each of the activities and plans.

8.2.2 Implementation Plan

The successful proposer shall provide an Implementation Plan to demonstrate how components will be planned, developed, installed, tested, evaluated and accepted.

8.2.3 Communications Plan

The successful proposer shall provide a Communications Plan for managing all communication with DJA on issues related to ECR and the contract.

8.2.4 Training Plan

The successful proposer shall provide a comprehensive training plan providing for the training of DJA system administrators, DJA staff, trainers who will provide training for electronic filers, and any other training required to maintain a fully functional system.

8.2.5 Test Plan

The successful proposer shall provide a comprehensive test plan for DJA's use in testing all pieces of delivered system functionality prior to their acceptance. Such testing shall include functional and operational testing for all software and hardware functionality during maximum use periods.

8.2.6 Coordination Plan

The successful proposer shall provide its plan for coordinating its project team with the DJA project team, consisting of DJA's project manager, technical manager and others. Contact with other King County agencies shall be coordinated through DJA's Project team.

8.3 CONTRACT CHANGES

Contract change orders, if any, will be conducted in accordance with King County contract modification procedures. The successful proposer's project manager and DJA's Project manager shall agree upon all change orders.

8.4 PROJECT MANAGER

The successful proposer shall specify a project manager for the full term of the Project. The successful proposer's project manager is to be available on a full- or near-full time basis during implementation and must be physically available in the Seattle metropolitan area.

8.4.1 Decisions within the Project shall only be made by the two project managers;

8.4.2 Project reports are to be passed only between project managers for dissemination; including punch lists, status reports, timelines, expenditures, invoices, and other materials as required;

8.4.3 Both project managers shall be copied on all e-mail between project staff.

8.5 ON-SITE RESPONSE

The successful proposer shall demonstrate an ability to provide on-site response at DJA's facility at the King County Courthouse within one hour of request.

8.6 TRAVEL EXPENSES

No travel money may be proposed independent of the accepted fixed price contract.

8.7 PROPOSER'S STAFFING REQUIREMENTS

8.7.1 The successful proposer shall specify its key staff including names, titles, functions, qualifications, and areas of Project responsibility.

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

8.7.3 Personnel associated with the successful proposer are prohibited from access to sealed files or documents. The proposer shall guarantee in writing that every person on its staff or in a supplier or subcontractor relationship will be trained regarding confidentiality restrictions. Additionally each such person shall sign a statement promising not to disclose information about any court case files they see, nor about King County computers, networks, infrastructure, and so forth.

8.8 DJA'S PROJECT STAFFING REQUIREMENTS

8.8.1 The successful proposer shall provide estimates of the need for document review by DJA staff during pilot and through full system implementation;

8.8.2 The successful proposer shall specify needs for on-site staff accommodations for successful proposer staff;

8.8.3 The successful proposer shall provide estimates of its needs for DJA technical staff time for consultation and other purposes;

8.8.4 The successful proposer shall provide estimates of hours and types of line-staff time needed during each phase of the Project.

8.9 PROPOSER'S REMOTE ACCESS

The successful proposer shall establish the capability to remotely access DJA's ECR system using King County's Virtual Private Network. It is expected that much of the successful proposer's work (configuration, programming and troubleshooting) may be accomplished through remote access, without requiring on-site presence.

8.10 PROPOSER'S TEST ENVIRONMENT

8.10.1 The successful proposer shall establish and maintain an environment sufficient to perform alpha testing of all Project functionality within its own organization. This environment shall be open-architecture, including Macintosh and Intel platforms. Coding and configurations shall be pre-tested by the successful proposer within its own test environment prior to installation at DJA. On-site testing at DJA shall primarily be for system or module acceptance purposes and shall occur prior to integration into DJA's production environment.

8.10.2 The successful proposer's test environment shall contain, at a minimum, the following:

- The ability to scan documents into ECR utilizing an environment compatible with DJA's scanning environment (Fujitsu 3097/3099 scanners, with Kofax KF-9275 accelerator cards;
- SQL Server 6.5 and FileNET IDMIS 3.4.2 on a single test server (requires upgrading to more current versions as DJA upgrades its test and production environment);
- The same document management system for managing e-filed documents as agreed to in the contract;
- IIS and MTS on a single test server;
- At least one Macintosh Client PC for Web viewing and electronic filing. At least one Pentium Client PC for Web viewing, electronic filing, and Thick Client (Core ECR Custom VB with Panagon Desktop and Capture);
- Internet Explorer Web browser with appropriate version(s);
- Netscape Web browser with appropriate version(s);
- Web and other server(s) to replicate functionality of e-filing Web front end;

8.10.3 OSAR is not specifically required for successful proposer's test environment.

8.11 EASE OF USE

DJA shall have final approval over all system "ease of use" components including graphical user interfaces; appearance of screens; navigation between screens; size of fonts; icons and buttons; sensitivity of icons and buttons; and any other issue relating to the usability of the system by staff or any other customer.

8.12 MESSAGING

DJA shall have final approval of all "message" screens, including those for communication with internal and external filers.

Section 9: Proposer's Qualifications & Proposal Evaluation Criteria

9.1 PROPOSER REQUIREMENTS

9.1.1 While DJA expects interested parties to partner in responding to this Request for Proposals, DJA requires one primary proposer (prime contractor) who will be responsible for the complete implementation of this Project. Other partners shall be treated as subcontractors of the primary proposer. The proposal shall clearly identify the primary proposer and each partnering subcontractor, providing business information and references.

9.1.2 Individual qualifications listed below which relate to experience with certain products or types of implementations may be met by a specific subcontractor. The proposal should clearly indicate where this is the case, identifying the specific qualification and qualifying subcontractor, and providing adequate information about the subcontractor to enable DJA to determine that the requirement has been meant.

9.1.3 Proposer qualifications:

9.1.3.1 Proposer must have been in business for a minimum of five years.

9.1.3.2 Proposer must be able to show to DJA's satisfaction that it has sufficient staff available to dedicate to this project to successfully implement it within the proposed timeframe.

9.1.3.3 Proposer must be able show to DJA's satisfaction that it is financially stable.

9.1.3.4 Proposer must have successfully implemented at least one automated court management system, or court document management system.

9.1.3.5 Proposer must have experience with the receipt and management of electronically filed documents.

9.1.3.6 Proposer must be a FileNET ValueNET Partner.

9.1.3.7 Proposer must maintain offices in the Seattle metropolitan area and project employees must be able to be on site in DJA at the King County Courthouse in downtown Seattle within one hour of being called.

9.1.3.8 Proposer and DJA will agree upon the conditions that require this type of response time.

9.1.3.9 Proposer's Project employees must have:

- Training and/or experience in VS6, VB6, NT 4, IIS, MTS.
- Training and/or experience in installation, configuration, troubleshooting, maintenance, and development of the following FileNET products: IDMIS, Capture Desktop, Capture Professional, Desktop, Web Services, and other proposed FileNET Products.
- Experience in customizing and integrating FileNET Panagon products into medium-to-large turnkey image and/or document management systems for customers.
- Training and/or experience designing, implementing and maintaining Web pages for the receipt of electronic documents and fee payments.
- Training and/or experience designing, implementing and maintaining Web interfaces to image and/or document management systems.
- Training and/or experience designing, implementing, integrating and maintaining large SQL Server 6.5/7.0 databases.
- Training and/or experience using XML

9.2 PROPOSAL EVALUATION CRITERIA AND WEIGHTING

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

Proposer Experience and Capability	250 points
Technology Risk Minimization	200 points
Functionality	250 points
Implementation Capability	200 points
System Costs	200 points
SUBTOTAL	1100 points

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

Proposer Presentation/Interviews	200 points
TOTAL	1300 points

9.3 INDICATORS CONSIDERED IN APPLYING EVALUATION CRITERIA

Criteria which DJA's evaluators will consider when assessing proposal are listed in Appendix D: Indicators to be Considered by DJA in Proposal Evaluation

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Appendix A: Current DJA Technical Environment

A. DJA - Existing systems specification

1. Hardware

a. Servers

Server ECRFN

- Compaq Proliant 5500, 4 Pentium II Xeon 400Mhz processors w/512KB each, 1GB RAM, 119GB SCSI Disk, including external drives
- FileNet IDMIS 3.4.2, SP2
- NT Server Enterprise 4.0, SP 5
- MS SQL Server 6.5, SP 5a with hotfix
- BackupExec 7.3, including SQL Server module
- PCAnywhere for remote access to server
- SCSI to HP SureStore Optical Jukebox 10 drives 238 slots, Product # C1110J
- SCSI to Compaq 20/40 DLT Tape Lib 15 slot, 2 drives

Server ECRWEB

- Compaq Proliant 5500, 2 Pentium II Xeon 400Mhz processors w/512KB each, 512MB RAM, 42GB SCSI Disk
- NT Server Enterprise 4.0, SP 5
- PCAnywhere
- IIS
- FileNet Panagon IDM WEB
- MSDTC
- MTS
- Custom Core ECR MTS Packages written in VB6

FileNet Print Server

- Gateway Pentium E-1400 Celeron, 400 MHz, 128MB RAM
- FileNet Print Administrator 4.1.0.98
- FileNet Capture 2.0.1
- IDM Viewer 2.0.3
- NT 4 Workstation O/S

ECRStampServer (used to change bitmaps for SEALED and for Clerks Papers)

- Compaq DeskPro P500, 512MB RAM
- FileNet Capture, w/Export license
- FileNet Panagon IDM Desktop
- NT 4 Workstation O/S
- CheckQue custom program used to change bitmaps for SEALED and for Clerks Papers, written in VB6.

b. Desktop

Thick Client Workstations:

- Win95, Win98, NT Workstation 4.0 (Win2000 planned as certified by FileNet)
- Internet Explorer 5.0 and above
- FileNet Panagon IDM Viewer 2.0.3 and up
- FileNet Panagon Capture 2.0.2 and up
- Core ECR thick client front end, custom built using VB6
- Scan Stations have KOFAX KF-9275 scan accelerators (PCI)
- Scan stations utilize Fujitsu 3097 and 3099 scanners
- ECR Administrators have AdminUpdate, a custom built VB6 program used to complete the update the data in SQL Server ECR tables when document has been committed to FileNet, but not all the appropriate entries were made to the SQL Server side of Core ECR.
- Administrators have SQL Server 6.5 Client installed for database querying, maintenance and administration.

ECR Web Viewer and Public ECR Web Viewer Stations (used by public in DJA to view files, and used by King County Law, Safety and Justice agencies outside DJA to view files):

- IE 5 and above (product required to function correctly with IE 5.0 and Netscape 4.7 browsers)
- Win95, Win98, NT Workstation, and Win2000 Operating systems
- Pentium 300 or above recommended
- 128MB RAM recommended

c. Additional disk storage: DJA has three IBM 7133 Disk Subsystems containing approximately 300GB of disk space. These subsystems are currently connected to an RS/6000 mini computer which was used in a previous imaging system. It is DJA's intent to eventually bring these disks back into service by connecting them to the ECR Compaq servers.

d. Printers: DJA has deployed FileNet printing using FileNet Print Manager v 4.01. Primary printers addressed by FileNet printing at the King County Courthouse, Regional Justice Center, and Juvenile Court include:

- QMS 2425 Turbo Image Printers with 52MB RAM and 2GB HDD for cache
- HP 8000N's with 80MB RAM

In addition, Canon ImageRunner 330S and 600 Series Copiers are being outfitted with HP 300 EX print servers attached to Network I/O cards to allow them to be used as high speed (60 ppm) image printers and are expected to be added as FileNet printers within DJA. Other Canon copiers being similarly outfitted and are expected to be utilized as network printers by non-DJA Law, Safety and Justice agencies with significant print volumes.

Printed images run to several thousand pages per day.

2. LAN/WAN

King County maintains its own Wide Area Network, consisting of numerous sites all over the county which are tied together with 156MB ATM. Communication into the “A” sites, including Key Tower (where the primary ECR servers are located), the King County Courthouse, the Regional Justice Center, and the Juvenile Courts are 100MB. The King County Courthouse contains a fiber-optic backbone between all floors. Other sites with less traffic use T1 to connect to the WAN.

DJA maintains LANs at all DJA employee locations, which are tied together by the King County Wide Area Network.

King County and DJA utilize Cisco switches and 10/100MB Ethernet.

a. Intranet: The current Web Viewer technology is only capable of providing viewing access to the currently imaged documents.

b. Internet: At the present time there is no Internet access to view current ECR imaged documents.

c. Standards for switches, hubs, wiring: DJA and King County use the following for ECR:

- All are 10/100 half/full duplex Ethernet capable of conforming to the IEEE standards. The county has been using Cisco switches for the WAN. DJA has upgraded all their hubs to Cisco switches but has some hubs in temporary use.
- Preference for Switches (primarily CISCO), not hubs
- Category 5 twisted pair wiring

Primarily 10/100MB Ethernet, although there may be offices which still use Token Ring topology.

3. Software including existing licensing agreements if any

a. OS: King County maintains site licensing agreements allowing all County employees to deploy Windows 95, Windows 98, NT 4.0 Workstation, and Windows 2000 Workstation operating systems and Internet Explorer.

b. Core ECR: DJA owns the custom VB6 code developed in Core ECR and is not required to pay licensing fees for its deployment.

c. FileNet: DJA requires that the successful bidder be a FileNet ValueNet Partner. It is expected that this relationship will provide DJA with the best pricing models on FileNet software. DJA maintains a Silver Support Maintenance agreement with FileNet which provides for automatic upgrades as well as technical support.

DJA licenses workstations for FileNet based upon two models; the single license model (one license required for each user) which is needed for production staff who utilize Core ECR and FileNet all day and for Scanning PCs, and the shared license model (one license required for each x users) which is needed for non-production access to ECR and FileNet. A previous analysis indicated that the shared license model was appropriate at the level of one license for each 4 users for users within DJA who are

not production workers and for one license for each 10 users outside DJA, e.g. those in other LSJ agencies.

DJA is currently licensed with FileNet as shown in the following table.

Quantity	Material	Description
1	303194	Print 4.x Printer Lic
1	303472	IDM Services NT MSSQL
1	303930	WG Capture Personal Ed 2.x
5	304661	Capture Professional Low Volume 2.x
5	304665	Capture Professional Add'l DocEntry 2.x
40	304677	IDM Services Dedicated User Lic 2.x
35	304678	IDM Services Shared User Lic 2.x @ 10:1
41	501268	IDM SLU Lic (Converted to 25 shared @ 4:1 and 16
3	304850	IDM Toolkit 2.x-3.x Upg
80	304852	IDM Desktop 3.x Upg
34	304870	IDM Web Access 2.x-3.x Upg
4	305102	Capture Professional Low Volume 2.x-3.x Upg
2	305103	Capture Professional Medium Volume 2.x-3.x Upg
7	305105	Capture Professional Addl DocEntry 2.x-3.x Upg
1	305108	Capture Toolkit 2.x-3.x Upg
1	501270	IDM Distributed Services Lic
1	501293	IDM Optical Driver Lic, High Capacity
1	501305	IDM Services MSSQL Customer Supplied
80	501540	IDM Web Desktop Lic
1	501566	Capture Gateway 2.x P/S

DJA is currently licensed for FileNet IDMIS (Image Services) and has that functionality enabled. DJA is also licensed for FileNet Panagon Content Services, but that license needs to be activated

DJA intends to upgrade its current system from IDMIS 3.4.2 and SQL Server 6.5 to IDMIS 3.5.0 and SQL Server 7.0 prior to implementation of E-Filing.

d. Visual Basic: Core ECR was written in VB6. DJA has 6 copies of Visual Studio 6, including VB6 and SourceSafe.

e. SQL Server: DJA is currently licensed for one copy of SQL Server 7.0 in ECR, which (because IDMIS 3.4.2 does not support 7.0) DJA is utilizing as SQL Server 6.5. King County maintains SQL Server Client Access Licenses for all users .

4. Database

a. FileNet IDMIS utilizes a mixture of proprietary databases and, in the DJA environment, SQL Server. In addition to the tables and database that FileNet software maintains internally, Core ECR has a custom SQL Server database component consisting of approximately 35 tables and 200 stored procedures. It was an overriding concern of DJA that Core ECR as originally built was designed to support changes in order to

accommodate the e-filing of documents. That is, the original system was designed to be extensible, so modifications to the existing structure should be reasonable in scope.

b. Current upgrade plans: DJA plans to upgrade current Core ECR system components from FileNet IDMIS 3.4.2 to FileNet IDMIS 3.5.0, and from SQL Server 6.5 to SQL Server 7.0 prior to implementation of E-Filing.

B. Business partners who will be system users via KC Intranet – number of potential users & technology descriptions

DJA has numerous business partners within the King County Law, Safety and Justice community, including Superior Court, the Prosecuting Attorney, Public Defender agencies, the Sheriff, District Court, and Juvenile. These partners have various divisions in separate locations throughout King County. It is expected that there will be approximately 400ECR users from the various agencies, the vast majority of whom will be casual users rather than being engaged in ECR activity all day.

These agencies employ a variety of technologies and infrastructures, and have varying degrees of access to the Wide Area Network and to technical support staff. Those located in the major King County sites will have high speed WAN access, while those in outlying areas may be limited to T1 access. Most employ either NT or Novell networks; however King County is examining upgrades to Windows2000 as the standard for its networking technology in order to facilitate more centralized network maintenance.

C. Technical Support

1. Tech team positions and responsibilities: DJA technology staff currently operate as a TEAM, with each member assuming primary responsibility for certain areas or functions.

a. Existing positions:

- ECR Technology Manager responsible for the overall technology of ECR and planning of additional ECR technology, has successfully completed FileNET's 5 day course, Panagon IDMIS System Administration for NT.
- Data Dissemination Manager responsible for handling data requests, administration of SQL Server and FoxPro databases, and provides much support to ECR, has successfully completed FileNET's 5 day course, Panagon IDMIS System Administration for NT.
- RJC LAN Administrator, who provides much support to ECR, has successfully completed FileNET's 5-day course, Panagon IDMIS System Administration for NT.
- KCCH LAN Administrator.
- Programmer responsible for SCOMIS data extraction and writing and maintaining custom MSAccess databases as required.
- Statistician

In addition, the E-Filing project manager may be an *ad hoc* member of the TEAM.

b. New position: DJA hopes to add one additional technology position, ECR Systems Administrator, who would take over the daily running of ECR and do the ECR Database Administration. Some of the work of other TEAM members would shift, allowing additional attention to be paid in the areas of planning and administration of ECR. Also, there is discussion of providing FileNet training to the KCCH LAN Administrator.

ITS – roles & responsibilities

ITS, King County Information and Telecommunication Services, is the umbrella under which county-wide technology infrastructure resides. It is part of King County Department of Information and Administrative Services.

ITS houses the ECR servers and Jukebox. They provide the mechanism to move backups off-site. They provide network assistance. They maintain authority and responsibility over all routers and switches. They maintain authority and responsibility for the King County Wide Area Network to which DJA and the other LSJ agencies connect with their internal networks.

ITS houses and maintains all King County web servers on the Public Access Segment (PAS). This includes all web servers to which the public has *direct* access.

ITS houses the Router over which King County LSJ agencies connect to the IGN, Inter Governmental Network, in order to access SCOMIS.

3. OAC JIS – roles & responsibilities

DJA has a strong working relationship with OAC, the Office of the Administrator for the Courts, and JIS, the Judicial Information Systems which is part of OAC.

JIS and OAC are responsible for providing and maintaining statewide Judicial Systems such as SCOMIS (the statewide case management information system for Superior Courts), DISCIS (the statewide case management information system for municipal and District Courts), ACORDS (for the Appellate and Supreme courts), and JASS (Judicial Accounting Subsystem). They also fashion cross-court information systems which allow courts in one jurisdiction to view information on a specific person's court related contacts as a decision-making tool when determining the outcomes of such things as DUI sentencings and Domestic Violence petitions. They provide much of the information needed by state government for budgeting and law making.

OAC also maintains IGN, the Inter Governmental Network. This is a statewide secure and dedicated network through which Law, Safety and Justice agencies throughout the state are able to communicate with OAC's mainframe systems such as SCOMIS using IP.

Appendix B: Current DJA Functional Environment

A. End-User Clients*:* DJA utilizes three front-ends to access Core ECR; Thick Client, ECR Web Viewer, and Public ECR Web Viewer.

A.1. THICK CLIENT

Thick Client is the informal description of the Core ECR workstation client application as used by Clerks Office staff. It contains the full functionality for Core ECR. It is custom VB6, with 3 tier client server calls to FileNet/SQL Server. Thick Client requires a Win32 platform, and the installation of FileNet Panagon IDM Viewer and FileNet Panagon Capture software. DJA production staff and system administrators are required to use thick client workstations in order to process documents and manage Core ECR.

Printing from Core ECR thick client workstations may occur via standard “Windows Printing” to local or networked printer, or via “FileNet Printing” where FileNet IDMIS forwards print jobs to a “FileNet Print Administrator” which queues and prints the jobs using networked printers.

A.2. ECR WEB VIEWER

ECR Web Viewer describes the workstation client application as used by King County LSJ staff who are not DJA employees via the King County Intranet. This includes Judges, bailiffs, prosecuting attorneys, etc.

Web and Java-based technology was selected for non-DJA viewing capability primarily to insure that DJA would not get into the business of installing and supporting software on non-DJA workstations. Additionally, it was selected to insure that different versions of the viewer would not be required for users who operate in environments other than “Win32”.

These desktops utilize a compliant web browser (Internet Explorer or Netscape) to access an ASP page on server ECRWEB, http://ecrweb/ecr_web_general/, which uses MTS Objects to retrieve case related information and images from server ECRFN and return that information and those images to the user. Virtual machine must be installed.

ECR Web Viewer allows users to either log in with UserID and Password or to bypass the login and go directly to the viewer. If the user logs in, access to Sealed files and documents is determined by rights assigned to the user within ECR. If the user bypasses the login, there is no access to Sealed documents or files.

ECR Web Viewer provides the functionality of logging in via UserID/Password, viewing cases and documents to which the user is authorized access. It is handled with ASP on the server, and Web Browser, Java and the Java-based Daeja oneVIEW Viewer on the user’s PC. It makes no direct connections to FileNet or SQL Server; all connections are handled through MTS objects.

Daeja’s product is written in Java, so it does not require a Win32 environment. FileNet components are not installed on the user’s workstation.

While using the ECR Web Viewer, the user may choose to use thumbnails for

- all pages in a given document, or
- first page of all documents

Once an image has been loaded into the viewer, the user has buttons for manipulation of the image by rotation, zoom, magnify, fit (width or height), goto page, invert and enhance.

The user enters the case number (s)he wishes to view. A listing of the documents for that case is presented in the Case Contents screen, with documents sortable by date filed, sub number, or title of document The user may select one or multiple documents at a time to view, selected from the case contents screen for that particular case. The documents shown in the case contents screen may include all documents, or only documents of certain types (e.g. “Orders”).

The user may elect to view the “Activity Log” for a document on the Case Contents screen. This is a list of activities which the document has undergone.

Printing from the ECR WEB Viewer uses the PC’s internal printing (standard Windows printing) functionality. A document may be printed in its entirety, or a range of pages from the document may be printed.

Because an authorized user may view confidential cases and documents with ECR Web Viewer, there is a built-in “no activity timeout” after which the user must log back in to view additional documents.

A.3. Public ECR Web Viewer

DJA maintains workstations for public viewing of files. These workstations are located in the Clerks office at the King County Courthouse, RJC and Juvenile Court facility. These workstations are similarly configured to ECR Web Viewer stations, but access a different web page (http://ecrweb/ecr_web_public/) with slightly different functionality.

Public ECR Web Viewer does not allow a user to “log in”, but simply access public (not sealed) documents. If a user attempts to view a sealed document, a message is returned to the screen indicating that the document is sealed. In addition, a dialogue box appears. DJA staff may check the identification of the user and, if authorized to view the document, issue a password allowing “one time access” to the document.

When a user prints from Public ECR Web Viewer, the user is notified by the system of the number of pages to be printed and the fee that must be collected for the printed document. If the user elects to continue, a “FileNet” print job is queued into custom SQL Server tables. DJA staff have a custom VB6 application on PCs located behind our counter in the public viewing areas. They collect the fee from the customer and release the print job from the SQL Server table.

B. Integration with SCOMIS:

Core ECR is currently integrated with SCOMIS, the state’s Superior Court Management Information System for indexing and docketing documents and other information on a case by case basis. SCOMIS is a DB2 application authored and maintained by OAC, which resides in Olympia, Washington on a statewide mainframe computer. When SCOMIS was implemented in 1979, DJA accessed SCOMIS on OAC’s mainframe through 3270 and 3278 terminals which had no processing power of their own, simply connecting

the user to the mainframe. With the advent of the Personal Computer, it became possible to replace these “dumb terminals” with PCs which allow the user access to the functionality we have all come to expect.

In the current system, EHLLAPI commands and screen scraping technology are used to navigate SCOMIS to the proper case number and by emulating keystrokes in SCOMIS, partially complete the SCOMIS entry. After the operator completes the SCOMIS docket entry, the same technology is used to find the sub number on the SCOMIS screen matching that of the Core ECR document, and scrape the relevant docketing information back to ECR for storage in SQL Server tables. Descriptions of TN3270, EHLLAPI and Screen Scraping appear below.

B.1. TN3270: DJA connects to OAC’s mainframe to do SCOMIS data entry. The vehicle for doing so is TN3270, a flexible, efficient and inexpensive terminal emulator application for connecting Windows PC users to IBM mainframes via TCP/IP. OAC maintains site licensing for HostExplorer (currently Ver. 6.1.0.8 and above) terminal emulation, so that is DJA’s product of choice.

B.2. EHLLAPI:

Emulator High-Level Language Application Programming Interface (EHLLAPI) allows programs written in other languages such as C or Visual Basic to interact with mainframe 3270 terminal sessions. A program written with EHLLAPI can define sessions, connect to host computers, send keystrokes and combinations of keystrokes to the mainframe, and do all the things a human operator can do. HostExplorer also supports EHLLAPI.

B.3. Screen scraping
This is a term commonly used to describe the practice of extracting text data from the screen buffer of a 3270 (or similar) emulator on a workstation, to be used in another application running on that workstation.

B.4. SCOMIS DATA EXCHANGE

The following are the data elements that are currently automatically exchanged between Core ECR and SCOMIS based on matching case numbers:

Sub Number
Filed Date
Docket Code
Docket Description

This data is pushed to SCOMIS during the processing of General Docketing or Workflow as described below. That data is then confirmed or changed in SCOMIS, and scraped back to Core ECR for storage in the appropriate SQL Server tables.

C. GENERAL DOCKETING

Approximately 60% of documents received are currently processed in ‘General Docketing’ rather than being sent on a ‘Workflow’. Functionally, this means that only DJA’s Case Processing staff need to process the document.

For much of General Docketing, the only SCOMIS processing required is to select the sub number and to add document information consisting of filed date, sub number, docket code, and docket description to SCOMIS.

However, there may be much more “docketing”, *i.e*., adding information to SCOMIS, which may occur at this time. Attorneys may be added or withdrawn, hearing calendars may be set, etc.

General Docketing differs from workflow in its execution within Core ECR. Rather than being processed through the Workflow, Workstep and Workitem tables, the entry for the document in a table called BatchDoc (normally used to track un-indexed documents) is simply modified at indexing to indicate that this is a General Docketing item. The advantage is that it is much less intensive to process General Docketing documents than Workitems.

Case Processing staff prefer General Docketing batches because when they open the batch for processing, it makes all the General Docketing work items in that batch available to them, whereas they can only select a limited number of work items at a time to process from a formal Workstep queue.

Staff process general docketing batches as follows:

With both Core ECR and SCOMIS opened on the desktop, the user selects a General Docketing batch. Each document in the batch appears on the screen in Core ECR automatically. When the document appears on the screen, another window running SCOMIS is navigated to the correct case number and the docket entry data for that document is inserted (by ECR, using EHLLAPI) in the proper sequence in SCOMIS. The docket entry made to SCOMIS will automatically include the docket code and the default docket description if the documents in that batch were pre-sorted and indexed with a notation to SQL that they are all the same type of document. Otherwise, only the sub number and date filed are forwarded to SCOMIS. The user navigates to the SCOMIS window and completes the SCOMIS docket entry, then navigates back to the Core ECR window and presses the “Docket” button in Core ECR. SCOMIS again navigates to the correct case number, and this time navigates to the proper sub number (matching that of Core ECR) which was just entered into SCOMIS. Information from SCOMIS about the document (filed date, docket code, docket description) is screen-scraped from SCOMIS back to Core ECR. In this way, SCOMIS remains the database holding the official “source data” (beyond the document itself).

When a General Docketing document has been docketed there are (by definition) no other worksteps for the document, so the In-Process flag is removed and an activity log entry is made for the document.

A general docketing document with the in-Process flag still set to true may not be deleted from the Case Contents screen, but the document may be deleted from the General Docketing queue.

D. WORKFLOW

A scanned document is either assigned to “General Docketing” (see above) or is sent on a workflow at the time it is indexed. Each workflow consists of one or more worksteps. The same workstep may exist in more than one workflow. The Workflows, along with each workstep and the order (sequence number) of the workstep within that workflow, exist in table WorkStepInstance. When a document is sent on a workflow, the Document ID is combined with the data from WorkStepInstance into table WorkItem, which is the table from which users check out documents for processing.

When a document has been processed from a workstep, it is automatically placed on the next sequential workstep in that workflow, until it has appeared in each workstep which is part of the workflow. Processing is accomplished through custom VB programming. A workitem is a specific document assigned to a specific workstep. Users who process workitems are assigned the privilege to work in one or more workstep queues.

A user selects a workstep from a menu. The authorized user has the ability to select documents from all workitems currently in the workstep, only "unassigned" workitems, or only workitems marked for Special Processing. The user selects several workitems (documents in the workstep queue) to work on. The documents are "assigned" to that user at that time. When the user opens the individual workitem for processing, an entry is made in the "Activity Log" for that document stating certain information about the processing. In addition, the user may be required to pick other "Activities" which he/she performed on the document, e.g. "Certified copy to Jail". This happens when the activity cannot be automated because the user is making judgments about how the document is to be processed based on user experience and training, as well as the contents of the document.

It is possible, from Core ECR's Case Contents screen, to delete a document that is still on a workflow, and where the In-Process flag is still set to true, i.e. processing of the document has not been completed.

The user may "return" work items (documents) to a work step in which case they are "unassigned" and another user with access to that particular work step may select the document for processing.

If a user exits Core ECR while work items are still checked out to them, all workitems are automatically "returned" to the appropriate workstep as either "unassigned" or "Special Processing" workitems, dependent upon the status of the workitems when they were checked out.

Users may order the documents in worksteps by date filed, case number, or any other field appearing on the workstep screen in order to facilitate selecting documents within various categories.

E. MARK AS COMPLETE

Each document has several flags that are visible to users on the Case Contents screen in both Core ECR and the Web Viewer for a given case. One of these flags is "P", indicating that the document is "In Process", i.e. that Clerks Office staff have not completed all processing required of the document. As staff complete each step of a document, they "Mark as complete" that document which automatically sends it to the next Workstep in that workflow. When the user marks the document as complete on the last step in the workflow, this removes the In-Process flag and indicates to all users that the document is fully processed.

F. SPECIAL PROCESSING

Staff may notice something about a document that requires the judgment or intervention of a supervisor, or otherwise requires some type of "special" processing beyond that normally required for the document. The user may mark the document as a "Special Processing" document, which is then processed by appropriate staff.

G. PAPER DOCUMENT FILING, PREP, SCANNING, REASSEMBLY AND FILING IN FOLDERS

Paper documents are received by DJA from filers (attorneys, pro se litigants acting as their own attorney, Judges, other interested parties).

Documents are physically File Stamped with the Official Clerks File Stamp, including date and time filed.

Documents are pre-sorted into batches according to differing requirements. Special patch code sheets are placed between each document for auto recognition by scanning software

Paper Documents are prepped for scanning, e.g. staples removed, light images enhanced by photocopying, tears in paper repaired, etc.

Paper Documents are scanned in batches of up to 300 pages per batch.

At the time that documents are scanned, the scanning software (FileNet Panagon Capture) assigns a unique, sequential image ID number to each page scanned. The images are further broken down into folders, batches and documents and stored in temporary storage in Capture until they can be indexed to individual case and sub numbers and sent to predefined Workflows for further processing. The break between individual documents is recognized by scanning software when a Patch code sheet is reached.

Paper Documents are reassembled and set aside at the time of indexing (see below).

When daily backups of the imaged documents, FileNet databases, SQL Server databases, etc. have been successfully completed and confirmed, the paper documents are released, currently for filing into physical file folders. In the near future, DJA intends to stop filing the paper documents into the physical file folders and rely *entirely* on ECR to provide access to these documents.

G.1. BULKY SUBS

When scanning large documents, the scan operators are instructed to break up the document into sequential documents of approximately 300 pages each while scanning. Each segment of the document will be identified as the Beginning, Continuation or End of a Bulky Sub. The segments of the document are stored as separate documents within the FileNet Image Management System, and are put back together for viewing as a virtual single document through SQL Server tables for viewing and document processing purposes. The reason for breaking large subs into Bulky Sub segments is to enhance performance in the Image Management system. In the Viewer, the segments of a bulky sub are distinguished by being labeled as “Part 1”, “Part 2”, etc. It should not be necessary to break up e-filed documents, *i.e.*, word processed or PDF documents, into bulky subs.

G.2. INDEXING

When documents have been scanned, they exist in FileNET’s Panagon Capture until indexed and committed to FileNet. Indexing is the process of associating the document with a case number and a sub number and committing the document to the Image Management System. The indexer selects a “batch” of hard copy documents, then selects the same batch (by batch number) of documents to Index from the menu, and the documents pop up in Core ECR one at a time. The user does a Quality Control check, insuring that the document is complete and readable. If not complete and readable, the document is deleted from the indexing batch and the hard copy is sent back for rescanning. The user enters the case number of the document and, based on the date the document was Filed with the Clerk, the system automatically determines the appropriate Sub Number for the document. If the case does not yet exist, the document is assigned sub number 1. The Clerk either accepts the system-suggested sub number or chooses a different one. The combination of Case Number and Sub Number is a unique key in the SQL Server database. Multiple staff may index on different PCs at the same time.

The indexer sends the document to either the General Docketing queue, or to a workflow, for processing by Clerks Office staff. If it is the first document in a case, it is sent on a New Cases workflow so that the case can be “set up” in SCOMIS and in ECR.

When the index entry has been made, the case and sub number are immediately associated with the document in the ECR database and the document (one or more images) is sent to Optical Storage on the OSAR (optical jukebox). That document will appear (without a docket description) when another user brings up the Case Contents screen for that case, so that the document is available for viewing by staff and others.

The Indexer has the option of temporarily marking a document “Indexer Sealed.” This normally happens if the filing party has written “SEALED” on the face of the document. “Indexer Sealed” will be changed to the appropriate Sealed code by docket staff or other processors.

If documents which all have the same filed date and docket code are batched together, the docket code can be entered once for the entire batch and is kept as information about the batch in SQL tables. When the document is docketed to SCOMIS, the docket code, as well as the filed date and sub number, are sent to SCOMIS automatically by ECR.

H. SEALED FILES AND SEALED DOCUMENTS

Specified file types may be public or sealed, dependent upon statute (e.g. Adoption files are Sealed, Civil files are public). In addition, a Judge may order that a public file be sealed in its entirety, or that certain documents in a public file be Sealed, open to inspection only by authorized parties. A Sealed case may contain public documents, e.g. Judgments in a Paternity case.

There are different types and levels of Sealed cases and documents, which are controlled through various codes in SQL tables. For instance, one group of users may have access to Mental Illness records while another group has access to Adoption records.

Users have one or more profiles. Profiles have various privileges. When a user logs in to Core ECR, a security mask for that user is created in memory which controls what files, what documents, and which other privileges that user has. All security and privileges to access Sealed files and documents are controlled by use of SQL tables. There is currently no functionality limiting or allowing an *individual’s* access to *specific* files or documents.

Certain types of cases are automatically sealed at the time of their creation in Core ECR. Any case and any document may be sealed, unsealed, or have special sealing applied by staff upon Order of the Court.

H.1. SEALED STAMPING

If a document in a public case is ordered to be Sealed, that document is first checked out from the FileNet library. Then the bitmap of the first page is modified to add the word SEALED at a location selected by the User. Finally the document is put back into the FileNet library with a new FileNet document identification number. These steps are accomplished by a special VB program running on its own PC, which is licensed to Import and Export from Filenet. That program checks the main SQL tables every 50 seconds to determine if there is work to do, and if there is work, the program proceeds to create the modified document. The VB program for SEALED Stamping is the same program used for Clerks Papers (see below).

If a document which had been previously Sealed is ordered to be Unsealed, the bitmap of the document is modified, removing the word SEALED which was added to the document above. Again, an entirely new document is created.

Activity Log entries are automatically generated for a document whenever the word SEALED is added or removed from the document using this process.

I. CLERK'S PAPERS

When a case is appealed from Superior Court to the Washington State Court of Appeals or Supreme Court, the appealing party designates which documents the Clerk must copy and send to the higher court. The appealing party identifies those documents by their description and sub number in SCOMIS and provides the Clerk with a list of the documents.

The Clerk creates a package consisting of a copy of each document designated, sorted by sub number and with each page of the package numbered sequentially at the bottom of the page. The Clerk also prepares an Index to these "Clerks Papers", sorted alphabetically and indicating the page numbers in the package associated with that document.

Core ECR facilitates this process within the current image-only system as follows:

The Clerk goes to the Case Contents screen of the appropriate case in Core ECR and highlights all the selected documents. Core ECR builds an "Index to Clerks Papers" by counting the pages of each document in the set, determining the from/to page numbers of each document, and preparing an alphabetical list of the documents with all required information.

Core ECR then copies every page (image) of each selected document and adds a sequential page number to the bottom of each image (bitmap image change) to create a brand new document in the case consisting of all the pages of all the selected documents, in the proper order, and sequentially numbered. It then automatically sends the new document to the proper Workflow for processing.

Future functionality may include the automated forwarding of data and/or documents to the Court of Appeals.

No documents that are part of a Clerks Papers Set may be deleted by the user.

J. CASE CONTENTS

Based on case number, this screen shows a list of all documents currently assigned to that case in Core ECR, together with docket code and docket description if the document has already been docketed to SCOMIS, as well as various flags (Sealed, In Process, etc.).

The user may opt to see a listing of All documents in the case, or only those documents in one or more groups which are selected from a dropdown list. Those groups are based on the Docket Code associated with each individual document. For instance, the user may opt to only see "Orders" in which case only those documents whose individual docket codes fall under the more general docketing category of Orders will be visible on the Case Contents screen.

From this screen, users with appropriate privileges may update the Case title, Case Assignment area, cause code, etc.; or the security flag of the case. They may also print a copy of the case contents screen; print the entire case (all documents); and print selected documents. Further, they may change the security of

individual documents; delete documents; docket documents; prepare Clerks Papers on Appeal; view the Activity Log entries for individual documents; etc.

K. CASE UPDATE

Users with appropriate privileges may press the CASE UPDATE button, which allows them to edit the following data elements about the entire case:

Locked case flag (can't add any more documents);
Archived case flag;
Title of case;
Cause Code of case(fine-tuned case type identifier, e.g. Medical Malpractice is a subset of "Civil")

L. CASE SECURITY

Users with appropriate security may press the CASE SECURITY button in order to change the security flag associated with the entire case.

M. PRINT CASE CONTENTS

This button allows the user to print a copy of the case contents screen

N. PRINT CASE

This button allows the user to print a copy of all the case documents in its entirety

O. DISPLAY DOCUMENT(S)

This button allows the user to view one or more actual document(s) which user has highlighted.

P. UPDATE DOCUMENT

Users with appropriate security may press this button, which allows them to:

Change the Case Number,
Change the Sub Number, Change the Filed date,
Change the SCOMIS Docket Code,
Change the SCOMIS Docket Description of the document; or

Delete the document. Note that the document can not be deleted if it is currently in a General Docketing batch or if it has been selected as one of the documents in a Clerks Papers set.

Q. DOCUMENT SECURITY

Users with appropriate privileges may press the DOCUMENT SECURITY button in order to apply the appropriate Document Security code from a table-driven dropdown list to the document. If the document security is changed to "Order Sealing Document", the user can apply the Sealed Stamp to the document in one of several pre-defined locations (changes the bitmap of the document). If the document has had the SEALED stamp added to it, and document security is changed to "NOT SEALED", the user can remove the Sealed Stamp from the document. The fact that the sealed stamp has already been placed on the document

and the location of the stamp are stored in SQL tables. Removal of the Sealed stamp is, once again, a change to the bitmap of the document itself. See Section 5 H for explanation of the SEALED STAMP process.

R. DOCKET

Pressing the Docket button causes the SCOMIS session running in HostExplorer TN3270, by using EHLLAPI, to navigate to the appropriate case and sub number in SCOMIS and to scrape the relevant information for the matching sub number from SCOMIS back to Core ECR SQL tables. SCOMIS is the “official” record for the case. This is one of the steps the user takes when processing General Docketing or Workitems.

S. MULTI DOCKET

If multiple documents are highlighted and the Multi Docket button is pushed, it is the equivalent of pressing the Docket button for each of the documents selected, i.e. Core ECR SQL tables are updated by screen scraping SCOMIS information for each selected document. This functionality is used to re-synchronize the documents in a case if the documents have been previously entered in both SCOMIS and Core ECR, but the sub numbers in SCOMIS and Core ECR have gotten out of sync.

T. ACTIVITY LOG

Pressing the Activity Log button allows the user to view/add/delete/modify activity log entries for the selected document. Activity log codes are table-driven. In certain circumstances, while processing, the User is automatically put into the Activity Log screen for the document being processed. Activity log entries also may be made automatically, or the dropdown list may default to the last activity selected in the previous document processed.

U. CASE NUMBER FORMAT VERIFICATION

There are several acceptable ways for users to type in a case number, but the Core ECR database has a single format for actually storing the case number and the information which is imbedded in the case number (County/Court, Year filed, Case type, Serial Number and Check Digit). Case numbers are verified for one of the proper formats before processing from any user screen. If the case number entered by the user is invalid, the user is notified with an “Invalid Case Number” message. If the case number entered by the user is found to be in one of the allowed formats, Core ECR converts it to the “standard” format. In this fashion, only the “standard” formats are allowed to be entered into the database by the Core ECR system, and calls to the database for case numbers with invalid formats are not allowed.

Cases filed before July 1, 1979 (when SCOMIS went on line) are formatted in one manner, while SCOMIS cases are formatted differently.

SCOMIS case numbers, filed on or after July 1, 1979, consist of several pieces of information (County/Court, Year filed, General case type, Serial Number, and a Check Digit computed using the other data contained in the case number). Users have a variety of choices in how to enter the SCOMIS case number. The VB module that validates the case number has been written to recognize various ways in which users may enter the same case number.

Example:
2000-01-12345-5
00-01-12345-5

2000-1-12345-5
00-1-12345-5
00 1 12345 5
001123455
are all valid case numbers for users to enter. They all refer to the same case. In each instance, the number entered by the user is validated, then reformatted internally by Core ECR into “standard” format, to assure consistency in storage of both the unique case number and each of its components in the databases. The standard format for this case number would be 00-1-12345-5.

V. ADMINISTRATION TOOLS

Users with appropriate privileges may have access to one or more of the administrative selections that follow:

W. TABLE MAINTENANCE

Allows user to maintain data in the following tables:
SCOMIS Codes
SCOMIS Groups
Workflows
Worksteps
Roles
Cause Codes
Document Activities
Statute Sealed Privileges
Order Sealed Privileges
Transaction Privileges
Maintain Batches
- Unlock
- Delete
- Sort

Update Reference Codes

X. ASSIGN ROLE PRIVILEGES

Allows user to maintain specific privileges assigned to user roles.

Y. USER MAINTENANCE

Allows user to maintain Core ECR users with the following functions:
Add
Clone
Change
Delete
Assign Workstep
Note: Core ECR uses NT Authentication when logging in to Core ECR.

Z. WEB USER MAINTENANCE

Allows user to maintain Web ECR users with the following functions:
Add or remove user from Web ECR privileges.

Set status to Inactive, Active or Locked out
Reset Password
Note: Web Users with access to Sealed files and/or documents must first be entered as Core ECR users. Registration and login as a Web user is not required to view non-Sealed files and documents. Privileges for viewing various types of sealed cases or documents are controlled by the Roles assigned to the Web User in their Core ECR user profile.

AA. ASSIGN CODES TO GROUPS

Allows user to assign specific docket codes to docket groups. When viewing case contents or documents, Core ECR users and Web users have the ability to view only documents in the group(s) they are interested in, e.g. Orders, Appeal, etc.

AB. WORKFLOW DEFINITIONS

Allows user to define new worksteps and workflows and modify existing worksteps and workflows. Workflows are defined as a series of Worksteps.

Appendix C: DJA Proposed Testing Environment

Scanners
A Production Fujitsu 3097 scanner can be brought to bear as needed.

OSAR (Optical Disk Library) - None

Servers: The following two servers will be made functional to provide a test environment. The test environment can be "blown away" at any time and reconstituted for further testing. The test environment is used to test upgrades to software platforms such as FileNet and SQL Server, as well as to provide a platform for testing custom written vendor supplied code.

To mimic Server ECRFN

- Cascade 600 MHz Pentium III single processor, 512 MB RAM, 2-30GB EIDE hard drives, Raid-0
- FileNet IDMIS 3.4.2, SP2
- NT Server Enterprise 4.0, SP 6a
- MS SQL Server 6.5, SP 5a with hotfix
- PCAnywhere for remote access to server

To mimic Server ECRWEB

- Cascade 600 :MHz Pentium III single processor, 512 MB RAM, 2-10 GB EIDE hard drives, Raid-0
- NT Server Enterprise 4.0, SP 5
- PCAnywhere
- IIS
- Daeja ViewONE
- MSDTC
- MTS
- Custom Core ECR MTS Packages written in VB6

Appendix D: Indicators to be Considered by DJA in Proposal Evaluation

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

Proposer Experience and Capability

a. Experience with the development, implementation and maintenance of systems similar to that currently operated by DJA, Core ECR and FileNet.
b. The longevity of the prime proposer (also referred to as the prime contractor) in business. A proposer that has remained in business and has been successful in that business over the years is more likely to be able to support DJA, Electronic Filing and Core ECR in the longer term.
c. Similarly, the longevity of critical subcontractors. This includes all proposers with unique experience or products which could not be straightforwardly replaced if necessary.
d. The longer term profitability of the prime contractor and subcontractors. In addition, multi-year trends in profitability will be considered.
e. The ability of the prime contractor and key subcontractors to withstand unprofitable years as evidenced by financial statements and balance sheets. As above, multi-year trends in equity positions will be considered.
f. The existence of any other base of financial resources capable of supporting the prime contractor or key subcontractors.
g. Any "strategic alliances" with other companies which might indicate their confidence in the prime contractor or subcontractor(s).
h. The size of the installed base for some or all of the proposed products, if applicable. Trends (i.e., increases or decreases) in the installed base will also be considered.
i. The size and experience of the product development and support staff.
j. The amount invested in product research and development.
k. The number and distribution of sales and support offices.
l. If proposed by a prime contractor and subcontractor(s), a successful track history where some or all of the members of this consortium have successfully worked together.

Technology Risk Minimization

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

a. Proposing "mainstream" products supported by one or more of the major manufacturers or developers.
b. Demonstrating that the providers of the critical technologies are investing in product development in ways consistent with technology trends.
c. Demonstrating that the market share of the proposed products is dominant and stable, or growing.
d. Identifying several sites and a contact at each site where some or all of the proposed technology was installed by the prime contractor and/or the subcontractors and is currently in operation.

e. Reference checks with these contacts provide positive information about the installed technology and the contractor(s).

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

g. Proposing technology which is consistent with applicable State Electronic Filing Standards and Court Filing and Court Document XML Standards. See Appendices D, E and H.

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

i. Demonstrating the technical competence of the overall systems integrator and other key personnel for each system module.

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

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

Functionality

The RFP includes a complete description of DJA's functional requirements for the E-Filing Project. Proposals are required to respond to each requirement. Evaluators will review the response to each requirement as well as any other information within the proposal which is relevant. Evaluators will assess functionality based on evidence drawn from the written response, other information in the response, information received from references and any other sources of reliable information.

Implementation Capability

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

a. A comprehensive work plan and project schedule are presented in the proposal which clearly define major deliverables and their due dates. Each major deliverable must be tied to a specific Project phase.

b. The proposal generally and the work plan in particular is directed at provision of a turnkey implementation. In particular, the various deliverables, when taken in total, provide the entire system required by this RFP.

c. The work plan proposes major milestones where DJA will assess progress and accept specified deliverables or make other key decisions. One of the first major milestones shall be the delivery and full implementation of Phase One functionality. Final Project milestones will be agreed upon by the successful proposer and DJA during contract negotiations.

d. The proposed payment schedule is tied to the completion of Project phases and/or the proposed major milestones. The final payment schedule will be agreed upon by the successful proposer and DJA during contract negotiations.

e. The work plan includes a description of the contract administration processes and the roles of the proposer and DJA in resolving issues and disputes. This last point shall not contradict or supplant any contractual rights or remedies.

f. The tasks in the work plan are logical and appear "doable" within the proposed schedule.

g. The work plan identifies the involvement required of DJA or other County staff on the Project and when this may be required as per the proposed Project schedule.

h. The proposed Project schedule allows sufficient time to permit adjustments for unplanned events or delays.

i. The proposal includes references from other customers using similar technology.

j. Reference checks confirm the proposer's statements regarding the technology.

k. The proposal includes references for other customers who have made use of the development, implementation and project management services of the proposer and subcontractors responsible for the custom development aspects of the proposal.

l. Reference checks confirm these claims.

m. The proposal identifies how the proposed technology integrates with DJA's existing custom software, third party products, and hardware.

n. The proposal clearly defines the roles of the various companies participating in the consortium as prime contractor or subcontractor(s).

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

p. The proposal identifies certain key individuals on the project team, including:

- The proposer's project manager
- The technical lead, i.e., the person responsible for the technical integration of all hardware and software products
- The systems analyst, i.e., the person responsible for needed business and technical analyses.

q. The proposal contains resumes for the identified individuals and the experience quoted confirms the claims of the proposer.

r. The project manager will be assigned on a full time basis to the Project until completion.

s. The project manager will remain assigned to the Project throughout any warranty period.

t. The project manager will be based in or very near Seattle for the duration of the Project.

u. The proposer has an internal quality assurance program which reviews performance throughout the course of the Project.

v. The work plan demonstrates that major equipment or software license acquisitions are deferred until after DJA has had an opportunity to test and accept the system or specific system module, if possible.

w. The work plan clearly identifies a logical sequence of tasks and deliverables for the development and integration of segments of the system which are custom developed. An example would be the integration with the Core ECR General Docketing module.

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

<u>Costs</u>

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

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

c. Does the proposal utilize existing DJA hardware to the extent possible?
d. Does the proposal include a reasonable amount for services related to implementation?
e. Is the Project work plan consistent with the services estimate?
f. Is the apparent per diem or hourly rate for services reasonable?
g. Has the proposer included a reasonable contingency allowance for the services component of the proposal? Please note that a realistic proposal will include such an allowance. This may be explicit or it may be incorporated into rates charged.
h. Is there a cap on services?
i. What assurances are there that additional hardware or other "extras" will not be charged in order that the system has the required functionality, performance, and reliability?
j. Is the cost proposal submitted fully in accordance with the structure and categories provided in the RFP, to ensure comparability of bids.

Proposer Presentations/Interviews

Presentations and interviews are not expected from all proposers, but may be required of the highest rated proposers. Ratings will be determined by the award of points based on DJA's review of written proposals. DJA will contact proposers from whom presentations and/or interviews are desired. Point awards based on presentations and/or interviews will be added to other points in determining the final ranking of proposers. Demonstrations or interviews are to elicit detailed information that would include:

a. Overview of proposer's company, business experience, areas of expertise.
b. Product descriptions and demonstrations
- General overview.
- Module or third party software including Web site, EFMS, EFM, XML and FileNet applications or tools.
- Systems administration and security.
- Hardware and software alternatives, including utilization of existing DJA hardware.
- Implementation and support services.

c. Products and services which might meet DJA's Project phases:
- Review technology strategy and architecture approaches.
- Review implementation options and approaches for each Project phase and for full Project completion.
- Identify business constraints and options.

Appendix E: Court Filing Proposed XML Standard, Version 1.0

The Proposed Standard is located at the following URL:

http://www.legalxml.org/DocumentRepository/ProposedStandards/Clear/PS_10001/PS_10001_2000_07_24.htm

Appendix F: Court Document XML Standard

This standard is in development by the Legal XML, Inc., Court Filing Standards Work Group. When a draft becomes available, it will be forwarded to proposers.

Appendix G: King County Web Publishing Accessibility Requirements

ADA requirements

King County Web Publishing

Just as King County must ensure equal access to its buildings and buses, web authors must ensure equal access to County web content. The good news: It's actually easier than you think! Below are requirements King County web authors must follow in creating and maintaining Internet and intranet content in compliance with the Americans with Disabilities Act.

Image tags: All image tags -- even bullets! -- must include alternate text. Otherwise, a disabled user may simply read the word "IMAGE" and not know what it depicts. The code is rather simple; just put your description inside of the quote marks, as per below:

<img src="image.jpg" border="0" alt="Description goes here">

If the image links to something, you must make sure the description includes link info as well, as follows:

<img src="image.jpg" border="0" alt="This image of X links to a page about Y.">

Image maps: Include menu alternatives for image maps to ensure that the embedded links are accessible. An image map is a picture on which parts of the picture can be clicked to find a link to another page. If the web page developer has not included an alternative menu, visitors using text-based browsers can be totally blocked from the site, or sent on a wild goose chase clicking unlabelled links that lead them in circles. An example of an ADA-compliant image map: the nav bar at the top of this page, which references an identical set of text menu items at the bottom of the page.

White backgrounds: All pages must have white backgrounds, to provide contrast for users with low vision or colorblindness.

Text transcriptions: If you use an audio, video, or graphical file that includes text (including Adobe Acrobat/Reader files), you must also offer a textual transcription of the content, either in HTML or in a simple text format. That way, disabled users will have access to the editorial content. HTML is preferred, but if that's too laborious, use at least two of these: Microsoft Word (if the file's under 50K), ASCII text (for graphics-free documents), and RTF (rich-text format, which takes up less memory than a Word file).

Text and RTF files are viewable in a significant cross-section of word-processing programs, including Word Perfect and Microsoft Word for Macintosh. If you use Microsoft Word and want to create a text or RTF file, simply save the document as a text-only or rich-text format file (file --> save as --> then click the drop-down in "save as type:"). Your link to the document will look like this: file.rtf, or file.txt.

PDF Files: If you're using Portable Document Format files, you should either a) have a text equivalent (as per above), or have a plan to create a text equivalent. There are obvious instances in which this is not possible -- with maps, for example, which cannot be conveyed in linear text.

Phone, e-mail connection: If you simply cannot provide your content in an accessible format, make sure to list a voice phone number, a TTY phone number, and an e-mail address where a user's request for such information can be quickly answered.

Testing: All pages and applications must be tested in Lynx, a text-only browser that simulates the experience of using a variety of browsers for disabled users . A copy of Lynx is available at ftp://kcweb.metrokc.gov/lynx/lynx_w32.zip (check with your LAN admin first). To decompress this file, you'll need WinZip -- purchase one from http://www.winzip.com, or use a beta version at your own risk, here: ftp://nike.metrokc.gov/winzip95.exe. Learn how to use Lynx before last-minute testing.

No frames: Frames don't work in Lynx. Thus, they'll likely make a web interface unintelligible to anyone, including those with disabilities, using a text-only browser.

ADA-correct use of tables and cells: If you're going to use a table, make sure that the content will flow correctly in a text-only browser. Often, a table renders seemingly linear headlines and sentences into mish-mash. For example, if you created a one-table page containing with two headlines and two stories, a text browser would read the content thus: headline 1 in the upper-left cell, headline 2 in the upper-right cell, story 1 in the lower-left cell, and story 2 in the lower-right cell. Instead, you should create a page using two side-by-side tables within one larger table. Each of the smaller tables should be divided horizontally into two cells. The new page would read: headline 1 in the upper-left cell, story 1 in the lower-left cell, headline 2 in the upper-right cell, and story 2 in the lower-right cell.

Not making sense? Here are two examples, one bad, the other good. Check the code, or look at it in Lynx, to see the difference. Here goes:

[See next page for illustrations and codes.]

The wrong way (see the code):

Headline 1	Headline 2
Story 1	Story 2

Incorrect code:

```
<table border="0" cellpadding="0" cellspacing="0" width="539">
    <tr> <td width="250" align="center" bgcolor="#C0C0C0"><b><font face="Arial">Headline
1</font></b></td>
    <td width="39"></td>
    <td width="250" align="center" bgcolor="#C0C0C0"><b><font face="Arial">Headline
2</font></b></td></tr>
    <tr>     <td width="250" align="center"><font face="Arial">Story 1</font></td>
    <td width="39"></td>
    <td width="250" align="center"><font face="Arial">Story 2</font></td>
    </tr></table>
```

The right way (read the code):

Headline 1	Headline 2
Story 1	Story 2

Correct code:

```
    <table border="0" cellpadding="0" cellspacing="0" width="539">
     <tr> <td width="250">
    <table border="0" cellpadding="0" cellspacing="0" width="250">
     <tr> <td bgcolor="#C0C0C0"><p align="center"><b><font face="Arial">Headline
    1</font></b></td></tr>
     <tr> <td><p align="center"><font face="Arial">Story 1</font>
    </td> </tr> </table>
        </td>
            <td width="39"></td>
        <td width="250"><table border="0" cellpadding="0" cellspacing="0" width="250">
    <table border="0" cellpadding="0" cellspacing="0" width="250">
     <tr> <td bgcolor="#C0C0C0"><p align="center"><b><font face="Arial">Headline 2</font></b></td>
    </tr>
     <tr> <td><p align="center"><font face="Arial">Story 2</font>
     </td> </tr> </table>
        </td>    </tr> </table>
```

More resources. The following are a few online resources to help ensure the web site you are designing and/or maintaining will be as accessible as possible.

- **Accessibility and the World Wide Web** (http://wata.org/resource/internet/design-for-web.htm), located at Washington Assistive Technology Alliance (WATA) web site. This site is managed by WATA and provides a broad range of links to resources you may use to help ensure your site is as accessible as possible to all users, including those with disabilities.

- **Bobby** (http://www.cast.org/bobby/), no-cost, on-line evaluation tool to see if your site is accessible. Just go to the site, type in the address of any web page, and wait for an online report.

- **Web Content Accessibility Guidelines** (http://www.w3.org/TR/WAI-WEBCONTENT/), version 1.0 created as part of the W3C Web Accessibility Initiative (http://www.w3.org/WAI/).

- **Lynx Evaluation Tool** (http://ugweb.cs.ualberta.ca/%7Egerald/lynx-me.cgi), no-cost, on-line evaluation tool to see what your site looks like via Lynx, a text-based browser which is often used to emulate other text-based browsers. (NOTE: This link is not currently part of the intranet page, but is added here as a useful resource.)

Appendix H: King County – Other Standards

Standards are currently under development by the King County Department of Information and Administrative Services, Information and Telecommunications Services Division (ITS). When these becomes available, they will be forwarded to proposers.

Appendix I: State of Washington Proposed Electronic Filing Standards

Annotated Washington Electronic Filing Technical Standards (DRAFT)

Version 0.4
April 24, 2001

1. Transmission Envelope.

What is It? The transmission envelope provides the format and content of information that must accompany a document that is being submitted to a court with a filing or subsequent case action, so that a court can associate it with case information in its case management and document management systems.

Recommendation. Courts will accept transmissions structured in compliance with Legal XML Court Filing Version 1 specifications.

Implementation. Supreme Court rule and JISC standard. Compliance is required immediately.

Commentary. Version 1 applies only to the transmission envelope. This standard excludes custom court policies, which are dealt with in Standard #9.

2. Document Formats.

What is It? Everyone is familiar with different kinds of file formats, such as the ones used by Microsoft Word or WordPerfect. Those are word processing file formats. In addition, there are image file formats, such as TIFF, GIF and JPEG. Finally, there are Internet file "formats" (technically, they are World Wide Web protocols) like HTML and XML.

Recommendation. Acceptable formats include PDF, TIFF and XML.

Implementation. Supreme Court rule and JISC standard. Compliance is required immediately.

Commentary. XML submissions must be compliant with Legal XML Court Document Version 1, which applies only to the documents previously submitted as blobs. The standard will specify if a DTD or schema is used. Once Version 1 is published, the XML format is recommended but not required. This is primarily because it is an unfunded mandate. Note that the required file formats are for documents coming from the EFSP to the EFM. The EFSP is free to accept documents in any format it wishes, including popular word processing formats.

3. Electronic Signatures and Encryption.

What is It? There is much confusion surrounding electronic signatures and digital signatures. I can provide a quick tutorial if the work group wants it. An entire background paper could be written on the subject. The bottom line for most courts is that digital signatures seem to be overkill (a higher bar than the current hard copy process) for most document submissions to the court. Most states and the federal courts are settling for ID's and passwords for user authentication.

Recommendation. The courts will rely upon the EFSP component to authenticate the identity of each customer. The EFM component will not accept encrypted documents in final form from the EFSP or use digital signatures to authenticate a filer's identity.

Implementation. Supreme Court rule. Compliance is required immediately.

Commentary. Note that the prohibition on digital signatures is only for incoming documents from the EFSP to the EFM. The EFSP is free to require a digital signature from its customers. The court is free to use digital signatures on judicial orders or copies of documents sent to customers.

4. Case Management System API.

What is It? This is the technical standard that tells the EFM middleware (read the section on the Conceptual Model if this phrase doesn't mean anything to you) how to talk to the backend case management system (CMS) and document management system (DMS). It should be a standard that is used by all courts, no matter what software they are using for their EFM, CMS, or DMS. It basically describes what data will be exchanged and how it will be exchanged.

Recommendation. To file cases electronically, a court will have to comply with this standard Application Processing Interface (API). The OAC will write the technical specification and certify that candidate EFMs and CMS's comply (see #11 below).

Implementation. BJA policy and OAC specification. Compliance is required one year after OAC publishes the standard.

Commentary. Although OAC does not maintain a document management system for the trial courts, the court system benefits from OAC establishing a standard for the interface between the EFM and the DMS. Note that OXCI is an attempt to provide this standard API for free to all courts. This standard excludes custom court policies, which are dealt with in standard #9.

The architecture of the EFM is unclear to the group. Does the case management API consist of the Court Policy, Court Query/Response and CMS Data Configuration standards? Is this the same as the EFM API?

5. Interaction with Court Databases.

What is It? Case participants and the public want more than the ability to file cases and documents online. They also want to query the court for information about cases. In the short-run, the JIS Committee will meet this need with a combination of services, ranging from JIS-Link (soon on the web) to online calendar querying to an online enterprise data warehouse. When the Legal XML standard matures in this area, we will probably want to move this functionality to the electronic filing applications for case participants only.

Recommendation. EFSP (read the Conceptual Model section), EFM and CMS vendors must comply with the Legal XML Query/Response standard when it is written. In the interim, OAC may coordinate and evaluate solutions implemented in pilot projects. The OAC will certify that candidate applications comply (see #11 below).

Implementation. Supreme Court rule, BJA policy, and OAC specification. Compliance is required one year after the Legal XML Query/Response standard is published.

Commentary. The OAC should not establish an interim standard, since that would largely duplicate the work of the Legal XML organization and produce a suboptimal solution. This standard applies only to query/response functionality.

6. Court-Initiated Transactions.

What is It? Courts need to communicate back to case participants with notices, signed judicial orders, etc. They need some way of doing this that is more robust than email messages for reasons well stated in the California standards document.

Recommendation. The EFM-to-CMS API will include methods for a CMS to present a message and/or documents to an EFM. EFM and CMS vendors must comply with the Legal XML Query/Response standard when it is written. In the interim, the OAC may coordinate and evaluate solutions implemented in pilot projects. The OAC will certify that candidate applications comply with the Legal XML standard, once it is established (see #11 below). Acceptable document file formats include TIFF, PDF and XML.

Implementation. BJA policy and OAC specification. Compliance is required one year after the Legal XML Query/Response standard is published.

Commentary. The OAC should not establish an interim standard, since that would largely duplicate the work of the Legal XML organization and produce a suboptimal solution. The file formats should be symmetrical to those permitted for filing documents. Alternatively, the standard might exclude TIFF and require only PDF or XML.

7. Payment Mechanisms.

What is It? If a commercial EFSP is used by a case participant, the easiest approach is for the court to let the vendor directly control the payment mechanism with the case participant. Then, the court need concern itself only with payments by the EFSP, who is in effect a financial intermediary. If a court acts as its own EFSP, then it must establish the direct payment methods.

Recommendation. Each commercial EFSP will guarantee payment as appropriate to the court and make such payments using Electronic Funds Transfer (EFT). Commercial EFSPs will also provide reconciliation reports for all transactions in an electronic format. Commercial EFSPs must support credit card payments and EFT payments. The OAC will write the technical specification for the reconciliation reports.

Implementation. Supreme Court rule, OAC specification. Compliance with all aspects of the standard is required to accept payments electronically.

Commentary. For pilot projects, courts may suggest an initial version of the reconciliation report that meets minimal auditing and case management requirements. We probably want to go further and directly specify an API for transactions with JRS and JASS? Since that functionality is only partly covered by the Court Filing standard, some additional functionality must be specified in the Court Policy standard? Exclusion of debit cards as a means of payment may be a problem for public acceptance.

8. Communication Protocols.

What is It? Since confidential information is often submitted as part of a court filing or document submission, it is important that transmissions between an EFSP and an EFM be secure.

Recommendation. EFSP-to-EFM transactions shall be performed using https and SSL. The broad requirement for security should be included in a Supreme Court rule on electronic filing. The OAC should establish and update the technical specification as Internet standards evolve.

Implementation. Supreme Court rule and JISC standard. Compliance is mandatory for any electronic filing.

Commentary. Major browsers and servers already support https and SSL. Some additional expense is required to maintain an https server. Several issues related to security should be considered in the context of Compliance and Certification (#11). In particular, contracts with commercial EFSPs should specify confidentiality and privacy constraints on data access. Such contracts should also include clauses preventing collection and reuse of user data for unrelated commercial purposes. Finally, questions were voiced about how filers would choose among multiple vendors. Although the explicit California standard registering certified vendors with the OAC has been excluded, the group felt that the state court Web site would need to provide links for all certified commercial vendors and courts acting as their own EFSPs.

9. Policy Management.

What is It? This is a method for specifying court-unique requirements for the EFSP component, whether provided by a commercial vendor or by the court itself. Legal XML is working on a national specification for these optional "policies."

Recommendation. Courts will express their policies using the Legal XML Court Policy XML specification. OAC will establish the specification for JIS functionality beyond the basic Legal XML standard.

Implementation. BJA policy and JISC standard and OAC specification. Compliance is required one year after the Legal XML Court Policy standard is published.

Commentary. There are two concerns here. The first is timing. No target date for completing this standard has been officially set and no initial draft has been published for comment. Second, the scope of the standard appears to be in flux as complementary decisions are made about the EFM-CMS API and the related CMS Data Configuration standard, which also has no date established for a first draft.

10. EFM Deployment.

What is It? The number of EFMs for each CMS should be limited. The logic of these collective standards points toward a single EFM per CMS. Symmetry requires that the EFM also comply with standards for the Transmission Envelope and the Communication Protocol.

Recommendation. Courts will implement a single EFM application interfaced to each CMS enabled for electronic filing. The EFM software will be compliant with specifications for Transmission Envelope and Communication Protocols.

Implementation. Supreme Court rule and JISC standard. Compliance is required immediately.

Commentary. Although the California standards do not say so, it seems like the EFM must also comply with the Query/Response, Court Policy and CMS Data Configuration standards.

11. Compliance and Certification.

What is It? In order to ensure that EFSP, EFM and CMS applications actually interoperate correctly, such applications should be tested to verify compliance with the various Legal XML specifications. To the extent that Washington includes specific requirements beyond the generic Legal XML specification, an additional certification process will be needed.

Recommendation. Until the Legal XML certification process is operational, OAC will coordinate and evaluate interim specifications for pilot projects. Once established, the Legal XML certification process shall be used. An OAC certification process shall still be used for state-specific functionality, if any, beyond the Legal XML specification.

Implementation. Supreme Court rule, JISC standard, OAC certification. Compliance is required one year after the Legal XML Court Policy standard is published.
If a state-specific standard is also required, compliance is required one year after OAC publishes the specification.

Commentary. Vendors will want to reduce or eliminate state-specific functionality. OAC will want to minimize its role as a certification body.

12. Electronic Service and Notice.

What is It? Performing electronic noticing and service are logical extensions of electronic filing. Ideally, these actions would flow through the standard e-filing architecture, based on the Legal XML Query/Response standard. A court rule enables courts to experiment with email in the interim.

Recommendation. Courts can send notice and summons to parties electronically, but no mandatory standard will be enforced until Legal XML establishes a national standard.

Implementation. Supreme Court rule. Compliance is optional for email notice and service. Compliance will become mandatory, rather than optional, one year after the relevant parts of the Legal XML Query/Response standard are published.

Commentary. Although this is not required in the California standard, there are significant business benefits for the courts filers if a mandatory standard can be based on part of the Legal XML Query/Response standard.

RELATED BUSINESS ISSUES

1. **Court Document Business Model**

   Should county clerks or courts charge for the initial submission of court documents?

   Should county clerks or courts charge for online views of court documents if they are not a party to the case?

   Should county clerks or courts charge for electronic copies of court documents that are "certified?"

2. **Court Document Repository Control**

   Should county clerks or courts allow vendors to maintain their court document repositories?

   Should such repositories be allowed to reside external to the county clerk's or the court's physical location?

3. **Electronic Filing Business Model**

   Should EFSPs be allowed to charge a transaction fee for electronic filing?

4. **Non-Court Input to Proposed Standards**

   Should letters be sent to court administrators?

   Should a notice be included in the JIS News & Views?

   Should an article be included in the Judicial News?

   Should the draft standards be posted to the Internet site for public comment?

5. **Special Classes of Filers**

   Should courts act as default EFSPs for distressed filers like DV victims?

   Should courts act as default EFSPs for confidential case types like adoption and juvenile dependency?

Appendix J: DJA: Current Document Rejection Messages

- The legal case file is indexed based on the caption stated in the initiating (complaint/petition) document and all subsequent papers must carry the same case caption. The caption on this document(s) does not match the listed parties.

- Assignments must be signed by the creditor or an officer of the company or corporation, and fully acknowledged by a Notary (RCW 4.56.090, 64.08.060, 64.08.070).

- Assignments must be signed by the creditor or an officer of the company or corporation, and fully acknowledged by a Notary (RCW 4.56.090, 64.08.060, 64.08.070).

- Satisfactions of Abstracts filed must be certified by the Clerk where the judgment is rendered.

- All pleadings, motions and other papers shall be plainly written or printed, and except for exhibits, the use of letter-size paper (8-1/2" by 11") is mandatory. The use of letter-size copies of exhibits is encouraged if it does not impair legibility.

- Please include a signature.

- APR13 requires that all pleadings and papers signed by an attorney and filed with a court will include the attorney WSBA number in the signature block. The attached document was filed without this number.

- The attached document has not been submitted or completed in the prescribed format as mandated by local rules. Please refile the appropriate form with all required information included. A sample has been enclosed for your convenience

- This document has been filed in the King County Superior Court Clerk's Office in error. Please forward to the correct jurisdiction as indicated on the pleading.

- General Rule 17(b)(5) states the clerk shall neither accept nor file a fax document unless it is on bond paper. Documents printed on thermofax paper deteriorates and causes damage to other papers and is unacceptable.

- The document you filed sets a trial/hearing for a non-judicial day. By order of the Presiding Judge (file 12050G), the document is being returned to you for proper setting on a day in which court is in session.

- This order was delivered to the Clerk's Office. Local Rule 7(b)(4)(C) states, in part: "...each proposed order shall be delivered to the Judge...but shall not be filed with the Clerk." Any document captioned Order must be signed by the court.

- KCLR 4.2 (a)(5) requires that a Confirmation of Joinder be filed pursuant to the case schedule unless the case is subject to mandatory arbitration. This form does not satisfy that requirements.

- Bonds must be presented and approved by the Court before filing with the Clerk's Office. RCW 4.44.470; 11.28.185

- KCLR 82(e)(7) states that all pleadings and papers shall include the cause number and the case assignment area designation assigned by the Clerk for the case assignment area in which the court proceedings are held.

- The document you submitted is unsigned.

- There is no original assignment of this judgment on file.

- This document does not conform to the requirements of Local Rule 4.2. Therefore, the case schedule will remain in effect in this case unless a valid Confirmation of Issues/Confirmation of Joinder is filed.

- Civil Rule 71(c)(1) requires that notice of withdrawals "shall include the names and last known addresses of the person represented by the withdrawing attorney..." This document does not include client information.

- The caption referenced must be the same as the caption referenced on the initiating document (original petition). The petitioner and respondent's names have been reversed.

- The judgment you submitted has already been assigned.

- According to Local Rule 84, all documents filed with the Superior Court Clerk's Office must contain the case caption.

- Your document was not been signed by a party to the action.

- Per King County Local Rule 82(e), each case filed in the Superior Court shall be accompanied by a Case Assignment Designation Form. A Case Assignment Designation Form was not submitted with this case.

- Your document must include the original signature and/or seal.

- Your order must be signed by a King County Superior Court Judge

- The referenced judgment has already been satisfied.

- The caption case number is incorrect or incomplete for a King County Superior Court case. Please verify the number and area designation as well as the court and county, and make corrections as needed before refiling.

- KC Local Rule 84(a) states that "all original pleadings or other papers with proper caption and cause number will be filed stamped, docketed and secured in the legal file." We are unable to process documents without the case number and designation.

- KCLR 7(b)(4)(B)(iv) states discovery relied upon must be quoted verbatim or a photocopy attached to an affidavit identifying the documents. Materials not complying with this rule may not be filed with the Clerk's Office, but presented during hearing.

- Satisfactions should be fully acknowledged before a Notary (RCW 4.56.100, 64.08.060, 64.08.070).

Appendix K: DJA: Sample Statistical Reports

Unprocessed General Docketing Items Indexed on or Prior to 5/3/01 at RJC, By Date Indexed

King County Department of Judicial Administration
ECR System Performance Reports
Unprocessed General Docketing Items Indexed on or Prior to 5/3/01 at RJC,
By Date Indexed
Date IndexedCount

01/02/20012
04/01/20001
04/03/200120
04/10/20017
04/16/20011
04/27/20019
04/30/20012
05/01/2001145
05/02/2001644
05/03/200117
11/29/20001
12/29/200088
Total Count:

937
Thursday, May 03, 2001 10:22:24 AM

King County Department of Judicial Administration
ECR System Performance Reports
Files Indexed On or Before 5/3/01 With No Sub One

Case Number	Case Location	Date
00-3-00342-4	SEA	3/2/00
00-2-05709-1	SEA	3/17/00
00-7-01664-4	SEA	4/24/00
00-2-06372-5	SEA	4/26/00
00-7-02452-3	SEA	5/1/00
00-7-00766-1	SEA	5/1/00
00-2-13532-7	SEA	5/18/00
00-2-13566-1	SEA	5/30/00
00-8-02447-1	SEA	6/4/00
00-2-15284-1	SEA	6/14/00
00-3-00430-7	SEA	6/27/00
00-5-01710-4	SEA	7/1/00
00-2-17197-8	SEA	7/6/00
00-2-18703-3	SEA	7/8/00
00-2-18706-8	SEA	7/8/00
00-3-00442-1	SEA	7/14/00
00-8-03633-9	SEA	7/24/00
00-1-06340-3	SEA	8/1/00
00-3-06019-3	SEA	8/7/00
00-2-20770-1	SEA	8/15/00
00-3-07254-0	SEA	8/15/00
00-2-18519-7	SEA	8/16/00
00-3-06023-1	SEA	8/16/00
00-1-08148-7	SEA	10/7/00
00-2-24461-4	SEA	10/9/00
00-2-24470-3	SEA	10/10/00
00-2-24202-6	SEA	10/16/00
00-1-00321-4	SEA	10/25/00
00-2-27627-3	SEA	10/27/00
00-2-27630-3	SEA	10/27/00
00-2-27628-1	SEA	10/27/00
00-2-27648-6	SEA	11/2/00
00-2-27368-1	SEA	11/2/00
00-2-27669-9	SEA	11/7/00
00-4-04836-7	SEA	11/15/00

Thursday, May 03, 2001 10:20:06 AM

Files Indexed On or Before 5/3/01 With No Sub One

Case Number	Case Location	Date
00-1-10856-3	SEA	11/16/00
00-2-30814-1	SEA	11/21/00
00-2-30969-4	SEA	12/1/00
00-3-08641-9	SEA	12/7/00
00-2-30880-9	SEA	12/7/00
00-3-08646-0	SEA	12/8/00
00-2-30883-3	SEA	12/11/00
00-1-09202-1	KNT	12/13/00
00-7-05889-4	SEA	12/19/00
00-2-31866-9	SEA	12/21/00
00-2-27968-0	SEA	12/22/00
00-2-31876-6	SEA	12/22/00
00-2-31879-1	SEA	12/27/00
00-8-06264-0	SEA	12/29/00
01-8-00044-8	SEA	1/3/01
00-7-04468-1	SEA	1/5/01
01-2-01735-7	SEA	1/9/01
00-7-04964-0	SEA	1/11/01
01-8-00185-1	SEA	1/11/01
00-7-06216-6	SEA	1/12/01
00-7-06215-8	SEA	1/12/01
01-3-00074-1	KNT	1/16/01
01-2-01766-7	SEA	1/18/01
01-3-00806-8	SEA	1/22/01
01-5-00227-0	SEA	1/22/01
00-7-06472-0	SEA	1/23/01
01-2-12051-4	SEA	1/24/01
01-7-00212-9	SEA	1/24/01
00-7-06178-0	SEA	1/24/01
01-4-00507-1	SEA	1/25/01
01-3-00309-1	SEA	1/26/01
00-7-06161-5	SEA	1/29/01
00-7-06468-1	SEA	1/29/01
01-3-00311-2	SEA	1/30/01
01-7-00176-9	SEA	1/31/01
00-7-06450-9	SEA	1/31/01
01-7-00204-8	SEA	1/31/01
00-7-06486-0	SEA	1/31/01
01-2-02315-2	SEA	2/1/01

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Appendix L: General Rule (GR) 14: Document Formatting Requirements

General Rule 14
Effective April 1, 2001
RULE 14
FORMAT FOR PLEADINGS AND OTHER PAPERS

(a) Format Requirements. All pleadings, motions, and other papers filed with the court shall be legibly written or printed. The use of letter-size paper (8-1/2 by 11 inches) is mandatory. The writing or printing shall appear on only one side of the page. The top margin of the first page shall be a minimum of three inches, the bottom margin shall be a minimum of one inch and the side margins shall be a minimum of one inch. All subsequent pages shall have a minimum of one inch margins. Papers filed shall not include any colored pages, highlighting or other colored markings.
(b) Exception for Exhibits. This rule is not mandatory for exhibits, but the use of exhibits that comply with this rule is encouraged if it does not impair legibility.
(c) Application of Rule. This rule shall apply to all proceedings in all courts of the State of Washington unless otherwise specifically indicated by court rule.

KING COUNTY SUPERIOR COURT ALERT ON GENERAL RULE 14

Effective April 1, 2001, all pleadings, motions and other papers shall be plainly written or printed, and, except for exhibits, the use of letter-size paper (8 ½" by 11") is mandatory.

All pleadings, motions and other papers filed with a court shall have the writing or printing appear on only one side of the page. The top margin of the first page shall be a minimum of three inches, the bottom margin shall be a minimum of one inch, and the side margins shall be a minimum of one inch. All subsequent pages shall have a minimum of one-inch margins. Papers filed shall not include any colored pages, highlighting or other colored markings.

This rule is not mandatory for exhibits, but the use of exhibits that comply with this rule is encouraged if it does not impair legibility.

Non substantive print may appear within the designated margins. Such information includes, but is not limited to, letterhead information, line numbering or page numbering.

To ensure availability of a high quality electronic image, the King County Superior Court Clerk's office requests all print to be of a font size of at least 9 pitch or larger

Appendix M: Civil Docket Codes Selected for Pilot Project Filing

Code	Description
AF	AFFIDAVIT
AN	ANSWER
CICS	CASE INFORMATION COVER SHEET
CS	CONFIRMATION OF SERVICE
DCLR	DECLARATION
DIS	DISCLOSURE
HSTKNA	STRICKEN: IN COURT NON APPEARANCE
MM	MEMORANDUM
MT	MOTION
MTDFL	MOTION FOR DEFAULT
MTDJ	MOTION FOR DEFAULT JUDGMENT
MTHRG	MOTION HEARING
NTAB	NOTICE OF ABSENCE/UNAVAILABILITY
NTACA	NOTICE OF ATTORNEY CHANGE OF
NTAPR	NOTICE OF APPEARANCE
NTHG	NOTICE OF HEARING
OB	OBJECTION/OPPOSITION
RPY	REPLY
RSP	RESPONSE
SMCMP	SUMMONS & COMPLAINT
STAHRG	STATUS CONFERENCE HEARING

Appendix N: Definitions

API: Application Program Interface. A formal specification describing how one program can "talk" to another program.

Case type: Method of classification in which Superior Court cases are cataloged into case types 1 through 8; criminal, civil, family law, probate and guardianship, adoption and paternity, mental illness and involuntary treatment, juvenile dependency, and juvenile offender. A 9th case type, Judgment, is used to collect individual judgment information in individual cases.

CMS*:* Case Management System. An automated system used by a court to manage data about the cases in that court. (See DMS, EFM, EFSP)

Connectivity: The phase of ECR in which viewing technology was distributed to King County Law Safety and Justice agencies outside DJA, e.g. King County Superior Court. This technology enables users to view documents in those cases which are present in ECR through the King County Intranet.

Core ECR: The first phase of Electronic Court Records as implemented DJA, consisting of a system in which incoming documents in cases filed starting Jan 1, 2000, and older cases upon being archived, are imaged and stored in an Image Management System. Core ECR also has components which interact with SCOMIS in order to automate certain data entry procedures, and a workflow component which routes documents to DJA staff for processing.

CSS*:* Cascading Style Sheet. A tool used to present XML data in a consistent manner.

Digital Document*:* Word-processed, not imaged, document which is retained in digital form.

DJA*:* King County Department of Judicial Administration. The agency responsible for, among other things, keeping the case records of King County Superior Court.

DLT*:* Digital Tape Library. One component of an enterprise file backup system.

DMS*:* Document Management System. A system used by a court to store imaged or electronic documents which make up the contents of court files. (See CMS, EFM, EFSP)

DTD*:* Data Type Definition. One method of defining allowable data, the tags that define specific data elements, and the formats of such data, within a specific implementation of XML.

E-filing*:* Filing by attorneys, litigants, judges, and other interested parties of word-processed documents which are to become part of a case file over the Intranet or Internet, rather than as printed documents which must then be scanned by DJA staff.

ECR: The total system of Electronic Court Records which is planned for implementation by DJA.

EFM*:* Electronic File Manager. An automated interface between a CMS/DMS system and an EFSP. Takes the filing envelope provided by the EFSP, extracts metadata from the envelope, forwards metadata to CMS. Forwards attached document to DMS. The application accepts an XML file from the EFSP application and

processes it, passing data to the CMS and DMS, and returning any necessary XML-formatted information to the EFSP application. May also serve as middleware (interface) between primary CMS and other CMS's which are in use. (See CMS, DMS, EFSP)

***EFSP**:* Electronic Filing Service Provider. A court or a third party vendor who provides a direct interface to attorneys, litigants and other parties wishing to file documents in a court case. An EFSP provides an application for filers to submit documents to courts, electronically forward those filings to courts, and direct responses from courts back to the respective filers. The EFSP accepts documents, collects metadata about the documents, and forwards the metadata and the document to the EFM for further processing into CMS/DMS. DJA intends to be an EFSP itself, as well as allowing 3rd party EFSPs to interact with its system. EFSPs may provide "added value" to filers, such as conversion of documents to acceptable formats, provision of legal service of documents on other case parties, and provision of technical assistance. (See CMS, DMS, EFM)

***EHLLAPI**:* Emulator High-Level Language Application Programming Interface. Allows programs written in other languages such as C or Visual Basic to interact with mainframe 3270 terminal sessions. Can define sessions, connect to host computers, send keystrokes and combinations of keystrokes to the mainframe, and do all the things a human operator can do.

***FileNet printing**:* Printing of documents using the FileNet print manager. FileNet Image Services forwards print jobs to a separate FileNet print server which routes those jobs to various printers.

***General Docketing**:* A specialized workflow-like queue for documents required to be processed only by a single staff in Records Access. In ECR, this is handled technically in a different fashion than workflow/workstep/workitem because of its uniqueness.

***HTTPS**:* HyperText Transfer Protocol Secure. A secure version of the Internet protocol for transmitting information on the World Wide Web. It allows implementation of SSL in servers and browsers, which ensures that information is protected from prying eyes.

***IGN**:* Intergovernmental Network. A statewide dedicated high-speed circuit maintained by Washington State Dept of Information Services and connecting local, regional and state governmental agencies statewide via IP. Used by courts to access SCOMIS.

IIS: Internet Information Server. Microsoft's web server software.

***JIS**:* Judicial Information Systems. A branch of OAC responsible for maintaining automated systems for Courts statewide.

***JRS**:* Judicial Receipting System. A statewide system of receipting for monies received in fees, fines, etc. having to do with court cases. Maintained by JIS.

KCLR: King County Local Rule. A set of rules governing how court cases are handled locally in King County.

***Legal XML Court Document Standard**:* An XML standard under development, specific to the legal community, the specific purpose of which is to allow legal documents to be *authored* in XML (rather than another word processing format such as Word, WordPerfect, Acrobat). Under this standard, data would be extracted directly from the legal document itself rather than from an "envelope" containing metadata plus the document.

Legal XML Court Filing Standard - An XML standard under development, specific to the legal community, the specific purpose of which is to provide a standard data transfer interface for filing word-processed Court Documents in a court records system. The defining characteristic of this specification is an “envelope” of data elements which are metadata about the attached legal document.

Litigant: A person who is the plaintiff, petitioner, defendant or respondent in a lawsuit.

LSJ*:* Law, Safety and Justice. The legal community within King County government, consisting of DJA, Superior Court, District Court, Prosecuting Attorney, Jail, Juvenile Detention, Public Defender, and Sheriff.

MTS*:* Microsoft Transaction Server. Microsoft middleware used in Core ECR for n-tier processing.

OAC*:* Office of the Administrator for the Courts. The Washington State agency responsible for statewide court operations.

OSAR*:* Optical Storage and Reader. Jukebox containing optical platters on which image or other data is written for long-term storage.

PDF: Portable Document Format. An open but proprietary standard for Internet documents from Adobe. It preserves the original format of the document, but is text-searchable.

PKI Digital Signature*:* Public Key Infrastructure Digital Signature. Electronic evidence that a “trusted source” has “electronically signed” a digital document. Uses hashing, encryption, dual password consisting of huge prime numbers, and third party escrow-type assurances to provide evidence of signature.

Pro se litigant: A litigant who represents him or herself rather than being represented by an attorney.

Public web viewer: Intranet-enabled viewing technology used within DJA for public access to ECR records. Similar to, but different from, Web Viewer.

SCOMIS*:* Superior Court Management Information System. A statewide index to the litigants, attorneys, documents, hearings, and other information related to each case filed in Superior Courts across the State of Washington. Maintained by JIS.

SCOMIS Case Number: A unique identifier assigned to each individual lawsuit filed in King County Superior Court

Screen scraping*:* The practice of extracting text data from the screen buffer of a 3270 (or similar) emulator on a workstation, to be used in another application running on that workstation.

Sealed: Cases and/or documents in cases which are not available to the general public. Some case types are Sealed by statute (law). Other individual cases or documents are ordered to be sealed by a Superior Court Judge.

SSL: Secure Sockets Layer. It works together with https to provide encrypted and digitally signed transactions over the Internet.

Sub number: An index number assigned to a document in a court file. Usually sequential by date filed.

***Thick Client**:* DJA term describing desktop client which accesses ECR using FileNet modules which are loaded on the PC. DJA staff utilize thick client installations in order to access the full functionality of ECR, including workflows, administration, adding images to the database, etc.

***Thin Client**:* DJA term describing a desktop client which is able to access ECR without having to load FileNet software. Used to describe both Web viewer and Public web viewer.

***TIFF**:* Tagged Image File Format. A standard file format for exchanging graphical images. DJA's Core ECR requires images to be in TIFF Group 4 format.

***TN3270**:* A flexible, efficient and inexpensive terminal emulator application for connecting Windows PC users to IBM mainframes via TCP/IP.

Web viewer: Intranet-enabled viewing technology distributed to LSJ agencies.

Workflow: The series of steps which a document navigates in order to complete processing of the document. In the context of ECR, this consists of a series of Worksteps for each workflow; each workstep being available to multiple DJA staff in order to check out documents and perform necessary functions based on document type and content.

Working Papers: Copies of documents being filed in a case, provided by the filer for the use of a Judge or Commissioner. Working Papers are also known as "Courtesy Copies," and they are not to be filed in the court file because this would result in duplicate filings.

***Workitem**:* A specific document associated with a specific workstep.

***Workstep**:* A collector queue for workitems, used by DJA to route documents among staff who need to process those documents. A workflow has one or more worksteps. A workstep may be utilized by multiple workflows.

XML - Extensible Markup Language. An Internet protocol for giving meaning to data and document subsections. It is similar in design to HTML, but supports intelligent data exchanges. It is a markup language similar to HTML or SGML within which data elements are defined by tags. Industry-specific data dictionaries in XML may be used to facilitate transfer of data between different computing programs and platforms.

***XML Schema**:* One method of defining allowable data, the tags that define specific data elements, and the formats of such data, within a specific implementation of XML. More robust than DTD.

***XSL**:* A tool developed to transform the data in an XML document by extracting some or all of the data elements, reformatting them as defined in the XSL document, and rewriting them into a new XML document which has a different use. This may be used to translate data based on one DTD or Schema into data which can be recognized by a different DTD or Schema.

Appendix O: Proposer's Cost Worksheet

PHASE ONE FUNCTIONALITY

ITEM	UNIT COST	TOTAL COST
Professional Services:		
• Project Management	$	
• Administration	$	
• Technical (programming, etc.)	$	
• Other (Specify)	$	
TOTAL FOR PROFESSIONAL SERVICES		$
Hardware includes upgrades & modifications		$
Software including detailed licensing costs with appropriate discounts (e.g., FileNet), upgrades & modifications		$
System Testing:		
• Proposer's test environment (if charged to Project)	$	
• Test plan (requirements and functionality testing)	$	
TOTAL FOR SYSTEM TESTING		$
Other costs (specify) – attach additional pages if needed		$
Functional Modules (do not duplicate in above costs)		
• On-line payment of filing fees (E-commerce solution)		$
• XML interface to Judicial Receipting System (JRS)		$

End of Phase 1 Cost Worksheet

PHASE TWO FUNCTIONALITY

ITEM	UNIT COST	TOTAL COST
Professional Services:		
• Project Management	$	
• Administration	$	
• Technical (programming, etc.)	$	
• Other (Specify)	$	
TOTAL FOR PROFESSIONAL SERVICES		$
Hardware includes upgrades & modifications		$
Software including detailed licensing costs with appropriate discounts (e.g., FileNet), upgrades & modifications		$
System Testing:		
• Proposer's test environment (if charged to Project)	$	
• Test plan (requirements and functionality testing)	$	
TOTAL FOR SYSTEM TESTING		$
Other costs (specify) – attach additional pages if needed		$
Functional Modules (do not duplicate in above costs)		
• Addition of Intranet electronic filing access to the E-filing Website from the publicly accessible PCs located in the public areas of the Clerk's Offices	$	
• Preformatted System Reports - provide unit pricing for a set of 5 reports (maximum of 20)	$	
• Intranet filing access from the publicly accessible PCs located in the public areas of the Clerk's Offices	$	
• Computer output to microfilm (COM)	$	

End of Phase 2 Cost Worksheet

PHASE THREE FUNCTIONALITY

ITEM	UNIT COST	TOTAL COST
Professional Services:		
• Project Management	$	
• Administration	$	
• Technical (programming, etc.)	$	
• Other (Specify)	$	
TOTAL FOR PROFESSIONAL SERVICES		$
Hardware includes upgrades & modifications		$
Software including detailed licensing costs with appropriate discounts (e.g., FileNet), upgrades & modifications		$
System Testing:		
• Proposer's test environment (if charged to Project)	$	
• Test plan (requirements and functionality testing)	$	
TOTAL FOR SYSTEM TESTING		$
Other costs (specify) – attach additional pages if needed		$
Functional Modules (do not duplicate in above costs)		
• Access restriction to "Sealed" documents on a per case and per document basis		$

End of Phase 3 Cost Worksheet

PHASE FOUR FUNCTIONALITY

ITEM	UNIT COST	TOTAL COST
Professional Services:		
• Project Management	$	
• Administration	$	
• Technical (programming, etc.)	$	
• Other (Specify)	$	
TOTAL FOR PROFESSIONAL SERVICES		$
Hardware includes upgrades & modifications		$
Software including detailed licensing costs with appropriate discounts (e.g., FileNet), upgrades & modifications		$
System Testing:		
• Proposer's test environment (if charged to Project)	$	
• Test plan (requirements and functionality testing)	$	
TOTAL FOR SYSTEM TESTING		$
Other costs (specify) – attach additional pages if needed		$
Functional Modules (do not duplicate in above costs)		
• Ability to queue cases for document viewing based on a specific calendar for an individual judge		$

End of Phase 4 Cost Worksheet

SYSTEM MAINTENANCE AND ENHANCEMENTS

SYSTEM SUPPORT/MAINTENANCE (to begin at the end of the system warranty period):

- First year $_____
- Second year $_____
- Third year $_____

TOTAL for System Support/Maintenance $_____

SYSTEM ENHANCEMENTS AND MODIFICATIONS:

Provide per hour pricing for required technical staff.