Notice of Request for Information

REQUEST NO.: 2013 - 0315

Clerk of the Superior Court in and for Maricopa County, Arizona

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3rd Floor
Phoenix, Arizona 85003

Request For Information (RFI) Contact Person:

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Issue Date: Friday, March 15, 2013

LOCATION: **Clerk of the Superior Court (COSC) – Downtown Justice Center**
Management Resources (Third Floor)
620 West Jackson Street
Phoenix, Arizona 85003

DESCRIPTION: **Information Technology: Replacement system for Restitution, Fines, and Reimbursement**

INFORMATION DUE DATE: **April 12, 2013 AT 3:00 P.M., Arizona Time**

QUESTIONS CONCERNING THIS REQUEST FOR INFORMATION (RFI) SHALL BE FORWARDED TO THE RFI CONTACT PERSON ON THE COSC QUESTIONS FORM, VIA E-MAIL ON OR BEFORE March 27, 2013 AT 5:00 P.M., ARIZONA TIME. TELEPHONIC QUESTIONS SHALL NOT BE ACCEPTED.

Responses to this RFI must be in the actual possession of COSC on or prior to the time and date and at the location indicated above. **Late responses may not be considered.**

Responses must be submitted in a sealed envelope or package with the Request number and the respondent's name and address clearly indicated on the envelope or package or through email with the subject line indicating "Response to Request No.: 2013-0315. All responses must be typewritten. Additional instructions for preparing a response are included in this request.

Respondents must realize that no Contract will result from your response to this request. Responding to this RFI will not prohibit the respondents from responding to any procurement.

Persons with a disability may request a reasonable accommodation, such as a sign language interpreter, by contacting the appropriate Procurement Agency. Requests should be made as early as possible to allow time to arrange the accommodation. A person requiring special accommodations may contact the person responsible for this request as identified below.

RESPONDENTS ARE STRONGLY ENCOURAGED TO CAREFULLY READ THE ENTIRE RFI.

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ATTACHMENT A – RESPONDENT'S CONTACT INFORMATION

1. DEFINITIONS

AOC: Administrative Office of the Courts

CFO: Criminal Financial Obligation; also the Clerk's work unit associated to CFO's

COSC: Clerk of the Superior Court

COURT: Superior Court in Maricopa County

CRO: Criminal Restitution Order

CTS: Court Technology Services – the Superior Court's IT division

EDMS: Electronic Document Management System

iCIS: Integrated Court Information System – the Court's case management system

ICJIS: Integrated Criminal Justice Information System

ITG: Information Technology Group for the Clerk's Office

GL: General Ledger

JSL: Joint and Severally Liable

MAS: Minimum Accounting Standards as defined by the AOC

MEEDS: Minute Entry Electronic Distribution System

NSF: Non-sufficient Funds

ONBASE: The COSC EDMS, a product of Hyland Corporation

RFR: Restitution, Fines, and Reimbursement

TTL: The totaling out and closing of a cashier's drawer in the COSC Receipting System

2. BACKGROUND

The Clerk of the Court is the official record keeper and fiduciary agent for Superior Court. The Clerk of the Court, comprised of more than 600 employees, serves the third largest county in the nation. They also support more than 140 judges and commissioners.

Mission Statement

The Mission of the Clerk of the Superior Court is to provide progressive and efficient court-related records management and financial services for the justice system, legal community, and public so they have fair and timely access to accurate court records and services.

Vision Statement

"The vision of the Clerk of the Superior Court is to anticipate, meet, and exceed the expectations of our customers." The functions of the Clerk of the Court satisfy more than 500 state statutes and court rules.

Responsibilities

Responsibilities of the Clerk of the Superior Court include: Provide public access to the records of the Superior Court in Maricopa County; attend each Superior Court session to record the actions of the court; be the first stop in initiating any Superior Court action in civil, criminal, mental health, probate, tax, family court matters, and juvenile which includes delinquency, dependency, adoption, and severance cases; accept and disburse court ordered fees, fines, and victim restitution; provide various family support services to the public; receive, distribute, and preserve official court documents; store exhibits for all court cases; issue and record marriage licenses; and process passport applications.

The Current Business Process

When a criminal offender is sentenced by the court, the court may order the offender to pay certain financial obligations, along with other consequences of the crime or as a condition of the sentencing. Those financial obligations may be in the form of fees and fines for the reimbursement of public monies or restitution to a victim or victims for economic loss. In cases where the offender is sentenced to probation, the probation officer may recommend to the judicial officer additional fees and fines. By statute and by other administrative orders the receipt of these financial obligations and disbursement of receipted monies to the appropriate recipients is the duty of the Clerk of the Superior Court (COSC).

In the Maricopa County Superior Court, a criminal case is filed by the prosecutor and processed through the integrated Court Information System (iCIS), an automated Case Management System administered by the Maricopa County Judicial Branch through its IT department, Court Technology Services (CTS). However, iCIS does not maintain data for adult criminal case financial obligations. Therefore, the COSC manually enters Criminal Financial Obligation (CFO) data into its own automated systems, the Minute Entry Electronic Disbursement System (MEEDS) and Restitution, Fines and Reimbursement (RFR) system. Staff within the CFO unit uses iCIS extensively to research cases, view offender information, OnBase images, and case events.

The RFR system is used by the CFO unit to track the receipt and disbursement of criminal financial obligations. It runs on a UNIX platform and is maintained by the COSC's Information Technology Group (ITG). The COSC has been using the RFR system for 17 years and has made extensive enhancements over the years for critical and mandated functionality. The COSC now considers the RFR system to have reached its end-of-life; the hardware platform is outdated, the software has become too expensive to maintain and has become too difficult to operate effectively to meet the ever-changing business of the CFO unit of the COSC. The current RFR system has served the CFO unit operations adequately and continues to be used by the CFO unit.

Court proceedings data is entered into MEEDS. This data consists of orders, rulings, and statements that the judge issues during the court proceedings. The official record of the court proceedings is called the Minute Entry and the COSC enters the data into MEEDS. After the offender is sentenced, MEEDS in turn feeds the criminal financial obligation data to the current RFR system. However, MEEDS falls short in feeding order types and creating new cases reliably and consistently. Oftentimes, the COSC encounters missing or duplicate cases in its operations. Therefore, the CFO staff must still do a lot of manual data entry and research during the account creation process, causing delays.

The CFO unit must maintain accurate records of all criminal financial obligations ordered by the court, ensuring that the case and order information are correct and complete, that all payer and payee information are correct and complete, and allocated and disbursed payment amounts are correct. Moreover, victims' and sealed cases' information confidentiality must be protected from unauthorized access or disclosure. The system must adhere to Minimum Accounting Standards (MAS) as defined by the Arizona Supreme Court, Administrative Office of the Court (AOC).

The COSC receives payments from the assessed party or parties either via mail or at the counter in multiple COSC offices), in the eight adult probation offices, and in County Collections at the Department of Finance. The staff also accepts payments from individuals other than the parties of the case. The staff must be able to accept not only different forms of payments (money orders, cash, credit cards and checks) but also different terms and schedules (full or one-time payments, recurring payments/installments, accrual payments, JSL, etc.) as ordered by the court.

CFO staff must be able to process payments even outside these ordered terms and schedules (e.g. underpayments, overpayments, multiple underpayments, multiple overpayments, delinquencies, Non-sufficient Funds, holds, pending, voids, adjustments, unclaimed checks, etc.). There are situations when the CFO staff cannot process a payment due to missing information. In these situations, the payment is placed in suspense for later research and subsequent processing to the account(s).

In addition to the MEEDS and the RFR systems, the COSC uses its automated Receipting System as a front-end to the RFR system. The primary function of the Receipting System to the CFO unit is the receipting of payments. The Receipting System feeds receipted payments to the RFR system at the rate of 18,500 per month.

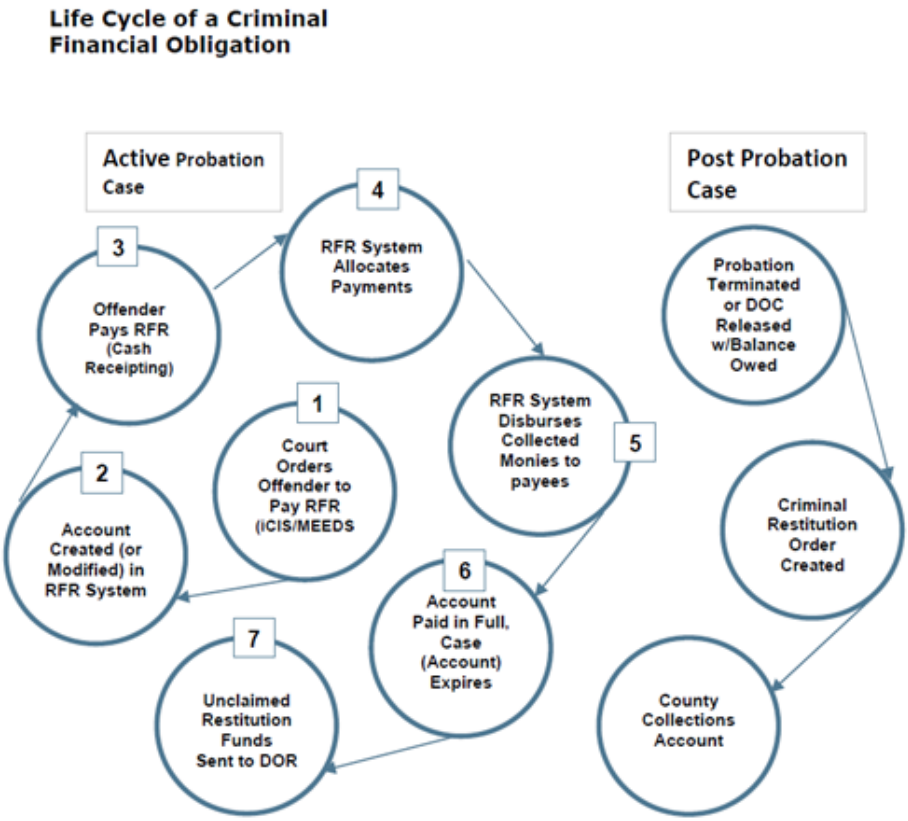
Receipted payments must be allocated and disbursed to their appropriate recipients. Fees and fines must be disbursed to different state and local agencies (called Common Payto's); restitutions must be disbursed to the victims. The daily allocation, delinquency calculation and monthly disbursement processes also occur at night. The allocation process takes into consideration the amount, priority order (of payments for individual fees, fines, and restitutions), frequency, and multiple payers and payees when applicable. The disbursement process consists of the COSC's Check Run and Create-A-Check processes which produce approximately 350 checks daily. Create-A-Check is a 3rd party vendor purchased application designed to print checks.

Often, ordered financial obligations remain unpaid; they become delinquent. When collection efforts are successful, collected monies are processed through the RFR system; when unsuccessful, the offender's probation may be revoked by the court. When a payer still has a balance due on one or more orders their sentence expires, the court may issue a Criminal Restitution Order (CRO) and the case is turned over to County Collections.

Some disbursements cannot be successfully released for several reasons such as the payee could not be found, there are no active orders on the case, et cetera. In these instances Arizona State statutes requires that any monies the COSC is unable to send to the payee after three years are sent to the Arizona Department of Revenue (DOR) as unclaimed funds. On a weekly basis, any money that is unable to be disbursed to a victim is added to the list of Unclaimed Property which is listed on the COSC's public website, as a last resort of disbursing the monies.

Several RFR reports are used by COSC management: workload reports on new accounts/orders, pending and suspense accounts, probation services fees, outstanding orders (receivables), money transmittals, RFR-General Ledger Balancing reports, and case maintenance audit reports.

A CFO order closes when it is paid in full. If the offender's sentence expires and/or probation terminates while they still owe funds, a Criminal Restitution Order will be created.



3. PURPOSE

The COSC is exploring what products may exist in the marketplace that may be preferable and feasible to replace its legacy RFR System to move from a UNIX operating system and Informix database to a more mainstream architecture while creating new opportunities for efficiency by improving the technical capabilities of the application to accommodate improved business processes.

To this end, COSC is requesting information regarding existing applications/systems capable of meeting the general requirements of the existing RFR System as outlined in the System Overview, including necessary integration with the Clerk's existing Receipting System, General Ledger, MEEDS, iCIS, Check Writer, and Billing/collection system.

COSC recognizes the need to customize certain aspects of a vendor's existing system to meet the business requirements defined by COSC business operations. In this respect, a complete understanding of the vendor's current system and the vendor's approach to project management, integration, data conversion, maintenance and support is paramount.

Responses to this RFI, including any demonstrations and information provided, will assist the COSC in determining how to address the replacement of its existing system.

4. SYSTEM OVERVIEW

4.1 CASE, PAYER/PAYEE, AND ORDER CREATION

4.1.1 Case Creation

The RFR system was primarily developed to manage account financial obligation order and payment information exclusively for Restitution, Common Payto (agency), and Common Payto accrual order types.

In the case of Restitution, a party (payer) is ordered to compensate one or more parties (payee) for losses incurred as a result of the other party's actions.

A Common Payto order compensates the agency (payee) for mandatory assessments, such as fines and fees.

Common Payto Accrual orders accrue over time, the total amount is not specified and the system accumulates the total amount based on the frequency. Common Payto accrual orders require the payer to pay until otherwise notified by court order. A Common Payto accrual order most often has a required start date and at some point may have an end date.

A case is created in the RFR application either manually or automatically through the MEEDS update process.

Manual

Cases are created manually in the RFR application when COSC staff enters information required to define the case. Payer, payee, and Order information can also be entered when creating cases manually.

MEEDS Update Process

The MEEDS update process parses Minute Entry documents for specified data needed to create cases in the RFR system. This automated process creates cases with case number, order type, payer, and payee (non-JSL) information. JSLPayee records are entered manually for Minute Entry financial orders, with a JSL indicator, in order to link the same Party as the payee to the related JSL orders and/or cases. All cases created from MEEDS are reviewed for accuracy based on the courts financial orders and then finalized by the CFO unit processor. This process is called order verification.

4.1.2 Case Structure

The Clerk of Court is authorized to create cases manually or by automated process in the RFR system as the result of a party's sentence, always ordered by the court with the exception of Incoming Interstate Compacts, to pay restitution, fines/fees and or reimbursements on a Criminal court case.

The RFR system case structure includes case, order(s), payer(s), payee(s), and order types payment history information related to the financial obligations of a court case. The business rules for case structure include:

- A single case can contain zero or more orders.
- At least one payer is required to create an Order.
- Each Order can only have one payer, but zero or more payees.
- A JSL case links multiple orders/payers that all pay the same payee(s).
- A valid address is not required for a payee. Although, checks are not generated for payees unless a value exists in the address field.

Case Information

COSC Staff create "Cases" for payers to make payments to different kinds of payees. Governed by Arizona Revised Statutes, the clerks create the case and enter data pursuant to the court order.

The main elements that define a case are:

- Case Number
- Case Initiation Date
- Case Status
- Payer(s) Information
- Payee(s) Information
- Order(s) Information
- Case Notes

4.1.3 Case Notes

Case notes can currently be added, modified, and deleted. There are manual case notes that inform users of whom and how the system was modified and have other purposes as well.

Management has requested more control over the handling of notes. This includes specific access to delete case notes as opposed to allowing all clerks delete access. Also requested was a log file listing who performs what actions on cases.

Party Information

A Party is a payer, one ordered to pay, or a payee, one who receives payment(s) from a payer. Parties are created on an case either manually or through the MEEDS update process interface. Each case can have one or more parties linked to one or more orders.
When a case is created, both account and payer statuses default to 'active' in the RFR system. Parties can be linked on a case as payer or payee. A party can also be a payee on one case and a payer on another.

Party (payer or payee) elements include:

- Party ID
- Party Type
  - PRB-Probation
  - PTO-Common Payto
  - PYR-payer
  - PYE-payee
  - PL-Plaintiff
  - DF-Defendant
  - DTADD-Date Added to the System
- Party Priority
- Party Name
  - Individual (First, Middle, Last)
  - Business/Agency (Business Name)
- Gender (if individual: M=Male, F=Female, U=Unknown)
- Date of Birth (optional)
- State ID (optional)
- Social Security Number (optional)
- SID Number (optional)
- Address Information (optional)

Payer Information

A payer is an individual or business, typically the defendant on a case that has been ordered to pay a specified amount to a payee(s), which may be an individual or business and any other monetary terms.

Payee Information

A payee is an individual, business, or agency to whom the payer has been ordered by the court to pay. An individual has a higher priority over a business unless otherwise ordered by the court.

Typically, each time a payee is created in the RFR application, the payee is created as a new Party, with a party Id number, even if a payee with the same information had previously been associated to another case it will not be the same party Id number. It is hard to determine whether the individual or business on one account is the same individual or business on another, however, it is not going to be the same as the party Id will be different.

In the case of JSL, the payee must be the same individual on all related orders and/or accounts for JSL calculations to calculate properly. For JSL, the same payee Party is manually linked to multiple orders and/or accounts.

A Common Payto is a special type of payee, generally agencies that receive money passed through the Clerk of Court. The Clerk's Office sends monies collected through the Treasurer's office monthly to agencies such as adult probation.

Several Order Types (i.e., 02-probation fees) are automatically tied to a Common Payto when the order is created because all payments received for that particular order will always be distributed to that specific Common Payto party.

The main information needed to define a Common Payto is:

- Payto Name
- Order Type
- Check Destination

Once a new Common Payto is required as the result of rule or legislative changes, a new Order Type is needed.

4.1.4 Order Information

There are many types of orders associated with a Court case. RFR holds Financial Obligation information as ordered by the Court or other designee.
An Order (other than an accrual order) specifies the total amount a payer must pay according to terms and schedules (full or one-time payments, recurring payments/installments, accrual payments, JSL, etc.) as ordered by the court. Each account in RFR can have one or more parties linked to one or more orders, but only one payee can be linked to an order.

Adult Probation Service Fees are automatically added when orders are created for a payer with a probation type of "P" (probation). The users have the ability to accept or decline this order. It saves the user from having to create the order and then tie the payer to the order.

Two orders are created automatically for statutory $20.00 Time Payment Fee (TPF), currently one Order for $7.00 and one Order for $13.00, on Adult cases when the first order is created in the system for the payer on that particular case. If the payer is not required to pay the TPF, the user is required to delete both of the orders from the RFR System.

There are three types of orders that can be created.

- A lump sum payment with a specific date to pay the full amount A specific amount to be paid over time, in installments, based on the frequency specified
- A recurring amount with no set total to be paid until some external condition is met or when an order modification is received (Accrual order).

Each order, including an accrual order, can either be paid in a lump sum payment, with a specific date to pay the full amount, or a specific amount to be paid over time based on the frequency specified.

The Clerk's Office can create a Criminal Restitution Order (CRO) for individuals that are terminated from probation or persons released from prison that still owe outstanding balances.

Management requested calculation of interest be provided as an external parameter after an account becomes a CRO case.

General order information elements include:

- Case Number
- Order Type (Restitution, Fine, Probation Service Fee, etc)
- Order Date
- Order Status
- Filing Type
- Order Priority
- JSL Indicator
- Surcharge (Determines if an additional amount is to be added based on a percentage or set amount)
- Start Date
- Order End Date – Accrual Order (ex. PSF)
- Frequency
- Payment Amount – The amount of each installment payment

- Total Applied
- Date Order Signed – Signed date by the Judicial Officer
- Total Due – The total amount due for order (if not accrual order; if accrual order - the system will recalculate the amount on a monthly basis)
- Delinquent Amount – The amount that is delinquent on an order.
- Comments (Type count, initials, and date order entered) For example: Ct 1 JG 0802013 – Free form typing field.

Order Types

Order Types are used as RFR indicators. Each order type can be tied to a payer on a case with set priorities that controls how order payments are allocated in the system. Restitution and Common Payto Order Types require a payer (there can only be one payer tied on an order). A payer can be an individual or business, generally the defendant in the case.

Some Order Types have been identified as orders that are created automatically by the system. This is to aid the users and speed up the process of loading new accounts/orders. With some of these order types, the user has the ability to accept or decline the order while other order types are created automatically and need to be deleted if they are not required.

As the courts or changes in legislation create new mandates that the Clerk of Court must follow, new Order Types are needed. When this occurs, a Common Payto is usually created as well as a new fund is established in the General Ledger for the new Order Type. Two or more Common Payto's can be created with the same name but assigned to different fund types. This situation can occur for Revised Statutes that may require a new fund be added in addition to a current fund.

Priority of Orders

Order Priority is how funds from payments are allocated to order payees. The lower the Order Priority number, the higher the priority. The Clerk's Office associates a Restitution Order to one or more prioritized victims (payees) and the payer is required to either pay a one-time payment or scheduled payments.

Order Status

The Order Status indicates whether an Order is Active or Inactive. The Order Status default is 'active' but it can be set to either 'active' or 'inactive' manually by a clerk or by the system when an order modification is done. The Order Status can be set to 'inactive' regardless of whether or not the order financial obligation has been met. When an order status is set to 'inactive', the order balance is automatically reduced to zero by the system.

Comments

The Comments field is a free form typing field in which the user currently enters any useful information including the Count number that the Order was ordered on and the date and initials of the user that entered the Order into the system.

4.2 CASE MAINTENANCE

Several circumstances during the life cycle of a case may require updates to a case record. Order modifications, changes to a party's address, and probation status changes are a few instances that may require an update to case or order information.

4.2.1 Maintain Case

A case can be manually created, modified or transferred with certain limitations in the RFR system. Payer and payee information can be added or modified, as well as payee Address, and Address Types of mailing, residential and legal. The current system only allows one primary mailing address, but stores previous address information for historical purposes.

4.2.2 Maintain Party

When an Order is created, the system allows the RFR processor to specify the parties involved with that order. Party (payer and payee) information can be added or modified for cases and orders. There is currently no limitation to the number of payees that can be added to an order.

Any Party previously created with a Probation Type on a case can be selected as a payer for an order being created. Once a payer has been selected, one or more payees can be selected from the remaining parties to be tied to a restitution order (excluding the party selected for the payer). Common Payto payees are automatically tied to orders.

The main information needed to designate a Party on an Order as a payer or payee defaults as parties are selected. Party designations can be changed by CFO unit processors as needed.

The following are Party designations used for associating parties to accounts.

- Probation Type
- Payto (Y/N)
- Payer (Y/N)
- Payee (Y/N)
- Petitioner or Plaintiff (Y/N)
- Respondent or Defendant (Y/N)
- Date Added (supplied by the system – user cannot update)
- Status (Active, Inactive)
- Priority – 3 character field – lists the priority of payees only – can be updated by users
- "I" (Y/N) – indicates the party is involved in cases in the system – user cannot update
- "O" (Y/N) – indicates the party is involved in cases outside the system – user driven

Because it is not mandatory for payees to be assigned to Restitution Orders, a restitution order can be created without any assigned payees.

Management desires the ability to improve the update party name and the effective date for that update. The user can delete a party on a case only in cases where no financial records are attached to that party or they can inactivate the payer. It is also requested that updates to party information only effect future checks and not update past party information. In addition, an ability to enter multiple addresses was requested for parties so parties can specify specific dates spent at each location (for example: Individuals that live in different parts of the country during the course of a year or season).

4.2.3 Maintain Order

Order elements can be added, modified, copied or deleted dependent upon the situation. Once an order is entered, the Order Type cannot be changed however, it can be deleted as long as no monies have been applied. Orders entered with an incorrect Order Type can be inactivated or deleted and a new order created with the correct Order Type.

If monies are received for a particular order, modifications to Order Type, Frequency, Frequency Amount, Order Start Date, Total Amount ordered, Balance, Delinquency and Pre-paid amounts are not permitted. This is due to auto calculations performed by the system to Balance, Delinquency, and Pre-paid amounts. However, they can be inactivated, copied or some can have an Order End Date added.

4.2.4 Active and Inactive Status Types

Case, party, and order status types can be updated to either 'active' or 'inactive' manually. When a payer status is 'inactive' for a case, any payments made automatically go to Back End suspense. There is no requirement that all financial orders be satisfied in order to set an 'active' account status to Inactive.

4.2.5 Joint and Severally Liable (JSL)

The function of JSL is to compensate a restitution victim by multiple payers, due to the payer's actions. Joint and Severally Liable (JSL) occurs when two or more payers are ordered by the courts to pay restitution to the same payee for some or the entire restitution amounts ordered is to be paid as JSL. It takes more than one payer to be ordered to pay the payee, before it becomes JSL. A JSL is the typing of multiple payers to a payee while giving the payers credit for specific amounts of the funds paid by the other payer(s).

The purpose of this tying is to give credit for payments paid to other payer's balances and prevent overpayment to a victim. When additional payers are tied as JSL, balances due recalculate and update in real-time.

Court orders, Restitution Ledgers or Pre-Sentence Investigation reports usually indicate payers ordered as JSL.

JSL Tiers

The most common way to determine the amounts each JSL tier should be is to look at the information for all of the parties that have been sentenced and ordered to pay the payee as a JSL. Determine the amount that the payers have in common. The lowest amount that all payers have in common would be the first tier. If there is more than one payer left with a remaining amount, the lowest amount remaining that these payers have in common would be the next tier. This matching up continues until either:

1. There are no more payers left with remaining amounts owed to the payee or
2. Only one payer is left with a remaining balance. If this happens, then this amount is considered 'non-JSL'.

For example, payer 1, payer 2 and payer 3 are ordered to pay a payee $1000.00, $1500.00, and $1505.00, respectively. This would result in two tiers and a 'non-JSL' amount. Tier 1 would include all three payers for $1000.00. Payer 2 and payer 3 would be on the second tier for $500.00. Payer 3 would have a 'non-JSL' amount of $5.00.

JSL Payment Calculation Order

When payments are receipted for restitution orders tied as JSL, the amount due from all payers (based on tiers they are associated to) decrease until the ordered amount to the tied payee is paid in full. If the orders are monthly, then the payer who does not pay will show as delinquent until the order balances are zero. JSL calculations are performed by the RFR system.

Payments are processed in Receipt Item Number order. Amounts are normally calculated when payments are made by the payers. Processing payments in the Receipt Item Number order is similar to processing by Receipt Date and/or Receipt Number.
However, if a payment was originally placed into Front End Suspense, the payment is not actually allocated to restitution until it is resolved out of Front End Suspense which then creates a new Receipt Item Number. Thus, the new Receipt Item Number created is used when calculating the balances.

Allocation of Funds in the Restitution JSL Tiers (and Non-JSL)

The allocation of the funds between tier(s) and also non-JSL (if any) is very logical. Everything is proportional, based on the amount owed by the various payers at the time the payments are credited. These percentages can change when payments are credited, depending on the balance owed, what is tied, who makes the payments and the date order they are paid.

Occasionally the user will need to be able to “over-ride” the order in which the JSL payments are calculated. With proper security, this should be possible.

4.2.6 Pending Funds

A payment is receipted and allocated funds can be put in ‘Pending’ for reasons such as no payee name or address, or if the amount receipted exceeds the total order amount (overpayment). A Pending payment can be resolved by using resolution codes *forward* or *adjust*. Resolution code *forward* is used when funds are released to the payee.
For example, the address was added for the payee the funds are already allocated to. Resolution code *adjust* is used to adjust funds from one Order Type to another. A Pending Adjustment can also be done from one case to another as long as the payer party ID is the same. Adjustments can cause General Ledger activity.

- NAD – no address
- NPY – no payee
- GTL – greater than total ordered
- VCK – void check

Management requests the ability to sort or filter Pending payment information to accelerate the finding of a specified party so the funds can be released quickly.

4.2.7 Arizona State Department of Revenue (AZDOR)

The Arizona State Department of Revenue (AZDOR) requires that any funds (Pending items) unable to be sent to a payee after a certain period of time, currently three years, be sent to them as Unclaimed Funds. An AZDOR menu is currently available in the RFR system. This menu is used to create files and also run various programs to determine which cases have unclaimed funds sent or eligible to be sent to the AZDOR. A specific resolve code (i.e., U08, 'U' represents unclaimed and '08' is the two-digit year the funds are sent) is currently used to indicate Pending items sent or eligible to be sent to AZDOR as unclaimed funds in the RFR system. Following the specification of the AZDOR, they are currently sent a CD containing a file that lists case and payer names categorized by adults under $50, adults over $50, juveniles under $50, and juveniles over $50.

4.2.8 Back End Suspense

If a payer is inactive and a payment is made, the funds are placed in Back End Suspense. Other reasons for placing funds in Back End Suspense could be due to an inactive status for a payer and situations where all orders are paid in full for the payer. Funds remain in Back End Suspense until a batch is opened, the issue causing the suspense item is resolved, the batch is closed and the overnight process runs which feeds the General Ledger.

4.3 PAYMENT PROCESSING AND SCHEDULED PROCESSES

The COSC Receipting application interfaces with RFR to process receipts for payer payments for their financial obligation(s) to payee(s). The Receipting application receipts payments and interfaces with the RFR system to allocate payments to active orders by priority.

4.3.1 Receipting Payments

Receipting a payment is performed in one of two methods, over-the-counter or batch payment processing for RFR Fee Code indicators. If a payment is receipted but no account, payer, or obligation is found to apply the payment, the payment amount is placed in Front End Suspense until the issue for the suspense item can be resolved.

Over-the-Counter Payments

Cashiers receipt over-the-counter payments by entering an account number and fee code. When RFR fee code indicators are entered, the

Receipting system interfaces with RFR to search existing account information for the payer.

If an existing case is found, any payers with active order(s) and balance(s) due are listed. If one or more payer names are listed, the clerk can continue after selecting the appropriate payer name. After selecting the payer name, specified fields in the Receipting application auto-fill from the RFR application interface to process the payment.

If no case, payer, or financial obligation is found in RFR, the payment item is placed in Front End Suspense to be researched and resolved at a later time. Only items with a valid case number, valid payer party id, and active balance will be sent to the RFR application for distribution.

Batch Payment Process

The Batch Payment Process, also referred to as the process flow is a component of the Cash Receipting application. It is similar to the over-the-counter payment process for RFR transactions but allows processors to enter multiple payments at one time that are tracked in batches with deposit control totals.

Payments are received daily and delivered to the CFO unit from the mailroom or other departments to be applied to payers financial obligations.

Batch payment processing also includes Department of Correction (DOC) and Intensive Probation Services (IPS) payments from incarcerated persons and persons on probation. DOC provides monthly Excel spreadsheets, and IPS provides weekly Excel spreadsheets of payments collected from incarcerated persons (DOC) and probationers (IPS). The DOC collects from wages earned, and in the case of restitution payments, the spending accounts of incarcerated persons. IPS collects payments from probationers.

In both cases, payments are manually entered in the Cash Receipting application from the spreadsheet provided by each. A monthly check is received from IPS for payments collected, and DOC submits an electronic payment directly from their bank to the Clerk of Court’s checking account. Once accounting receives notification that the funds are available, they notify the CFO unit so payments can be batch processed and allocated to the appropriate orders.

The batch process allows multiple processors to process payments at the same time for a deposit as long as only one processor is processing within one batch at a time. In order for a batch to close, it must balance. The creation of a deposit or updating or closing of a batch immediately creates General Ledger activity.
When a valid receipt is saved for both over-the-counter and batch payments, the receipt number displays in the Receipting system, the Receipting application writes records to the Receipt, Receipt Item, and Case Payment tables. The Receipt and Receipt Item tables record the payment activity to the Receipting application, and the Case Payment records the payment for the RFR application.

The case payment record is then stored in the Case Payment table with a 'WAIT' process status. The Case Payment Table is the interface table between the Receipting and RFR applications. The 'WAIT' process status is utilized during the nightly allocation process to collect case payment information so payments can be allocated properly to account orders and payees. Payments display with a 'WAIT' process status for the case Payment History (Real-time) in the RFR application. The payer name is attached to display the Payment History (Party Id is attached to receipt) in the RFR application.

Front End Suspense

At the time a payment is receipted for RFR fee code indicators in the Cash Receipting System, payment items can be placed in Front End Suspense.

Elements for creating a Front End Suspense item:

- No Account in RFR for the Case number Receipt is being processed for
- Account in RFR, but the payer is not
- Account and payer are in RFR, but no financial obligation for payer
- Account and payer are in RFR, but there are no active financial obligations where there is a balance due

In these situations, funds in Front End Suspense are held back from being processed by the system until the issue causing the item to be held can be researched and resolved.
Elements for resolving a Front End Suspense item:

- Transferring to another Service code and resolving
- Resolving it to another case number
- Resolving it to another payer
- Adding the missing case
- Adding the missing payer
- Reactivating an order
- Adding additional financial obligations (i.e., orders)

Resolving a Front End Suspense item requires a case, payer, and order to exist and a balance amount so payment funds can be allocated. Additionally, in some cases a suspense item is resolved by allocating the funds to another system/fund (i.e., unidentified fund '999'). The Front End Suspense item can be resolved to one or more Service Codes, Cases, Payers or partially resolved through the creation of a Front End Suspense batch. Payments held in Front End Suspense do not display on the Payment History until the item is resolved.

Management requested the addition of a Front End Suspense indicator as a notification to the processor that funds held in Front End Suspense are available for allocation.

Voiding a Receipt

Prior to the closing of a drawer or batch, payment receipts can be voided. If a payment receipt is voided, the Receipting system displays the payment receipt as voided. The Payment History in the RFR system updates real-time by removing the voided payment information from displaying on the case.

Cash Drawer TTL Processing

Each evening, the nightly TTL batch posting process is performed. This is a scheduled job that runs and creates summarized General Ledger Journal Entries for each cashier's drawer processed and closed through a TTL balancing routine.

Over Night Scheduled Processing

In order for the overnight process to run and allocate payments, the drawers and batches must be closed. Over night scheduled processes occur after each business day and create journal entries in the General Ledger system.

RFR Pending Batches are processed first, then the delinquency process is performed to calculate delinquencies for all active orders, and finally the distribution process is run to process the Case Payments with a process status of "WAIT" for payments made through Cash Drawers that have been TTL'd and Payment Processing Batches that have been closed.

The current system does not allow functionality for financial adjustments. However, management has requested the ability to make such adjustments along with proper security for easier resolution to public inquiries.

Payment Allocation Processing

In order to prioritize how payments are allocated, each Order Type has a set Priority (See Appendix G-3.) which indicates to the system how to allocate payments to orders.

When allocating payments according to priority:

- Delinquent amounts owed
- Restitution Orders take priority over Common Payto by Administrative Order (see Appendix 1, paragraphs C & D). (Common Payto Orders are anything other than Restitution Orders.)
- Restitution payees are allocated funds based on priority
- Two payees with the same priority are allocated proportionately.
- Two orders with the same priority are allocated proportionately.

The Order Payment Status of an active order will be Delinquent, Current or Pre-paid. The Order Payment Status is calculated by determining how much should have been paid to date to the order by taking into consideration: Status; Start Date; payment Frequency; Total Amount Ordered; Payment Amount and Payments Paid to Date.

Allocated restitution payments are applied by payee where individual victims usually take priority over businesses, unless altered by court order. Payee priority has a range of one to ninety-nine, and two or more payees associated to one order may have the same or different priorities.

After the nightly allocation process completes, the Payment History 'WAIT' process status is updated to SUS, Pending, or Auto. A Manual process status is also used against a SUS but is not an original status.

4.4 CHECK PROCESSING

The Clerk's Office processes Restitution and Common Payto checks for RFR. Common Payto checks are printed once a month while restitution checks are printed daily. When the Common Payto checks process runs, the restitution checks process run is delayed until the next day. The next day, all checks including those from the previous day are included in the restitution checks process run that day. The Restitution check process does not run until the day's checks are posted (Tuesday-Saturday) by accounting.
Notification of check numbers, amounts and payto's needs to be created which is sent to the bank on a daily basis.

4.4.1 Check Message Process

The check message is standard on all RFR checks, which are printed on the check pay stub, and can only be altered by Administrative Clerk of the Court staff. Check references information can be entered to display on the check stub (case number, etc.) to help the payee identify how to apply a payment.

4.4.2 Check Control Process

Checks are issued in sequential order as part of the check control process. (R-40115548 + 1 = R-40115549)

4.4.3 Print Check Process

The Create-A-Check system is utilized for printing Restitution and Common Payto checks.

After the nightly process runs, either the Restitution or Common Payto check records are written to a file formatted for the check printing program Create-A-Check.

A group email notification from ‘Super-User [root@cocsun]’ with subject ‘Production Batch Runs’ is received with the file download information. This email notification also includes the number of checks written. Then, an FTP is used to retrieve a file by date selection. The selected file is downloaded to Create-A-Check for Accounting Operations to print the checks.

Accounting Operations prints checks from the Create-a-Check system on blank check stock. The nightly process creates negative check numbers in a Cash Management System table which updates RFR with the negative check numbers until the check run is posted by accounting (RFR menu item allows posting of checks by accounting).

Once posted, the negative numbers are changed to positive in the Cash Management System table as well as in RFR. The Check Register Summary report is printed from the RFR system and is compared with the *Create-a-Check* report to confirm the check number and amounts balance between the two reports. If the reports do not balance, defer to RFR.

4.4.4 Check Hold Process

As long as all check validations pass, a check is disbursed to the payee. Checks to payees are sent out the next business day unless one of the following pay type holds is placed on the payment.

When a payment processor posts payments in the RFR system, they designate what type of payment it is, whether cash or check. In some cases, a check hold is placed on a payment for a designated time period to confirm the funds are available before sending a payment to a payee. Money Orders and Cashier's Checks along with other types of checks are usually cut the next business day.

Checks automatically held by the system are sent to the check process once the hold expires.

- IPS – 7 days (system hold)
- Local – 11 days (system hold)
- Out-of-State 21 days (system hold)
- Check and Cash Code 'X' – 21 days (system hold)
- Separate (internal) hold placed for checks greater than or equal to one-thousand dollars ($1,000.00) for an additional 11 days. (manual hold)

Management requests that an automated hold be placed on checks for one thousand dollars or more. A select few have access to update the check hold days in the current RFR.

4.4.5 Void / Stop / Reissue Check Process

Returned checks are not automatically voided. The current business is to hold returned checks until they can be resent, voided, and in some cases reissued. A stop payment can also be issued at the payee's request through COSC contact with the bank for non-cashed checks. Stop Payments require bank paperwork. For example, a payee can report a check was not received. If the physical check is available, the check can be manually voided and reissued or sent to a new address. However, if there is no physical check (Check may be lost in the mail.) and the check has not been cashed, a Stop Payment can be issued.

Once a check is issued to a payee, it can be voided using one of two methods. The check can be voided manually at any time or by the Mass Stale Date Void process after a specified time period. Voiding a check removes the payment funds from the cash account in the General Ledger and posts it to the RFR as a Pending item. The Pending item can be resolved by reissuing the check.

If multiple payments are made towards an order but do not meet the current $15.00 amount threshold, the payments can be placed in Pending status until the threshold is met or a payee requests payment. If a payee requests payment prior to a payment reaching the check threshold, a manual check must be issued and an order entered repaying the COC for the issued amount. If a check is Reissued through the system, all pending items for reissue must be resolved to be issued as one check. Checks can only be reissued for the same amount as the original voided checkThere are two reasons for nonissue: no resolve code and check amounts do not meet the current threshold amount.

Items in pending because of a void (vck) can be resolved and include other payment items or not include all of the (vck) items, by resolving them through pending.

4.4.6 Mass Stale Date Void Process

Mass Stale Date Voids are processed using an application query in the RFR system around the 15th of the month to find un-cashed checks seven months old or greater. This process includes the gathering of checks dated seven months or older and voiding them.

4.4.7 Bank Reconciliation Process

Positive Pay is a fraud detection tool offered by the bank that is not directly interfaced with the RFR system. It is a process used to pass check information between the court accounting department and the bank that matches account and check numbers, and the dollar amount of each check presented for payment against a list of checks previously authorized and issued by the Clerk of Court. If all three components of the check do not match exactly, the bank will not honor the check. A file download of checks issued is extracted from the CFO system daily and sent to the bank in a format specified by the bank. A cleared check file is also retrieved daily from the bank. This file interfaces with the RFR system to update the check number with an asterisk (*) to recognize the check is cashed. Issues with checks are resolved using positive pay.

4.4.8 Ad-Hoc Manual Reconciliation Process

The clerk’s ad-hoc manual reconciliation process is a manual process used to correct bank error issues. Sometimes the bank may encode a check with an incorrect check number or amount.

4.4.9 Non-Sufficient Funds (NSF) Process

The Clerk’s Office contracts with the bank to send a daily notification of suspected NSF check items by means of fax to the accounting department. The intention of the notification is to determine what payers were allocated funds from the NSF item so appropriate actions can be taken to hold payment to a payee, retrieve or collect the funds if necessary.

On the first notification, the RFR group is notified by accounting and a hold is placed until sufficient time has lapsed to ensure the check item clears the bank. The bank is instructed to redeposit NSF check items a second time. If the item does not clear, the funds may be recouped from the RFR system and returned to the accountant for deposit into the bank making the RFR bank account whole. If the item has been released to a payee, an Order Type 94 is created to recoup the next available funds in order to make the RFR bank account whole.

If the NSF funds were released to one or more Common Payto Order Types, the funds will be recouped through the NSF Order Type 94. Order Type 94 is a Common Payto order where the Clerk of the Court is designated as the payee. Retrieving NSF funds using Order Type 94 includes processing a hand receivable that debits the affected Common Payto Order end of month check and credits Order Type 94 for the returned check item payment amount.

After a payment is made and allocated to a payee, a check is sent to the payee and is most often cashed. Simultaneously, the issued and voided check file is submitted to the bank. The bank then informs the clerk which checks are returned as NSF. Consequently, funds are lost but can sometimes be recouped by issuing Common Payto orders.

An NSF Fee amount is collected for each returned check item through another system.

4.5 REPORTS

Several RFR and custom (CJS) reports are used by COSC staff. The following information summarizes the reports utilized.

4.5.1 Payment History Report Process

There are many reports that the Clerk's Office uses. One of the most complete, complex and important reports is the Payment History. The Payment History is the official court record of the financial history of a case. It is available to the public, used by probation officers to aid in the tracking of compliance of their probationers, can be certified and used in the courtroom, and is also constantly used by the CFO unit in the processing of their daily work.

There are actually two versions of the Payment History, external and internal. Both versions include the same financial information, the difference being that the internal report includes the payees' addresses, while the external does not. Since the addresses of the payees are confidential, access to these reports is controlled through security. The Payment History can also be pulled up by the entire case number or by one payer on the case and printed to a screen, paper or file. It is imperative that this financial information is supplied in one place, easy to use, easy to view all of the information at one time, while not only being accurate, but supplying the information in real time.

Management requested payee party filtering functionality. Also requested is the ability to view scanned incoming (received) and outgoing (disbursed) check images, front and back for all check types.

4.5.2 Back End Suspense Report Process

The Back End Suspense Report is used to aid in the resolving of payments being held in Back End Suspense. Because payments held in Back End Suspense have not yet been allocated, the payers have not been given credit for the payments on the order level, thus

affecting the current or delinquency status of the orders. Therefore, it is important for the CFO unit processors to be able to identify and resolve these items easily. After a Back End Suspense item has been resolved, and the overnight processes runs, the payment is allocated and the funds can be released. The Back End Suspense report currently displays the transaction date, case number, payee name, receipt number, amount and the ID of the processor that input the original payment.

4.5.3 Pending Reports Processes

The Pending Reports are used to aid in the resolving of items in Pending. There is a variety of reports that can be utilized to pull up the Pending items, allowing the users to pull up listings based on Order Type, Reason Code, or a summary of all items by Order Type. This aids them in the resolving of Pending items, so the funds can be allocated and or released. The Pending report consists of items such as receipt number, drawer or batch, transaction date, case number, amount, order type, General Ledger number, payer name, payee name, payer party ID number, and payee party ID number.

Management uses the following reports on a regular basis:

- Pending and Back End Suspense Reports. These reports show volume and dollars. Items are listed in queues to be worked by CFO unit processors.
- Adult Probation Service Fees Report.
- Total Outstanding Order Report which reports order type, amount ordered and paid, and balance owed amount.
- Monthly Transmittal report of money clerks handle (New restitutions ordered on a monthly basis.
- Custom (CJS) Reports. The CJS reports were created to interface with RFR and produce reports (i.e., Pendingand Back End Suspense, payer receipt history) that the current RFR system does not provide.

4.5.4 Pending Disbursement Summary Report Process

The clerks can use the Pending Disbursement Summary report in order to see how much a payer owes for each item due. The clerks can run this report by different sort types such as order type.

4.5.5 Case History Inquiry Process

The purpose of the Case History Inquiry screen is to see case modifications within a specific date range. The Clerk’s office would like to use this report to see who updated specific case information.
Management would like to have more of an “audit history” report with various selection criteria available.

4.5.6 Stale Checks/Found payee Selection Edit List Process

The Clerk's office uses the Stale Checks/Found payee Selection Edit List and Post reports to identify which checks have not been cashed as well as determine within a specified period of time which ones can be voided as stale dated. There is a default date in the program, but this date can also be over ridden by the user. This report can be run at any time. However, current business rules dictate that it is run on a monthly basis. Once the listing of checks is created, the users can void them all or pick and choose which ones should not be included in the stale dating processes. When the check is voided, the funds that made up the check are then placed into Pending for VCK (void check).

4.5.7 RFR Check Register Report Process

The clerk's office uses the RFR Check Register report to identify checks that were cut for a specific day or series of days. This is then compared to the Create-A-Check report to check for any discrepancies. If there are discrepancies, they need to be identified and resolved. The Summary report displays the COC check number, payee name, check amount, and corresponding General Ledger document numbers.

The clerks use the RFR Common Payto remittance register report to identify all payers associated with Common Payto checks.

4.5.8 Check Reconciliation Error Report Process

The clerks use the Check Reconciliation Error report to compare bank check information with RFR check information in order to ensure the information matches. If the information does not match, then the clerks make adjustments in the RFR system to resolve the issue. If differences are discovered they are researched and then if necessary, resolved through an ad hoc program.

4.5.9 Unsupervised Probation Report Process

The clerks use the Unsupervised Probation report in order to assist the Adult Probation Department. This report displays all payments made by unsupervised persons. The probation department requests this report every six months.

4.5.10 Custom (CJS) Reports Processes

The CJS Reports were created and are maintained by COSC staff. The CJS Reports are ad hoc reports that are used as guides to aid in the resolving of funds in Suspense and Pending as well as supplying other information.

CJS Reports were created using an Access database tool that queries the Receipting System tables and the General Ledger and RFR tables to provide very useful information in report form for users. CJS Reports Processes include, but are not limited to:

- Suspense Item Reports
- RFR Checks Reports
- General Ledger Reports
- Miscellaneous Reports
- Pending Reports
- Payer's Receipt History Reports
- Payee History Reports

Management has concerns with user reports compromising system performance but expressed the need to have an ability to connect reporting capabilities to query the system to produce ad-hoc reports.

4.6 INTERFACES

4.6.1 Receipting Interface

In addition to the MEEDS and the RFR systems, the COSC uses its automated Receipting System as a front-end to the RFR system. The primary function of Receipting to the CFO unit is the receipting of payments. The COSC Receipting and RFR interface is utilized to receipt over-the-counter and batch payments processed by a cashier or CFO unit processor.

First, a Case Number and Service Code are entered in the Receipting application. When specified RFR Service Code indicators are entered, it triggers the interface between the Receipting and RFR applications and searches existing RFR case information.

If a case is found in RFR, any payers on the account with an active order and balance due are listed in the Receipting application and can be selected. When a payer name is selected, specified information is auto-filled in the Receipting application from RFR.

If no case, payer, or financial obligation is found in RFR, the payment item is placed in Front End Suspense to be researched and resolved at a later time. Payment items with a valid case number and payer party ID only will be sent to the RFR application for distribution.

The Batch Payment Process, also referred to as the process flow, is a component of the Receipting application that allows CFO unit processors to enter multiple payments at one time that are tracked in batches with deposit control totals.

When a valid receipt is saved for both over-the-counter and batch payments, the receipt number displays in the Receipting system and then a payment record is written to the Receipt, Receipt Item, and Case Payment tables. The Receipt and Receipt Item tables record the payment activity to the Receipting application, and the Case Payment records the payment for the RFR application.

The case payment record is then stored in the Case Payment table with a 'WAIT' process status. The Case Payment Table is the interface table between the Receipting and RFR applications. The 'WAIT' process status is utilized during the nightly allocation process to collect case payment information so payments can be allocated properly to account orders and payees. Payments display with a 'WAIT' process status for the case Payment History (Real-time) in the RFR application. The payer name is attached to display the Payment History (Party ID is attached to receipt) in the RFR application.

4.6.2 General Ledger Interface

General Ledger and RFR interfacing occur for General Ledger activity. The TTL drawer and batch close processes create summary (total of drawers or batches) General Ledger Journal Entries. TTL General Ledger Journal Entries debit the cash account and credit fund 4096. Fund 4096 allocates to various RFR GL Accounts (ie. Restitution -4001 or Probation Service Fees-4002). Batch processing General Ledger Journal Entries debit the cash account and credit fund 4095.

After the nightly allocation process runs, General Ledger Journal Entries linked to RFR Fee Code indicators are posted by accounting staff utilizing the RFR interface to the General Ledger the next morning. Different process codes are used for over-the-counter payments and batch entries to distinguish between the two. Cutting, reissuing, and voiding checks all create General Ledger activity.

4.6.3 MEEDS Interface

The MEEDS application interfaces with RFR to create cases. When Minute Entries are completed, case information (case, order, payer and payee (non-JSL)) entered in MEEDS is processed in the morning to the RFR application. Copies of Minute Entries (ME) are sent to a COC group email. After the account is available in the RFR application, processors review the terms and conditions and/or the minute entries received through a work flow to be reviewed for accuracy.

The MEEDS update process parses the Minute Entry documents for specified data needed to create an XML file. The XML file is then used to create an account in the RFR application. Account notes and JSL payee information are not passed from MEEDS and must be entered in RFR manually.

Enhancements requested from management are to improve the quality of the data passed from MEEDS to RFR for case and order information, particularly Order Types that are no longer updated by Integrated Criminal Justice Information System (ICJIS) as new legislation requires. The ability to check for duplicate orders and payers within an account is also needed.

In the case of JSL, account number, account status and order information alone create the account record. Payer and payee information are not passed from MEEDS to RFR. Account information, (specifically payee information), must be entered manually. Accounts are then linked by Party ID Number.

An email notification is sent to the CFO unit listing the number of records processed from the MEEDS update. If this number is zero, it means an error occurred during the MEEDS update process. In this situation, the clerks contact the COSC Information Technology Group (ITG). If the issue is not resolved by re-running the process, the data is entered manually by the clerks.

Each new sentencing order is reviewed for accuracy by CFO staff to ensure that the MEEDS to RFR interface correctly passes the data, and that no data is missing. From time to time, there are errors. Minute Entries can be received two ways for review: 1) Via email; 2) Through the OnBase Workflow.

Through MEEDS, a Portable Document Format (PDF) copy of each Minute Entry that “RFR” is endorsed on is automatically sent in individual emails to a shared folder in Microsoft Outlook. CFO staff primarily process Minute Entries and Terms and Conditions of Probation through the OnBase application’s Workflow process.

4.6.4 COSC Unclaimed Funds Web Interface

The COSC provides a public website for individuals and businesses to search for COSC unclaimed funds. The information on this website is updated on a weekly basisfrom unresolved restitution Pending items in the RFR application. The COSC unclaimed funds web page URL is http://www.clerkofcourt.maricopa.gov/Unclaimed/default_new.asp.

5. CONTENTS OF YOUR RESPONSE

5.1 If a vendor is interested in responding to any or all of the areas identified, COSC is requesting the following:

5.1.1 Detailed Written Response:

5.1.1.1 Product descriptions that provide information on the technical and functional aspects of the system. User Interface (UI) screen shots and training materials are preferable.

5.1.1.2 Information on implementation of a similar project with a Clerk or Court with substantially similar operations. The information provided should highlight the high level functionality of the system and any integration associated with the implementation.

5.1.1.3 The vendor must describe processes and resources utilized to maintain and update their software/systems.

5.1.1.4 The vendor should include information regarding its experience and capability to be flexible in meeting certain business and technical requirements that may be identified during the development or implementation of the vendor's product/application/system.

5.1.1.5 Discuss the nature of your proposed solution from an intellectual property perspective. Does the vendor retain all rights to all source code and enhancements? Please discuss how your source code is maintained and secured.

5.1.1.6 Discuss the supported computer hardware environment in which the proposed software will run. In the event there are multiple computer systems available, list all options.

5.1.1.7 Discuss the operating system that is supported by the proposed applications software and the proposed database management system in the hardware environment recommended above. In the event there are multiple operating systems available, list all options.

5.1.1.8 Discuss any products required to support the recommended computing environment and any additional vendor software products required to support your proposed application software. In addition, vendor must provide programming languages used for application source code

5.1.1.9 Discuss the Relational Database Management System (RDBMS) required to support the computing environment. List any fourth generation features utilized in constructing the proposed applications software and any optional end-user productivity tools.

5.1.1.10 Discuss any features that would allow a user to manage data allowing the ability to generate specialized or custom reports to access data through queries and information using a variety of formats.

5.1.1.11 Discuss the security features of the proposed application. The system must provide system and application security controls to prevent unauthorized use of the database, restrict access to the database, maintain database process controls, and to log all database transactions. In addition, the system should provide security to limit availability to application software screens, data elements, and the contents of data elements where appropriate,

5.1.1.12 The vendor should include information regarding its experience and capability to perform data conversion from a legacy application to the vendor's proposed solution.

5.1.1.13 The vendor should include an overview of its implementation, support, and training practices that would be provided for the proposed solution.

5.1.1.14 Discuss any post-implementation support provided by the vendor including: toll-free telephone support and hours of operation; delivery method of future upgrades and product enhancements; availability of users groups; problem reporting and resolution procedures.

5.1.2 Respondents may also take the opportunity to schedule a 2 hour presentation with select COSC personnel to present information and display product capability. If interested in such a presentation, vendors must express this interest in their response. COSC reserves the right to decide if presentations will be scheduled for some or any of the respondents.

5.1.3 A completed Attachment A, Respondent's Information, which includes contact information, including name, title, mailing address, email address, authorized signature, and phone number of the contact person for questions relating to the RFI.

6. HOW TO RESPOND

6.1 Submit one (1) electronic copy of the RFI response in portable format (Microsoft Word or PDF) via

1. CD; or
2. USB Flash Drive; or
3. by Email attachment.

6.2 Submit your response no later than **3:00 p.m., Arizona Time, April 12, 2013.**

6.3 Submit your response electronically or physically to:

Lois Rees
Management Resources
620 West Jackson Street – Suite 3017
Phoenix, AZ 85003
reesl@cosc.maricopa.gov

6.4 **Confidential Information:** To the extent allowed by law, information contained in a response to a request for information shall be considered confidential until the procurement process is concluded or for two years, whichever occurs first. This RFI and responses to the RFI are subject to the court rules specified in Arizona Public Records law. If a respondent believes that any portion of its RFI response is confidential and/or not subject to disclosure under the Public Records laws, the respondent must clearly identify those portions of its response and include a statement detailing the reasons why the information should not be disclosed and listing the specific harm or prejudice that may arise from disclosure. In the event the COSC receives a public records request for responses to this RFI, COSC personnel shall determine whether the identified information is subject to disclosure under the law.

6.5 **Reimbursement:** COSC will not reimburse any respondent for the cost of preparing and submitting a response to the RFI.

6.6 **Conclusion:** This RFI is a request for information from the vendor community. Unless existing contracts are already in place, COSC would need to pursue formal procurement prior to selection of any new product or system.

Attachment A – Respondent's Contact Information

REQUEST NO.: 2013 - 0315

Request for Information

Clerk of the Superior Court in and for Maricopa County, Arizona

620 West Jackson Street
3rd Floor
Phoenix, Arizona 85003

Arizona Transaction (Sales) Privilege Tax License No.: _____

Federal Employer Identification No.: _____

E-Mail Address: _____

_____
Company Name

_____
Address

_____
City State Zip

For clarification of this response, contact:

Name: _____

Phone: _____

Fax: _____

_____
Signature of Person Authorized to Sign

_____
Printed Name

_____
Title

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