COOK COUNTY GOVERNMENT

Office of the Chief Procurement Officer

Request for Proposal

(RFP) No. 1588-14346

For

New Document Management & Cashiering System
for Cook County Recorder of Deeds

Issued on

February 9, 2015

Proposals must be delivered to:
Office of the Chief Procurement Officer
118 N. Clark Street, Room 1018 Chicago, IL 60602
Attention: Shannon E. Andrews, Chief Procurement Officer
Proposals are due no later than 3:00 P.M. on April 3, 2015

There will be a Pre-Proposal Conference on February 24, 2015 at 10:00 A.M.
Location: 118 N. Clark Street, Room 1030, Chicago, IL 60602

Questions regarding the RFP should be directed to:
Renee Milton, Sr. Contract Negotiator
(312) 603-5818, renee.milton@cookcountyil.gov

___________________________________________________________________________________

Toni Preckwinkle      Shannon E. Andrews
Cook County Board President     Chief Procurement Officer
___________________________________________________________________________________
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INTRODUCTION

1.1 Background

The Cook County Recorder of Deeds (CCRD) office is responsible for recording any and all legal documents filed by the public in Cook County. The bulk of the documents are public records of land transactions that determine ownership of real property. CCRD’s mission is to record, store and provide information that is accurate, legible, timely, and easily retrievable for public and private use. The CCRD office also maintains a Property Fraud Unit to help home owners investigate fraudulent filings against their property and coordinate law enforcement efforts on behalf of fraud victims.

The recording operation in Cook County is large and complex. CCRD manages the second largest volume of documents in the country. It serves the public and other County offices such as the Cook County Assessor, Cook County Clerk, Cook County Board of Review, and Cook County GIS. The office records approximately 3,000 to 4,000 real and personal property documents every day and approximately one million per year.

CCRD, upon payment of proper fees and taxes, will accept any document that is authorized or required by Illinois law to be recorded, but only if the document contains required information and if it is photographically reproducible. A CCRD cashier will review the document for proper completion, collect the appropriate fees and taxes, and record the document.

CCRD is now seeking to modernize its Records Management application system for cashiering, indexing, and storing recorded documents (CCRD currently uses the Xerox GRM 20/20 system).

1.2 Schedule

The County anticipates the following Schedule:

<table>
<thead>
<tr>
<th>Event</th>
<th>Date/Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>RFP posted to the County website</td>
<td>February 9, 2015</td>
</tr>
<tr>
<td>Pre-Proposal Conference</td>
<td>February 24, 2015 at 10:00 AM</td>
</tr>
<tr>
<td>Proposer Inquiry Deadline</td>
<td>February 27, 2015</td>
</tr>
<tr>
<td>Response to Inquiries</td>
<td>March 9, 2015</td>
</tr>
<tr>
<td>Proposal Due Date</td>
<td>April 3, 2015 at 3:00 PM</td>
</tr>
<tr>
<td>Evaluation of Proposals</td>
<td>April/May/June 2015</td>
</tr>
<tr>
<td>Contract Award</td>
<td>July 2015</td>
</tr>
</tbody>
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1.3 Business Goals

CCRD seeks to replace the GRM 20/20 system with a new, technically advanced solution that will enable CCRD to achieve its external and internal business goals. The new solution must include all phases of the recording process and adapt to future advances in technology and changes in CCRD business and operational needs that will enable CCRD to continually improve its services to the public. The new solution should also comply with the Reference Architecture described in Appendix V.

A. External business goals include but are not limited to:
1. Enhance public service delivery:
   a. Improved Internet search, retrieval and delivery.
   b. Advanced E-Filing for public and third parties.

2. Create fully integrated, automated data exchanges with other governmental agencies.

3. Create “mobile” recording opportunities.

4. Enhance and expand electronic document filing capability

5. Enhance and expand fraud detection and notification capability

6. Create new opportunities for revenue generation including data sharing agreements with title companies and other non-governmental agencies.

B. Internal business goals include but are not limited to:

1. Increase internal efficiencies through automation of processes that are currently performed manually by:
   a. Reducing use of paper in day-to-day operations (electronic document and task management).
   b. Exchanging data and documents electronically with information-sharing partners (e.g., other agencies).
   c. Improve and expand internal management reporting capabilities including the addition of ad-hoc report generation.

2. Capture and manage performance metrics through dashboard displays and reports.

3. Manage current and forecast recording volumes.

4. Provide robust reporting capabilities focused on user definable customer service delivery metrics.

5. Provide a mechanism for continually satisfying security requirements and privacy protection.

6. Adapt to change: Remain responsive to changing internal needs by implementing a system whose business rules, data input screens, access controls, and workflows can be modified internally without programming assistance from the vendor.

The County is seeking companies that have a proven track record with government recording agencies. It is anticipated that if a contract is entered into as a result of this RFP, it will be a (3) three-year contract, encompassing full implementation, training, and maintenance including newer software releases/versions that may occur in the interim with two (2) one-year renewal options.
1.4 Key Personnel

The proposer must identify the key committed personnel to the project. The Chief Procurement Officer reserves the right to reject any key personnel proposed if it is determined in the County’s best interest. All key personnel must be committed to the project without competing priorities. The evaluation of proposals includes the qualifications of the personnel proposed; therefore, proposers to name key personnel as part of their proposal. Key Personnel must not be replaced during the project without the approval of the Chief Procurement Officer.

1.5 Teaming/Joint Ventures

The proposer may be comprised of one (1) or more firms as to assure the overall success of the project. The firm shall identify each team member and specify their role. The Chief Procurement Officer reserves the right to accept or reject any of the team members if in the Chief Procurement Officer’s sole opinion replacement of the team member, based on skills and knowledge, is in the best interest of the County. A Joint Venture acting as the Prime must identify each entity’s respective ownership percentage of the Joint Venture, and must summarize the role, degree of involvement and experience of each such separate entity. If a Joint venture is being proposed for this project, a signed formal, a Joint Venture agreement must accompany your submittal, and must be signed by an authorized representative of each entity that is a part of the Joint Venture.

If the proposer’s proposal includes software manufactured by a third-party, the proposer must:

1. Identify the third-party software manufacturer and provide contact information; and
2. Provide the third-party software manufacturer’s licensing agreement and any maintenance agreement; and
3. Provide an executed statement from the third-party software manufacturer, that the proposer has provided third-party manufacturer with a copy of this RFP and the County’s Contract and that third-party manufacturer agrees to participate in negotiations with the County to license third-party manufacturer’s software directly to the County under a licensing agreement that is satisfactory to the County.

Note that Cook County reserves the right to have a direct contractual relationship with third-parties for the purchase of third-party software and corresponding software maintenance, hardware, network equipment, other components directly through its own Countywide contracts or through direct negotiations with the proposed third-party software or hardware providers unless the proposer specifies in its proposal that there are constraints on such usage specified in existing contractual agreements between the proposer and the third-parties unless such recommended items are unique, intrinsic to the proposal, and can only be acquired through the Proposer. If the County exercises its right to have a direct contractual relationship with third parties for the purchase of third-party software, hardware, network equipment or other components, it will not be restricted to the terms and prices set forth in your proposal.
2. **Scope**

The Cook County Recorder of Deeds office (CCRD) plans to replace its current core application system (Xerox GRM 20/20). The current system is reaching the end of its useful life and needs to be replaced with contemporary technology. The GRM 20/20 system has three main functions: Cashiering, Document Image Management, and Management Reporting.

Any new system must support a re-engineered work flow at the CCRD offices that will streamline current operations and eliminate paper wherever possible. More importantly, the new system must offer a technology platform that takes advantage of the current state of technical innovation and serves as a flexible foundation for future innovations.

CCRD’s long term plan is to move as close as possible to full electronic recording using the PRIA Level 3 model. Proposers must show how their proposed solution can lead CCRD toward this goal.

*Functional Needs:*

The new system CCRD desires should provide the underlying automation structure for handling all of the office’s major functions. These functions are outlined below and described more fully in the subsequent sections of this document.

Proposals will be accepted from companies that:

- Currently have a working product installed at other Recorders’ offices,
- can present a credible plan for building a new system,
- can present a credible plan for integrating different systems or platforms into a unified application. For example, a company may propose using cloud based document or image storage functions coupled with existing accounting solutions, built around a contemporary data analytics engine. All such approaches will be considered by CCRD.

General Functionality of the Records Management Solution – More detailed requirements are provided in Section 4 of this document.

3. **Current State**

The GRM 20/20 Application was implemented more than 12 years ago and has undergone modest enhancements over that time. The GRM 20/20 Application was designed using Sybase’s PowerBuilder 4GL development tool running with Microsoft SQL Server 2000 Enterprise edition as the back end RDBMS. The GRM 20/20 Application database scheme can be broken into four distinct groups: system, cashiering, indexing, and imaging. There is currently no separate reporting database, with all reports and queries running off the production database.

CCRD’s current infrastructure is outdated and insufficient even for running its current systems. Response times are unacceptably slow, sometimes measured in minutes, and work productivity suffers accordingly.
The current desktop environment consists mostly of Windows XP running on desktop hardware that is, in most cases, ten years old or older. The current server infrastructure is shown in the diagrams in Appendix II.

The County’s Bureau of Technology (BOT) owns and manages all County network infrastructure including all Ethernet cabling, switches, telecommunications connections, Internet connections, and traffic routing, etc. CCRD owns and manages its own desktop and server systems including the servers hosting the GRM 20/20 system.

Any project of the size anticipated in this RFP will require the close coordination and cooperation of the County’s Bureau of Technology. County BOT and CCRD’s IT dept. will both play significant roles in the project implementation, with CCRD IT handling local networking and hardware/software issues and County BOT handling WAN, Internet, and County-wide data security issues. Vendors will be expected to establish good working relationships with BOT as well as with CCRD during the course of the project’s life cycle.

CCRD’s current accounting and reporting system is also outdated. CCRD uses an older version of the AccPac accounting package from Sage, Inc. This version of AccPac has no automated interfaces to the current cashiering and document management system GRM 20/20. Limited transaction information from GRM 20/20 is manually re-input to AccPac, creating an environment that invites errors.

Proposers must supply configuration diagrams similar to those found in Appendix II of this document for the infrastructure necessary to run their proposed solution at maximum speed and efficiency. In addition, proposers must specify what their standards are for maximum speed and efficiency.

4. Future State

For any sections herein, it is not sufficient to state “not applicable.” If not applicable, Proposers must provide a rationale. Furthermore, and if awarded, Proposer’s responses may be incorporated into the final contract.

Specific technology requirements are listed below and in the System Requirements Matrix (See Appendix III).

Functional Needs:

The new system CCRD desires should provide the underlying automation structure for handling all of the office’s major functions. These functions are outlined below and described more fully in the subsequent sections of this document.

1. Cashiering (Including document scanning and imaging)
2. Indexing
3. Search, Retrieval and Display
4. Mail processing & Shadow Systems
5. E-Recording
6. Web Site and Online Sales & Service
7. System Configuration Management
8. Reporting
9. Accounting
10. Interfaces and Data Sharing with other authorized gov’t agencies
11. Infrastructure (server and desktop)
12. Data Conversion
13. Non-Functional Requirements
14. Regulatory & Governance Requirements
15. Security Requirements

4.1 Cashiering:
CCRD is in the process of reengineering the entire document recording work flow and business process to create a more efficient overall operation based on the concept of a “Central Cashier”. The Central Cashier would not only combine the work of the six current cashiering functions, but it would also incorporate some portion of the work of the Review function and possibly the Indexing function. The re-engineered process being considered now includes:

A. Combining the current multiple types of cashier into one function (i.e. the “Central Cashier”) that can handle any kind of transaction.

B. Creating a new, two-step Quality Assurance (QA) function:
   a. “Scan QA” would be conducted by the Central Cashier immediately after scanning any document (very similar to what is done today).
   b. “Cashier QA” would be conducted by a separate functional area immediately after the cashiering process (i.e. after cashiering review, scanning, and taking payment) has been completed.
   c. The Cashier QA function must be available in real time so it can happen as an integral part of the cashiering process.
   d. The Cashier QA function must also be available remotely so QA staff in one office can review, in real time, documents being recorded by cashiers in another office.

C. Eliminating all photocopying, both by the customers and by CCRD staff:
   a. A properly implemented QA process akin to the one described above should eliminate the need for photocopies
   b. This reduces the problems of paper movement throughout the office and significantly reduces the paper shredding process.
   c. All original documents would be returned to the customer after recording.

D. Moving a portion of the Indexing function to the front of the process:
   a. Implement the same document types for Cashiering and Indexing
   b. Categorize document types differently using a structure like the following:
      i. Primary types
      ii. Sub types
      iii. “Action” descriptors (e.g. “Correction”, “Amendment”, “Release”, etc.)
      iv. Surcharge “Check Box”
      v. Transaction types (the current system conflates doc types with transaction types)
c. Have Cashiers do initial indexing (i.e. enter Primary Doc Type, Grantor & Grantee, etc.)
d. Have proposed “Cashier QA” process ensure quality of data entry by cashiers
e. Remove the barriers to the transfer of index information from cashiering to indexing that exist currently
f. Reposition Indexing as a more far reaching, back-end QA process. Having Cashiers do initial indexing (simply by not discarding information already entered) will reduce data entry needs in the current Indexing function, thus allowing that department to focus more on correcting errors and researching uncertainties.

E. Creating a new Central Work Queue for the Central Cashier:
   a. This queue would contain every type of work a Cashier would handle, and consist of:
      i. Documents sent via any type of mail
      ii. Bulk documents dropped off by Title Companies
      iii. E-Recording documents
      iv. Walk-in customer documents
      v. All sales and recordings including certified copies
      vi. QA on documents handled by other Central Cashiers
   b. This new queue would be most effectively handled by cashier supervisors who should allocate the work based on observed conditions on the floor. For example, if the supervisor saw a long line of walk-in customers developing, the queue could be managed to temporarily prioritize walk-in work over bulk.
   c. The queue could also be managed in a way that would alternate the types of work each Cashier might do. For example, a supervisor might want three Cashiers to handle bulk for an hour while three more might exclusively handle e-recordings during that period, then switch so each cashier does what the other ones were doing in the previous hour. Alternating in this fashion throughout the day should help achieve the following operational goals:
      i. Continual cross training
      ii. Reduction of burnout by providing more varied work
      iii. Error reduction from shorter time intervals doing repetitive work
      iv. Better productivity measurements since all Cashiers would do all types of work
      v. Better walk-in customer service times
      vi. Cashier-wide buy-in to new QA goals because all cashiers do all jobs

F. Expanding the capabilities of document scanning and imaging:
   a. Support different image formats, including the most popular formats for document scanning and digital photography, and easily convert images from other scanning systems and products.
   b. Provide the ability to create (and sell) electronic delivery of image files.

G. Incorporating Front Line Fraud Detection into the Central Cashier position:
   a. Allow property owners to sign up for fraud alerts via web site or in person at point of sale during the recording process
   b. The alert system should allow alerts to be automatically sent out to a property owner via email and/or recorded phone message immediately upon any recording activity applied to that Property Index Number (PIN).
Any proposed system must be capable of implementing a centralized cashiering work flow similar to that described above. It is particularly important to provide the ability to conduct real time quality assurance (QA) on work being recorded by cashiers at any location doing any kind of recording including e-recording. Any new system must have the ability to do remote real-time QA for work in any office from any office.

The Central Cashier work flow is represented in the following schematic diagram:
Additional Cashiering Requirements (NOTE: the item numbers below correspond to item numbers in the Requirements Matrix spreadsheet that accompanies this RFP):

9. Provide stringent controls on closing the previous day’s work prior to opening a new one.
10. Allow supervisors to reopen previous days’ work to correct errors through access controls that allow only the designated supervisor to reopen specific work, either by assigning cashiers to a supervisor or through some other access control method. Maintain detailed, auditable logs of any reopening of prior days’ work that includes the original cashier’s ID, the Supervisor ID, doc number, etc.
11. Cashiers must be able to change a doc type after the bar code is printed. In the current system, if a doc type is incorrectly selected and a bar code is printed, the entire document must be deleted and then re-recorded (including any Tax Decs associated with the doc). The new system must provide a function for changing a doc type without deleting and re-recording it. This function should also update the prices to reflect the different doc type and print out a new bar code.
12. The current process to reprint a receipt for a transaction is clumsy and time consuming. The new system must provide a user friendly function that will reprint a last receipt subsequent to a document’s recording.
13. When recording a new subdivision (i.e. when there are multiple lots), the cashier must be able to choose the number of lots and have the system calculate the correct price without Supervisor intervention.
14. Provide a “duplicate check number” prompt if a check number is accidentally entered twice for a given recording.
15. When working with a customer who pays via Account (a.k.a. Delayed Billing):
   a. Provide the ability to search for an Account using the account number as well as the account name. Documents are often delivered with just the customer’s account number.
   b. When recording multiple docs for an Account, the Account information must be reentered for each doc. The current system does not autofill just by typing in the Account name (and there is no drop down list to choose from). This capability should be available for all repeat (i.e. regular) customers regardless of payment type.
   c. The Account record should contain any regular fee waiver information. Then, when recording a doc for that Account, the system should automatically deduct the waived fees from the price.
   d. Customer account information should also be available from a drop down list.
16. Well defined and clear error messages must accurately pinpoint the source of an error, e.g. if the zip code field is mistakenly left blank, the system must identify that field as being the problem. The new system must not rely on generic error messages.
17. The system must have a “Holding Queue” for suspended transactions. Suspended transactions must remain in the queue until recorded, deleted by a Supervisor, or automatically deleted once it reaches a configurable hold time frame. For example, if a customer submits a document that requires a clarifying phone call, the current system
requires that the entire recording must be deleted and reentered when the customer returns the call.

18. Provide an “Override Queue” that supervisors can monitor and act on from their own workstations rather than requiring them to do the override at the cashier’s workstation.

19. Allow a front line cashier to start (but not complete) recording a doc before entering information from the customer’s check. Sometimes the customer still needs to fill out the check, which currently requires the cashier to wait for the completed check to start recording.

20. Allow user friendly keyboard navigation such as tabbing across fields, alt-key shortcuts, etc.

21. Provide bar code creation and printing equivalent to the current system’s capabilities.

22. Provide batch scanning capability for handling large bundles of documents.

23. Supply all basic cashiering functions including at least:
   a. Support image scanning in multiple image formats (e.g. jpg, bmp, etc.)
   b. Support and accept payment charged to an account (i.e. customers who pay on account)
   c. Support end of day reconciliation for customers who pay on account
   d. Distribute funds to specific revenue codes
   e. Display document types from a drop down menu and allow “type ahead” to enter doc type codes
   f. Display all the fields the current system displays
   g. Display payment information for the transaction
   h. Display for preview the bar code and fees on the screen and display the fees on the printed bar code
   i. Print a receipt automatically
   j. Create an audit trail record with date/time/user ID/field modified/before-after entry performed and associate the appropriate user to the transaction
   k. Make available an audit view through the user interface
   l. Support all selections in the Reporting Options Selection screen viewed by supervisor
   m. Accept all address information off a paper check into a customer information section of the system
   n. Enter the check numbers for each check received and perform check searches by date, agent, or check number to locate and automatically link to individual checks in any transaction, and to alert for duplicate check numbers from being entered for any given customer
   o. Processes overpayment amounts and issue refunds, prompt cashier for “Refund Form”, and print out company name, check number and refund amount
   p. Capture the number of pages in the document
   q. Be able to print electronic tax stamps and other current label information directly onto documents without printing labels
   r. Be able to position the electronic indicia (e.g. tax stamps) to print on any available space on the document. (Remand to committee for decision)
   s. Capture and process all check information electronically (a la Walmart or any bank) so checks can be immediately returned to customer
t. Be able to compare checks to a user maintained list of bad check passers and reject the transaction, plus show history of NSF and other fees owed.

u. Allow CCRD management to create prompts for cashiers to make special offers to customers, e.g. a Military Discount Card.

4.2 Indexing:
The current system is built around a traditional data indexing structure in which the metadata about document images (a.k.a. the Indexing data) is manually entered by a separate date entry group after the recording and cashiering functions have been performed. This group views previously scanned images of the documents on a computer monitor and visually extracts relevant information that is then manually entered into various indexing fields. No relevant indexing information is currently carried over from the cashiering process into the indexing process (any such information that is captured at cashiering is lost in the transition to indexing).

The new system must provide a more efficient method for indexing images. At the least, this must include the ability to carry over indexing information and scanned image files from the cashiering process to the indexing process. More importantly, vendors should either already have, or be developing (and if developing, should have an estimated completion data for) the ability to carry out more automated indexing that might include:

- Advanced Optical Character Recognition (OCR) technology that can accurately and consistently read unpredictably formatted document images and transform all information in those documents into usable unstructured data.
- The use of keywords, tags or other loosely structured metadata identifiers possibly derived from the OCR function.
- Multi-level document type indexes, (i.e. Primary types, sub types, and other types of categorization)
- The ability to auto-index, particularly with e-recorded documents.
- The ability to interface to other County systems to verify the accuracy of information where the database of record for that information is housed on those other County systems, e.g. PINs, legal descriptions, property addresses, etc.
- A future scenario of big data storage and analytics focusing on the content of fully electronic documents (this may require a move to PRIA Level 3 e-recording or a fully implemented OCR function as described above).
- Support dual-entry validation of indexing data for improved accuracy of the index data.
- Provide a user configurable, rules based, automated "Exception" queue for docs that were recorded with errors (e.g. bad execution date) that require manual review.

The new system must provide an escalation path for at least three levels of review, which can be distinguished by doc type and/or reviewer responsibility.

a. Escalated items must be sortable into queues by doc type, exception type, or reviewer responsibility.

b. Queues must be assignable by Supervisors to individual reviewers.
c. Indexers must be able to directly forward items to the next level of review without performing any other indexing functions.

d. Documents sent to the next level of review or QA must be fully correctable at that level.

All indexing and escalation actions must be logged, and the logs must capture at least:

- the name and user ID of each level of indexer
- workstation ID
- the document type, doc group, and batch ID
- date-timestamps for escalation and resolution
- text fields for escalation reason and escalation resolution
- Before and After values of the changed data element
- general comments or remarks

None of these fields should be visible in public document search results.

The system must also be able to re-route an escalated item back to any previous level along with instructions on how the previous level should resolve the problem, and also allow the item to be corrected by the person reviewing the document at the escalated level.

**Additional Indexing Requirements (NOTE: the item numbers below correspond to item numbers in the Requirements Matrix spreadsheet that accompanies this RFP):**

13. For documents that cannot be fully indexed automatically, daily work must be arranged in queues by doc type and by user defined doc groups (by date, by type, by customer, etc.). Queues must be assignable by supervisors to indexers in real time

14. Provide a search mechanism based on any of the following data items to see if a document is related to another document. Search by grantor/grantee, PIN, property address, etc.

15. Provide the capability to enter a reference document number if a previous document is tied to the current document. This reference number must then become a hyperlink to that other doc.

16. Provide a user configurable indexing rules engine that will allow certain indexing functions to happen automatically, e.g.
   a. Auto populate PINs for certain doc types (assuming a real-time connection to the “PIN Map” database of record for all County PINs),
   b. Display a check box that is automatically checked if a legal description is required,
   c. Display related PTAX information (if the IDOR My Tax link is automated) or PTAX document image.

17. Document images must have the ability to be rotated through a full 360 degrees.

18. Provide data integrity features so that, for example, document execution dates cannot be greater than document recording dates.

19. Provide a "release to web" function that will make the document available on the CCRD web site for public searching, viewing and purchase.
20. Allow field by field redaction while preserving the underlying data and making the unredacted data available for viewing by authorized personnel.

4.3 Search, Retrieval & Display:
The current system, in both its local version and its web version, suffers from certain shortcomings including slow response times, limited search criteria (e.g. the current system does not provide the ability to search by property address), and substantial system overhead incurred while searching. In addition to replicating all current search functionality in the existing system, any proposed system must provide:

1. Search capability on any indexed field for both the web search and the local system search.
2. Linking capability to conduct further searches by any indexed field associated with a search result. For example, searching by Grantor/Grantee name may return a number of different property records, each with its own PIN. Each PIN should itself be a search keyword and clicking on it should bring back all records associated with that PIN. (This capability already exists in the current system.)
3. Minimal latency when returning search results, no more than 1 to 3 seconds for either online or local search
4. Separate search database indexes (or some comparable method) so that conducting searches inflicts no system overhead on recording, cashiering or indexing.
5. Expand the current search capabilities to include other search criteria, e.g. searching by property address.
6. The current system’s search capability times out for large searches and also produces inconsistent results, for example, a search on a narrow range of dates may produce no results, but a search on a wider range that include the original narrow range will produce results within the narrow range. Search results must be returned in a timely, accurate, and consistent manner without excessive timeouts.
7. Track and display history of recent searches.
8. Present document images in a separate window that can be sized by the user (for both web and in-office users), and save the window size and screen location between documents and searches in that session
10. Provide the ability to print a document locally that is found by searching. Docs found in web site searches must only be printable after payment is received.

4.4 Mail Processing & “Shadow” Systems:
CCRD currently maintains several ancillary systems (sometimes referred to as “shadow” systems) used to track information that is not captured by the current recording system. Tracking information includes incoming and outbound mail, particularly for express mail such as FedEx; Military Veteran Separation documents; Notarial records, and other information. The functions of these systems must be incorporated into any proposed new system.
These ancillary systems are built in either Microsoft Access or Microsoft Excel. Each system is a single function system designed to track some element of the recording process, and each accesses a single, stand-alone database. These shadow systems are:

- Express Mail System (MS Access)
- U.S. Postal mail tracking system (Excel)
- Military Separation (DD214) System (MS Access)
- Notarial System (MS Access)

*Mail Processing (Express Mail and U.S. Postal Mail):*

The purpose of the two mail tracking systems (i.e. the MS Access and Excel systems) is to enable customer service personnel to respond to customer inquiries about the status of the recording packages they have sent to CCRD. All of these tracking functions must be incorporated into the proposed new system.

Tracking functions include at least:

- Sender’s name and address
- Date and time of arrival
- Sender’s check number and check amount
- Inbound method (e.g. FedEx, UPS, U.S. Mail, etc.)
- Mail service tracking number (e.g. FedEx tracking number)
- Return address to which recorded docs should be sent
- Requested return date
- Requested return method (e.g. FedEx, U.S. Mail, etc.)
- Actual return date
- Number of documents in package

The proposed system must provide a way of keeping this tracking data associated with the documents throughout their recording life so that mail handling employees can simply work from a queue to send outbound mail to its proper location, and by the return method requested. Searching, reporting, sorting and viewing should be available using any field of information.

The Express Mail System created to track express mail has the following shortcomings that must be remedied in the new system:

a. Need ability to search and sort by check number
b. Need to know the actual (vs. just the requested) date/time and method of return for docs sent back to customers after recording
c. Need to be able to create new customer accounts
d. Need ability to send email to customer when recorded document is sent back to them

*Military Separation (DD214):*
CCRD offers free recording services to U.S. Military veterans for recording their military separation document (the DD214). These documents are NOT public documents and are NOT available for search or retrieval by the public, or by unauthorized CCRD employees. These access restrictions must be part of any new system installed at CCRD. Information captured about the DD214 includes:

- last name
- first name
- middle initial
- dd214 document number
- branch of service
- recorded date
- discharge date
- validated by
- validated on
- remarks, comments
- input on
- input by
- last update by
- updated on
- dd214 checked out
- status

**Notarial Records:**

CCRD keeps records for any Notary Public to record their Notary authorization as required by Illinois law. Information on notary records includes:

- notary last name
- notary first name
- Commission expiration date
- address
- apt, unit, etc.
- city
- state
- zip code
- phone number
- name of employer
- doc number
- recorded date
- execution date
- notarial doc number
- comments
4.5 **e-Recording:**

The area of e-recording provides vendors with a unique opportunity to present a future technology vision, even if the capabilities presented are not yet available for purchase. Some of the areas that CCRD is interested in exploring are:

1. CCRD currently employs e-recording at PRIA Level 2. CCRD would like to expand its use of e-recording and lay the groundwork for implementing full Level 3 for all major document types (i.e. those that make up 90% of the current work volume).

2. A rethinking of the Indexing function. In the era of big data analytics it seems archaic to wrestle with manual indexing of scanned document images. Instead, CCRD would like to hear vendor ideas on how the entire process of Indexing might be re-engineered, possibly using Level 3 e-recorded documents or an advanced OCR capability, so that no active indexing might be necessary. In the world of completely electronic documents, every word or number in a document might become simply an element in a large unstructured database. This might enable a number of automated tools to be employed to facilitate efficient searching of documents based on any bit of content. It could also enable the CCRD database to become a source for advanced data analytics.

3. The ability to create electronic templates for specific document types that would be made generally available on the Internet to qualified parties. This would allow those qualified parties (e.g. title companies, lawyers, banks, etc.) to create documents entirely electronically and never produce a hard copy for recording purposes. This type of approach could be used to augment, or eventually replace the current “catcher” based architecture. The catcher is only necessary when document types are not standardized. A standardized, wholly electronic document should be transmittable directly to the recording system.

4. Building in automatic error correction so that, for example, PINs cannot be applied to the wrong street address, and documents cannot be misidentified as the wrong document type.

5. Even when working at Level 2, E-Recording needs to display the full document without forcing the cashier to scroll down. This allows the cashier to see that a legal description or some other relevant information is present without having to scroll. E-recording must display the full doc as the default presentation, with a zoom capability to focus in on specific areas of the doc.

6. Kiosks: CCRD wishes to explore the deployment of kiosks around Cook County that would allow customer to conduct a form of e-recording at the kiosk, with those documents being routed to CCRD’s e-recording process and be handled by CCRD simply as another e-recorded document arriving in the queue.

*Additional e-Recording Requirements:*
7. Display the e-recording documents, ready to be recorded, in chronological order (user configurable for either FIFO or LIFO).

8. Provide the ability to either reject an entire bundle of documents or a single document from a bundle while retaining the rest of that bundle for recording, and sending the rejected item(s) back to the originator along with notification of rejection via email or other electronic means.

9. Provide a Reason for Rejection field (drop down and text entry) that explains the reason for document rejection.

10. Allow cashiers to display the next document by clicking on a “Next Doc” button (or some equivalently user friendly method).

11. Allow cashiers to display the next page of a document by clicking on a “Next Page” button (or some equivalently user friendly method).

12. Automatically number the pages in the document.

13. Provide the ability to void a recording that has been previously recorded.

14. Provide all cashiering functions to e-recorders, but make them configurable according to user defined rules.

15. Provide the ability for e-recording submitters to validate their submissions prior to sending according to the CCRD defined rules.

16. The system must be able to notify staff when e-recordings have been recorded.

17. The e-recording system must keep a complete audit log of each document including the first submission date/timestamp, rejection history, and recording date/timestamp.

18. The system must return a complete, recorded image of the document (as recorded) to the submitter within 3-5 seconds of recording.

19. Automatically index e-recorded documents based on user configurable index criteria.

4.6 Web Site and Online Sales & Service:

CCRD currently maintains a web site (http://cookrecorder.com/) that allows the public to search for and purchase non-certified copies of the records on file at the Recorder’s office. Any new system must provide either:

   1. A fully functional interface between the existing web site and the new recording system providing all current search and purchase capabilities and capturing all relevant data including monetary and other transaction information, or

   2. A new web site with such integration. If this option is chosen, provide:

      a. User managed web content management to allow the creation and maintenance of web content and the addition of new functionality, e.g. the ability to sign-up online for CCRD’s property fraud protection service.

      b. Reports that track Web site visitors, where they’re coming from, what they’re looking for, how they interact and identify trends in a very simple way.

      c. Advanced user event reports that define custom events to track actions across the Web site and include specific metadata information used to generate advanced reports with multiple filters.

      d. Provide an image preview feature that prevents screen scraping or other unauthorized ways of obtaining doc images without paying.
e. Provide customizable query capability for the public to create their own highly tailored query (e.g. all Reconveyance within a range of zip codes over a defined time period), and a flexible pricing mechanism for charging customers based on the complexity of the search (or some other pricing policy).

f. Any new web site must be fully functional in all popular browsers including Microsoft IE, Mozilla Firefox, Google Chrome, and Apple Safari.

g. Any new web site must have a fully functional mobile equivalent with full operational capability on Android phones and tablets, iPhones, and iPads.

h. An architecture that will scale properly with increases in web traffic, even very large increases.

3. **GIS Interface:** In addition, the new web site should have an interface utilizing GIS Services rendered from the County GIS Enterprise and a display of the County’s Property Portal (http://www.cookcountypropertyinfo.com/Pages/PIN-Search.aspx). CCRD envisions a website that will allow the public to search for property documents using a GIS based interface. The application will produce the requested search results along with photos of the property and render GIS data. Additionally, the application should display a list of recorded documents showing chain of title for the property.

CCRD would also like to work with the selected vendor on potential enhancements to the functionality of the current site, e.g. enabling the site to search by property address.

The current web site produces significant revenue for CCRD, but it could be improved and made more comprehensive in order to produce more revenue. Any new web site must also prevent “screen scraping” and other means of obtaining CCRD data without submitting the required payment. Suggestions for such improvements are encouraged from proposing vendors.

### 4.7 System Configuration Management Requirements:

1. The new system must provide extensive configuration control and management control over system variables including, but not limited to, the areas listed below. These management parameters must be changeable (i.e. add, delete, modify) by authorized users without programmer or IT intervention.

2. User ID creation, management, and Access Controls: CCRD must be able to add, modify and delete users on the system. The system must also be equipped with comprehensive access controls that allow management to assign user access to individual system pages and/or workflows, system tables (down to the field level), and system resources.

3. Primary Document Types: CCRD must be able to add, modify, or disable (but not delete) document types that can be used by both the Cashiering and Indexing functions. The “disable” function would remove that doc type from availability for use on newly recorded or indexed
documents, but would not affect any documents already categorized under that document type including searchability.

4. Document Sub-Types for Indexing: Same criteria as for Primary document types

5. Document Modification-Action Types for Indexing: A “Modification-Action” is a further type of categorization beyond Type and Sub-Type. Examples would include “Correction, Amendment, etc.”, i.e. attributes that can be applied to any doc type or sub-type. These must follow the same add, modify, delete rules as those used for document types.

6. Cashiering Transaction Types: CCRD must be able to add, modify, or disable (but not delete) transaction types used by Cashiering. The “Disable” function would remove that transaction type from availability for use on newly recorded documents, but would not affect any documents already categorized under that transaction type. Examples of transaction types include: certified copy, non-certified copy, plat copy, NSF charge, etc.)

7. Cashiering Surcharge “Check Boxes”: CCRD needs to add surcharges to various transactions from time to time, and refers to these surcharges as “check box” items because it is akin to checking a box on the screen that would add the surrogate to any transaction (though in the current system, such check boxes do not actually exist). Examples of such surcharges are: Affidavit, Rental Housing / Cook County Real Estate, Return Mail, Penalty. The new system must accommodate this surcharge need, and allow CCRD management to add, modify or delete surcharges as necessary. However, this capability does not actually have to be implemented as on-screen check boxes. Alternative methods will be considered.

8. Pricing for Transaction Type, Cashiering Document Type, and “Check Boxes”: All pricing information must be tied to Primary document types (though not sub-types or modification-actions), transaction types, and “check box” surcharges. CCRD management must have the ability to add, modify, or disable (though not delete) any price. The “Disable” function would remove that price from availability for use on newly recorded documents, but would not affect any documents already recorded under that price. Prices must be automatically calculated by the Cashiering system and applied to any transaction being entered by a Cashier. Cashiers must not be required to do any manual calculation on any transaction type, doc type, or surcharge.

9. Provide user configurable work flow definitions and steps. CCRD management must have the ability to create and modify work flows for various work groups including e-recording, with the work groups being assigned via access controls as described in Section 4.15 of this document.
4.8 Reporting Requirements:

1. The new system must ensure that all reports and screen information are consistent and can be reconciled to each other, especially information about customer accounts (the current system has problems in this area).

2. Provide comprehensive staff productivity reports for supervisors:
   a. Current system shows cashier start time as the time the first doc is recorded. New system must also show the time the cashier logged in and logged out
   b. Must be able to see how long a transaction takes, plus average transaction times (by doc type) and variance of times
   c. Supervisors must be able to monitor in real time to see each cashier’s time for handling customers (at walk-in) or document bundles (bulk recording).

3. Existing productivity reports must be replicated (see examples below):
   a. Indexing statistics by employee, by date, by document type, exportable to an Excel pivot table with expandable/collapsible views, sortable by date and by employee, with filtering capabilities to select only a subset of dates and/or employees.
   b. Cashiering statistics with the same capabilities as the Indexing report
   c. Skipped/Missing documents with the same capabilities as the Indexing report

4. Business Management reports should include, but not be limited to:
   a. Online sales data by document type
   b. Walk-in sales data by document type
   c. Monthly sales volumes by document type
   d. Recording volume by channel (i.e. walk-in, bulk, mail/FedEx, e-recording)
   e. Recording volume with dollar amounts for at least Recordings, certified copies, transfer tax stamps, No-Fee transactions, penalty items, etc.
   f. Recording volume by customer
   g. Sales volume by customer
   h. Cost of sales
   i. Cost of recording by document type
   j. Ratio of sales to recording by document type
   k. Account activity report for any given account, for a selection of accounts, or for all accounts, sortable by date range, by account name, by account number, by document type, with subtotals and totals, exportable to an Excel pivot table similar to those used for productivity reports.

5. Accounting Reports should include at least:
   a. Daily transaction totals for each cashier.
   b. Consolidated cashier reports—Distribution (i.e. allocation of funds into selected buckets), Refund, and Void—to show cashiers’ previous day’s work.
   c. Consolidated report for each bank.
   d. Consolidated reports showing cashier and other activities broken down into the fee-types, e.g. Billing, No-Fee, Internet Pay Down, etc.
   e. Daily consolidated reports from each cashier for each month.
f. Activity within various configurable parameters such as Fee Type, Doc Type, Online sales, etc.
g. Activity and balances for customer accounts.
6. Additional Cashiering reports including, but not limited to:
   a. Receipt reporting
   b. Check reporting listing all check transactions with date/time stamp, cashier ID, check number, check amount, submitter, and payer, with totals displayed for each category
   c. Audit reports by Cashier ID showing all daily activity
   d. Voided transactions showing cashier ID and date/time stamp, reconciling to a report of rejected documents
   e. Cash balancing report showing, in both summary and detail formats:
      i. County recording fees
      ii. Total transfer taxes
      iii. Totals for each document type
      iv. Totals for each payment type
      v. Totals for each transaction type
      vi. Totals for each account type
      vii. Bank deposit amounts
      viii. Total transactions
   f. Summary report showing total number of docs recorded within a specified date range, with totals broken out by doc type
7. Be capable of producing Executive dashboards with Key Performance Indicators to provide instant real time status.
Examples of productivity reports can be seen below.
## Indexing Statistics By Day

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<th>User Name, First Name-Indexer</th>
<th>Recorded Date</th>
<th>2014-09-18</th>
<th>2014-09-19</th>
<th>2014-09-22</th>
<th>2014-09-23</th>
<th>2014-09-24</th>
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<td>246</td>
<td>247</td>
<td>230</td>
<td>210</td>
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<td>214</td>
<td>861</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Last Name, First Name-Indexer #3</td>
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4.9 Accounting

CCRD uses an older version of the AccPac accounting package from Sage, Inc. This version of AccPac has no automated interfaces to the current cashiering and document management system GRM 20/20. Transaction information from GRM 20/20 is manually re-input to AccPac, creating an environment that invites errors.

Proposing vendors must provide an accounting solution as part of the overall bid that will replace the accounting functions provided today through AccPac. The accounting functions may be supplied either as part of the document management & cashiering system, or as a third party add-on system. However, any third party system must be fully integrated into the overall system so that accounting entries flow seamlessly from cashiering to accounting. In addition, CCRD requires extensive collection reporting to enhance and ease the overall accounting processing function.

1. The Accounting reporting system must, at a minimum, be able to:
2. Generate daily transaction totals for each cashier.
3. Print a cash receipt with daily transaction totals for each cashier.
4. Generate consolidated cashier reports—Distribution (i.e. the allocation of funds into selected buckets), Refund, and Void—to show cashiers’ previous day’s work.
5. Generate a consolidated report for each bank.
6. Generate various consolidated reports showing, by dollar amount and by transaction volume, cashier and other activities broken down into the fee-types, e.g. Billing, No-Fee, Internet Pay Down, etc.
7. Produce reports sorted by various user configurable data elements.
8. Produce reports sorted by customer account number.
9. Generate several daily consolidated reports from each cashier for each month.
10. Remit money to the County, State or other Gov’t entity via ACH.
11. Create customer billing and statements directly from the new system and track account balances daily.
12. Make journal entries into the Accounting system.
13. Provide user friendly update capability for maintaining customer account information, fee-type information, fees, bank account information, and other necessary information.
14. Collect and integrate all necessary transaction information about online sales from the CCRD web site and produce corresponding accounting and management reports.
15. Able to export reports in various formats including .csv and Excel.
16. Able to flag and upload bounced check customer names to notify cashiers not to accept checks from those customers.
17. Able to add, modify, and delete fee information from Fee Tables (Admin access only).
18. Able to add new Accounts Receivable accounts for delayed billing and for Internet prepay client accounts.
19. Create overall financial statements including income statement, cash flow statement, balance sheet, trial balance, etc.
20. Account status including all invoices created and paid must be updated in real time.
21. Generate Accounts Receivable and Accounts Payable aging reports and customer activity history reports.
22. Provide a web interface for customers to check their account activity and invoice status.
23. Create audit capability for all billing activity.
24. Provide options for closing an account period by month.
25. Allocate funds to correct bank accounts at each bank based on service type.
26. All accounting reports should be available by day, month, quarter, year or custom date range.
27. Process refunds (Accounts Payable) to include the following:
   a. Credit account holders appropriately
   b. Issue refund checks for non-account customers
   c. Accumulate refund amounts over a month and issue one check at end of month
   d. Eliminate refund receipts for account customers. Produce monthly statements instead
   e. Produce summary reports and statements for all account customers showing monthly activity, beginning & ending balances, etc.
   f. All refund activity must be fully logged and auditable.

4.10 Interfaces and Data Sharing with other authorized gov’t agencies

Outbound Information Flows:

CCRD is one of five Cook County agencies commonly referred to as the Property Group. The other four agencies are:

- Cook County Clerk
- Cook County Assessor
- Cook County Treasurer
- Cook County Board of Review

Other government agencies with a need to access CCRD data include:

- County Sheriff
- County Land Bank
- County Property Portal
- County Commissioners
- County Hospital System
- Illinois State’s Attorney
- Illinois Dept. of Revenue (IDOR)
- City of Chicago (various depts. Including Police, Buildings, Corporation Counsel, etc.)

Information about recordings involving real estate must be sharable with these agencies in a non-real time manner. This task is currently handled by manually creating export files according to a semi-regular schedule, then manually transferring those files to a common repository for access by other agencies.

Any new system must provide the ability to create customizable, access controlled views of CCRD data with appropriate APIs so that other County agencies can access the data they are authorized to see whenever they need it, without requiring CCRD personnel or the system itself to create files for transfer. Appropriate access controls must exist that will enable CCRD to grant access to specific, field level data for specific agencies, while not allowing those agencies to access any unauthorized data. These access controls must
allow the agencies to create their own user IDs with specific access credentials that may vary from user to user, but that are all constrained by the global agency level access rules set by CCRD.

The new system must contain robust and flexible redaction tools (at the field level) that will allow CCRD to customize data access for different agencies. This functionality must be fully integrated into the system in a seamless manner, and it must be configurable in order to maintain compliance with all governing laws and regulations covering individual agency interfaces.

**Inbound Information Flows:**

CCRD also requires data from other County agencies that, in the current system, is transmitted via hard copy and then manually reentered into CCRD’s current system. For example, the database of record for PIN information along with street address and legal description is held in other County agency systems. The new system will be required to have interfaces to those other County and State systems that will automatically keep this information up to date in the CCRD system whenever a change is made in the system housing the database of record.

This inbound interface will be particularly important for communicating with the Illinois Dept. of Revenue (IDOR) to obtain tax declaration information directly from the IDOR “My Tax” system regarding real estate sales and transfer tax payments, and then automatically apply that information to the document(s) being recorded by CCRD without manual re-entry.

**Assessor’s Office & Treasurer’s Office requirements:**

- View access (and possibly print access) to image files for a dozen or so document types
- Full access to any non-redacted indexing information or metadata about those document types
- Verification of real estate data and plat information with the County GIS Cadastral Software.

**Clerk’s Office requirements:**

1. The Clerk’s office would like View access to real time data about documents, including document images. Most important docs are:
   a. Subdivisions
   b. Plats
   c. Vacations
   d. Dedications
2. Recorder’s office needs real time system access to Clerk’s (GIS) database of record for PINs and legal descriptions to check PIN and legal description validity as documents are being recorded and/or indexed.
3. Clerk’s office would also like a real time interface between the County’s upcoming new GIS (the “PIN Map” system, which will be the official database of record for PINs and legal descriptions for the County) where someone viewing GIS maps could click through on a property hyperlink to see the recorded documents in the CCRD system pertaining to that property.
4. Need to have a two-way “problem flag” accessible by the Clerk or Recorder to note recordings that may have problems, e.g. condo filings where the total property divisions don’t add up to 100%. Both offices should have the ability to create and read such flags and add notes to them.

5. It may be possible to introduce a County ordinance to create a “Hold Queue” for documents that are recorded, but that are flagged as in item #4 above. The “hold” would allow a document to be subjected to review by the State’s Attorney and/or other County agencies to determine its correctness and validity. Recordings that were disallowed under this system would not require a refunding of recording fees. The new CCRD system should support such a Queue.

**General Interface Requirements:**

1. Integrate via an Enterprise Service Bus (ESB)
2. Integrate with Service Oriented Architecture (SOA) based and point to point interfaces
3. Interface with real estate market research tools such as:
   a. COSTAR
   b. Marshall Swift
   c. Zillow
   d. MLS
4. Automatically populate data to the key websites (Assessor, Treasurer, and Clerk)
5. Interface with standard accounting systems to push payment data and seek balance confirmation (e.g. ERP Systems)
6. Interface with ERP systems to push the appropriate General Ledger entries
7. Interface with GIS to automatically attach/link to submitted documents such as blue prints
8. Interface with GIS to automatically attach/link the tax map associated with the PIN

**4.11 Infrastructure (server, desktop, cloud)**

CCRD’s current infrastructure is outdated and insufficient even for running its current systems. Response times are unacceptably slow, sometimes measured in minutes, and work productivity suffers accordingly. The current desktop environment consists mostly of Windows XP running on desktop hardware that is, in most cases, ten years old or older. The current server infrastructure is shown in the diagrams in Appendix A.

The County’s Bureau of Technology (BOT) owns and manages all County network infrastructure including all Ethernet cabling, switches, telecommunications connections, Internet connections, and traffic routing. CCRD owns and manages its own desktop and server systems including the servers hosting the GRM 20/20 system.

The successful proposer will be expected to work closely with County BOT to ensure that proper network speed and throughput are put into place prior to the rollout of the vendor’s system that will enable the vendor’s system to run at maximum speed, sufficient to handle current and foreseeable peak volume levels. Vendors will be expected to give BOT sufficient information about traffic and throughput needs so that BOT can construct an accurate estimate of costs for upgrading network infrastructure as part of the project budgeting process.
The successful proposer will also be required to advise CCRD on the appropriate desktop, mobile, or other user configurations necessary for optimal use of the vendor’s system. Vendors may or may not be asked to procure and install the desktop configurations.

**Hardware requirements:**

a. Monitors must be large enough to accommodate having IDOR My Tax system and the new recording system open concurrently.
b. System speed must be sufficient to enable seamless work flow with no process interruptions for system wait time or network latency.
c. Plug and Play hardware configuration is mandatory. CCRD must have the ability to use different types of peripheral equipment (e.g. bar code printers, pages scanners, etc.) without having to reconfigure or alter the cashiering and or indexing system.
d. In general, Cook County requires that fault-tolerance, clustering, replication, etc. be considered as part of the hardware configuration.
e. Active Directory Servers – A minimum of two Active Directory Servers are required in the environment.
f. Vendor will analyze current network infrastructure and bandwidth and make both general recommendations and specific recommendations related to solution components.
g. Vendor will supply recommended network and hardware capacity and configuration specifications for maximum system performance.
h. Vendor will supply recommended desktop configurations (both hardware and software) for maximum system performance.
i. Disaster Recovery: Vendor will recommend detailed options for disaster recovery including specifics of what components are mission critical and how they can best be replicated in both hot and cold fail-over scenarios. The disaster recovery system must be able to perform live data replication to backup servers within the Cook County network or to an offsite location.
j. All servers, databases and application code must have virtualization capability.

**Hardware “wants”**

Note: although these items may be provided by a third party vendor outside the scope of this RFP, proposers should still factor these extra items into the overall project plan for implementation.

a. Credit card readers on an isolated network at each station for faster payment processing that meet the requirements of PCS DSS Version 3.0.
b. Check readers at each station for immediate check capture.

**Software requirements:**

In addition to the business functional requirements, the proposed system must meet the following software requirements. The proposed system must:

1. Be a web-based technology that allows flexibility for mobile users or satellite offices to have the same secure, reliable, and high performance functionality as local users.
2. Have the following Integration Requirements:
a. Be able to integrate with current applications and content repositories inside and outside of Cook County. This would include linking with any organizations seeking to provide relevant and timely information within their Web sites, portals and other applications.

b. Include packaged integration adapters that would enable access to Cook County enterprise applications (ERP, CRM, and back-office systems), legacy applications, databases, and other content repositories.

c. Have adapters for future Integration. Adapters should be available for the following applications and platforms: Unstructured Content, MQ Series, IBM Content Manager, Microsoft MQ, Microsoft Exchange, COM, EDI, EJB, FTP, Flat Files, HTTP, CORBA (Iona Orbix), Java Beans, JDBC, JMS, LDAP, ODBC, SNMP, and XML.

d. be able to integrate with Microsoft Active Directory technology

e. be able to integrate with Microsoft Office 2010 x64

f. be able to integrate with Windows SharePoint Server 2013 x64

g. Be able to support integration with Third-Party System(s) such as email.

h. Be able to integrate with an enterprise class Security Information & Event Mgmt. (SIEM).

3. Be able to facilitate the management of integrated content, including applying workflow, library services, secure deployment processes, and integrating content in user-defined content types within the Cashiering and Document Management solution.

4. Cook County must have the ownership right to modify and maintain the System Source Code at any time to meet its business needs. In addition, the Source Code must be available in escrow in the event that the vendor ceases operations or in any other way becomes unavailable to support the County’s needs. See Section 8.2 for more detail on intellectual property ownership.

5. Support scalability. The architecture must have the ability to increase system capacity by upgrading hardware and software without modifications to the application business layer. Any proposed solution must have the ability to scale up by using faster hardware (single machines) or scale out by using more hardware (multiple machines).

6. The system architecture must contain robust referential integrity safeguards that will prevent the occurrence of "ghost" document numbers, missing sequence numbers, duplicate sequence numbers, etc.

7. Include full online documentation and user help (updatable by CCRD) accessible from within the system by any user.

For Cloud based Software as a Service (SaaS) solutions:

1. Provide multi-tenancy, i.e. ensure that each customer is automatically upgraded to any new version of the SaaS solution

2. Supply all version updates, bug fixes, and security updates within one fixed price maintenance charge.

3. Offer flexible time lines for customer adoption of new versions, i.e. provide a window of allowable times for accepting the new version.

4. Provide a fully functional test platform for client evaluation and acceptance testing of new versions.
5. Make available an infrastructure and standard tool set, along with providing vendor assistance, for integrating the cloud solution with existing County systems, e.g. the new County PIN Map application for verifying property PINs, legal descriptions, etc.

6. Processes and policies of the cloud provider must encompass physical, network, application, and data-level security, as well as full back-up and disaster recovery. The provider must be compliant with security-oriented laws and auditing programs, including Safe Harbor, ISO 27001, and SAS70 Type II.

7. Provide a predictable and accurate Total Cost of Ownership (TCO) model that eliminates “surprise” extra costs for upgrades, modifications, security enhancements including responses to hacker attacks and actual intrusions, etc.

8. Grant CCRD complete control of its data, even though the data is located off premise, with no roadblocks or bureaucracy that hinder the ability of authorized individuals to import, export, purge, and archive data to and from the application without having to first contact the SaaS vendor.

Current configuration:

The current server configuration is shown in Appendix II. Proposers must supply similar configuration diagrams for the infrastructure necessary to run their proposed solution at maximum speed and efficiency.

4.12 Data Conversion

The successful proposer will be responsible for converting all data, metadata, image data and other data from the existing GRM 20/20 system to the proposed solution. Details on data conversion requirements are listed in Section 7.5 of this document.

4.13 Non-Functional Requirements

These requirements reflect general needs from the new system that are not necessarily connected to any particular area of functionality. The proposed system must:

1. Reflect good governance practices and reduce the risk of non-compliance;
2. Promote improved employee productivity through faster and easier information retrieval;
3. Increase return on investment (ROI) through accelerated productivity and low cost of deployment and ownership;
4. Leverage other technology investments by having scaling capability to grow with increased needs.
5. Have the ability to manage XML and complex documents, and support remote workers who have to work offline.
6. Provide full lifecycle management for any type of electronic document
7. Provide the most advanced document and character recognition capabilities available to turn documents into machine-readable information.
8. Provide Service Level Agreements (SLAs) management. This means that lead times, due dates, and escalations are able to be monitored.
9. Provide for audit trails. In order to provide transparency and proof of governance, the data changes and actions performed must be tracked.

10. Support system performance tracking based on the user configuration requirements. The solution should consider factors like bandwidth constraints, server or network capacity, server traffic, and application processing constraints. The aim is to avoid unnecessary complexity or overhead that degrade performance.

11. Support Maintainability. The solution should be architected for easy maintenance and repair by CCRD IT staff.

12. Support Accessibility. The proposed solution should provide equal access to all, including users with cognitive and physical disabilities. Therefore, the architecture should present a solution as flexible as possible to accommodate the maximum number of users possible as well as produce a solution compatible with assistive technologies (e.g. screen readers).

13. Support Ease of Deployment. The solution should have deployment instructions that easily define installation mechanisms. Rollout of additional workstations or additions to scale should be achievable by CCRD personnel without vendor assistance.

14. Support Architectural Extensibility. The system should support the introduction of new services into the solution without additional significant programming effort.

4.14 Regulatory & Governance Requirements

The proposed system should adhere to proven technology standards to minimize risks. The architecture should be open and adhere to industry standards to provide for greater flexibility and longer life cycle of solutions. It should be designed to absorb additional business requirements without re-architecting. The proposed system must:

1. Be in compliance with one or more of the following recognized standards:
   a. DoD 5015.2 – Electronic Records Management Software Applications Design Criteria Standard
   b. ISO 15489 – Information and Documentation – Records Management
   c. VERS – Victorian Electronic Records Strategy
   d. MoREQ – DLM Forum, Modular Requirements for Records Systems

2. Be in compliance with the following additional standards:
   a. Additional Notes: Cyberdriveillinois website:
   b. AIIM TR31-2004, Performance Guidelines for the Admissibility of Records Produced by Information Systems as Evidence
   c. AIIM TR26-1993, Resolution as it Relates to Photographic and Electronic Imaging for guidance concerning resolution criteria
   d. Local Records Act, 50 ILCS 205
   e. National Archives and Records Administration (NARA)
   f. Payment Card Industry (PCI) Version 3.0 including all supporting documentation (such as data flow diagrams) required for a PCI audit.

3. Meet the following technology standards:
a. Web – W3C, HTML, MTHM5
b. Web service – REST, SOAP
c. Data – XML Authentication – LDAP (Active Directory, Tivoli, etc.)
d. Security - CERT Secure Coding Standards
e. Security – Open Web Application Security Project (OWASP) Top 10
f. IRS Publication 1075
g. SSAE-16 (if applicable)
h. Cook County Information Security Office Standards


4.15 Security Requirements
1. Promote adequate safeguards for confidential information. Security measures within the solution take into account the following concepts: Authentication, Authorization, Data Protection, and Auditing, among others
2. Allow for the automatic notification of property owners upon the recording of any document that transfers ownership of that property
3. Support financial fraud prevention
4. Provide a document audit trail indicating all activity associated with a file or document and individuals modifying the file or document.
5. Provide a robust, flexible and readily updateable intrusion control mechanism that will understand what constitutes normal traffic patterns, database accesses, system resource usage and application behavior and will flag exceptions to that normal baseline and report those exceptions to management.
6. Provide a mechanism for assuring that new files created from templates are saved as separate files.
7. For any cloud based implementation, monitor access to its facilities and all data held within those facilities in an audit log
8. Be able to maintain a complete record of all events performed within the system as an audit trail
9. Initiate the audit trail automatically as a result of system parameters.
10. Ensure that all actions undertaken by a System Administrator are captured in the audit trail, including configuration and reconfiguration of the audit trail itself.

11. Access Controls:
12. The proposed system must support a user managed Access Control mechanism for centrally managing access and security controls that may be applied to users, digital records and other system resources
13. Restrict the ability to add, modify, or delete rules defining how the Access Control system itself works (e.g. defining profiles, creating groups, etc.) to Systems Admin level only.
14. Allow a System Administrator to delete or make inactive existing user access groups, effectively barring any access previously allowed by the group(s)
15. Be able to actively link access and security controls to other records controls employed by the system.
16. Allow a System Administrator to set security parameters for failed login attempts
17. Support the definition of discrete user access groups and ad hoc lists of individual users, to control user access to digital records and other entities in the record plan
18. Allow a System Administrator to delete or make inactive existing user access groups, effectively barring any access previously allowed by the group(s).
19. Provide mechanism to control printing rights.
20. Provide role-based, folder-based and document level security.
21. Require the System Administrator to make users known to the system by means of pre-defined user profiles, supporting valid authentication and the allocation of access and security controls.
22. Allow (but not require) a System Administrator to allocate users to one or more pre-defined user access groups.
23. Require the allocation of a single security category to each user profile, with the default being the lowest category.
24. Allow a System Administrator to define a set of user roles which control the assignment of rights to specific functions or groups of functions.
25. Ensure that all users are allocated one (or more) roles, and allow access only to system functions permitted by the role(s).
26. Allow access and security controls to be allocated to a role and inherited by users.
27. Where a security category is inherited from a role, allow a different security category to be applied at the individual user level.
28. Allow each user to allocate to records and folders the same access and security controls contained in the user’s profile.
29. Prevent users from allocating access and security controls that are not contained in the user’s profile.
30. Allow the configuration of access and security controls to support complex or unique access and security models.
31. Support the allocation of all forms of access and security controls to digital records, folders and other system entities.
32. Allow inherited access and security controls to be overridden by an authorized user, in accordance with the organization’s security model.
33. Provide an authentication mechanism that controls access to the system by validating each user (e.g. user-ID/password login) at the start of a session.
34. Support a mechanism to allow access to the system via integrated network login.
35. Provide for the Confidentiality, Integrity, and Availability of data during its use, while in motion and while at rest.
36. 

5. Proposed Solution
Proposers must respond to ALL of the requirements listed in Section 4 above and in the requirements matrix in Appendix III. Even if the proposed solution does not specifically address a particular
requirement, proposers are expected to explain how CCRD can meet this requirement with the proposed solution installed. Please limit your solution description to addressing only the actual needs listed in Section 4 above. CCRD discourages proposers from including more than the absolute minimum in generic marketing material, and even then, only in cases where such material is essential to explaining how the proposed solution will address a specific CCRD requirement.

If awarded, Proposer’s responses may be incorporated into the final contract.

**Note** that Cook County reserves the right to purchase software, hardware, network equipment or other components directly through its own Countywide contracts, unless such recommended items are unique, intrinsic to the proposal, and can only be acquired through the Proposer.

### 5.1. Solution Overview
Proposers should present a concise high-level overview of the proposed solution, including:

1. How the solution meets the requirements listed in this RFP;
2. System architecture diagrams;
3. If the proposal include multiple deployment options (e.g., Cloud, On-Premise, etc.), an overview of the differences the options;
4. Minimum application requirements for front-end and back-end modules (i.e. desktop hardware, software and Operating System requirements);
5. Minimum requirements for backend based on the stated requirements (i.e. server, storage, network requirements);
6. Interfaces and integration points to County systems and to any required third party applications or systems;
7. Third party hardware and software; and
8. Other key elements that will help the County better understand your proposed system design. Please refer to Appendix V for additional design considerations. NOTE: See comment in 1.2.

### 5.2. Software Overview
Proposer should provide a detailed description of the product(s) and product versions being proposed. The response to this section must detail the system features and capabilities and indicate if these are native to the software or if integration with a 3rd party software is required or recommended.

### 5.3. Hosting and Platform Architecture
The Proposer must give an overview of the hosting and platform architecture, including at a minimum:

a. **System Environments** – The proposer shall state all environments (e.g., production, development, and test) included in the proposal. If such environments are limited in functionality, scope or otherwise, the proposal shall describe such limits.

b. **Shared Components of the System**: - The proposer shall clearly state and describe all shared components of the System (e.g., network segments, back-up tapes, etc.). The proposer shall assume responsibility that any System components not identified as shared
components are provided by the proposer as System components dedicated for the County’s use only.

If proposer proposes a cloud-based solution, the proposer must provide the following:

a. Proposed service model (e.g., SaaS, PaaS, IaaS);
b. Proposed Cloud deployment model (e.g., Private Cloud, Public Cloud, Community Cloud or Hybrid Cloud);
c. Does solution rely on third parties in the provisioning of its Cloud deployment model;
d. Proposer’s rationale for its choice of Cloud deployment model;
e. Whether the proposer offers any other Cloud deployment options;
f. How any of proposer’s Cloud deployment models might affect the County’s data security and any compliance obligations;
g. How any of proposer’s Cloud deployment models might affect pricing, but the proposer shall state such costs in its separate pricing proposal

5.4. Integration/Interface

See Section 4.J “Interfaces and Data Sharing with other authorized gov’t agencies” in this document (above) for more detail on the nature of the expected interfaces to County systems.

The County will consider cost efficient and feasible recommendations to import and export the necessary data from the stated systems of record – only if financially reasonable. Proposers should then state feasible integration points between the proposed system and the stated existing technologies as well as the proposed phase/timeline for interface(s) to go live. This approach must clearly show all integration related costs, alternate integration costs models, and feasible and realistic integration recommendations.

Proposers must also provide information about any implementation where the proposed solution is interfacing with existing technologies.

6. Solution Requirements

6.1. Hardware and Equipment Requirements

The proposer must give an overview of all hardware and equipment requirements, including:

a. Required hardware and equipment, including minimum specifications of each;
b. Responsibility for procuring all hardware and equipment (e.g., proposer or County);
c. Responsibility for installation of all hardware and equipment (e.g., proposer or County);
d. Ownership of all hardware and equipment (e.g., whether County holds title to hardware and equipment that proposer provides);
e. Procedures for acceptance, partial shipments and back ordered hardware and equipment;
f. Warranties associated with all hardware and equipment;
g. Any terms and conditions accompanying the required hardware and equipment.
6.2. Physical Environment Requirements

The proposer must give an overview of all physical environment requirements:

a. Physical location requirements (e.g., cooling, space, connectivity, etc.)

b. Cabling/wiring and whether the County or Proposer would be responsible for procuring;

c. County’s additional power requirements for operating required hardware and equipment.

6.3. Network Requirements

The proposer must give an overview of all network and bandwidth requirements associated with the proposal:

a. Normal Bandwidth Requirements – The proposer shall include a reasonable estimate of minimum bandwidth required for concurrent application access and data access for “normal” daily operational use for cloud, hybrid and/or on-premises systems. Proposer shall also provide its definition of “normal daily operational use.”

b. Peak Bandwidth Requirements – The proposer shall include a reasonable estimate of peak volume/times for retrieval and uploading transactions.

c. Typical Impact – The proposer shall include a reasonable estimate of the typical impact expected on the network post implementation.

d. Other Network Requirements – The proposer should describe the optimal physical network infrastructure required for an on premise solution to effectively mitigate latency and data speed issues. If proposing a Cloud-based solution, please describe the physical network infrastructure, connectivity testing and performance assurance.

7. Proposed Project Approach and Implementation Methodology

The proposed approach and methodology shall include, but should not be limited to, the following sections.

The County requires a managed implementation that accomplishes tangible deliverables by a date agreed to within a joint project task list and timeline. Immediate functionality priorities are defined in the System Requirements Matrix (i.e., the accompanying Excel Spreadsheet). These priorities highlight the functionality that the County will use within the completed solution.

Proposers are expected to propose an industry best practices methodology and solution, and are encouraged to provide innovative ideas to meet the needs of the County in a timely manner. The proposed plan of action should adhere to a leading industry project delivery methodology (e.g., agile, waterfall, etc.). The Proposer shall describe its methodology in detail in Section 7.1.

7.1. Overview of the Implementation Methodology

Proposers should provide a high level diagram/table representing its implementation strategy, and include:

1. Brief description of proposed methodology, clearly describing at minimum:
a. The number or proposed iterations and required steps to complete the work; and
b. Strengths and weaknesses of the chosen method and the proposed plan to mitigate any such weakness. (E.g. the nature of agile leads to light documentation, how would your firm address this?)

2. Proposed project phases;
3. Team roles, including subcontractors;
4. Milestones;
5. Critical success factors; and
6. Assumptions

The proposer must agree to comply with the County’s content management procedures for tracking progress and documents for the duration of the project. This may be either the County’s SharePoint site or one provided by the Proposer. In addition, the Consultant Proposer will submit written weekly or monthly status reports to the County, which may include: work accomplished, updated Gantt charts, production goals, accepted deliverables, meetings and minutes, status of risks, issues or problems, summaries of approved project changes, and invoicing and payment.

7.2. Project Task List and Timeline
Limit this response to the project plan and related timeline. Proposers should provide detailed scope tasks/activities, organized in phases including, but not limited to, project management activities, key resources, and estimated hours per key activity. Microsoft Project files are acceptable as attachments but this section requires an easy to read format (do not insert long “black lines” for the last pages of MS project plans).

The timeline must address the amount of time and level of resources that will be available post implementation for transition support. CCRD expects that there will be on-site vendor support for a minimum of six months, and possible as much as twelve months, after go-live date.

7.3. Requirements Validation and System Design/Configuration
Proposers should provide a detailed description of its approach to validating business and technical requirements, including at minimum:
1. Business requirements validation approach and related steps;
2. Technical requirements validation approach and related steps;
3. System design approach and related steps;
4. County responsibilities for each of the above; and
5. Expected Deliverables.

7.4. System Implementation and Configuration
Proposers should describe their build and release approach, including at minimum:
1. Required level of effort based on the expected configuration and customization work.
2. Proposed environments (development, quality assurance, staging, production, etc.)
3. Software configuration approach including check-in and check-out procedures;
4. Software development approach including check-in and check-out procedures;
5. System configuration and development management (documentation) procedures;
6. County responsibilities for each of the above; and
7. Expected Deliverables.
8. Integrations/interfaces model/diagram;
9. Estimated phased timeline for interfaces to go live;
10. Approach to build and test each of the interfaces/integration;
11. Provide alternate integration/interfacing models where applicable;
12. For each identified or proposed interface provide the typical estimated indirect level of effort by resources other than your team’s resources. The intention of this requirement is to identify all critical project work (estimated budget) from all relevant 3rd party resources and vendors.

7.5. Data Conversion and Migration

Please limit your response to three (3) pages. This section should include your strategy and approach to migrating/converting data from existing systems. Please consider the following questions when providing a response:

- What County resources do you anticipate will be required to execute your data conversion strategies? What are the County’s responsibilities?
- What is your approach regarding definition of data mapping rules?
- How does your approach address data extraction, transformation, staging, cleansing and validation?
- Is the County or vendor responsible for cleansing County Data prior to migration?
- What strategies do you employ to conduct the final conversion process?
- How will you handle data discrepancies?
- How do you plan to handle document redactions?
- What code conversion/migration tool(s) will be used during the implementation?
- How will testing of migrations/conversions take place?
- What assumptions are being made about the data or the conversion process?
- Provide information about any comparable conversions/migrations you have done

If any conversion or migration tasks require additional cost, the proposer shall state such costs in its separate pricing proposal. Data migration tasks must be reflected on the project plan and timeline.

The successful proposer will be responsible for complete and accurate conversion of all existing data in the current GRM 20/20 system. The current system is built on a database structure that is not a genuine relational database, though it does contain linked tables. The successful proposer must build the data mapping table, conduct the data conversion, and provide a user friendly mechanism for conducting quality assurance and testing of the converted database.

CCRD is in the process of reevaluating the way documents are categorized, indexed, and searched. As a result, the data mapping process must be able to move and re-categorize all of the electronically stored document records. The new category system will involve more levels of categorization than exist currently.
In the current system there is only one level of category, and that is the document type. Any new system must contain the ability to create several category levels. The outline below describes one possible hierarchy of categories.

**Document Primary Types:**

- This is the list of major doc type categories that also serves as the list of doc types seen by cashiering.
- Examples include: Mortgage, Deed, Lien, etc.
- Every document must have a Primary type.

**Document Sub-Types:**

- This is a further level of detail about the type of document.
- Example: for Primary type of “Deed” subtypes could include:
  - WARRANTY DEED
  - QUIT CLAIM DEED
  - SPECIAL WARRANTY DEED
  - TRUSTEES DEED
  - DEED IN TRUST
  - RIGHT OF WAY DEED
  - Etc.
- Every document recorded may have, but is not required to have, both a Primary and Sub type.

**Document “Attributes” (or “Modifications” or “Actions”):**

- This represents some action that has been applied to an existing doc type, but that does not warrant a doc type of its own.
- Examples:
  - Amendment
  - Correction
  - Release
  - Partial Release
  - Renewal
  - Reconveyance
  - Discharge
  - Termination
- These Attributes could be combined. For example, there could be a Corrected Amendment to a Document Sub-Type

**Surcharge Check Boxes:**

Surcharge Check Boxes would be used to apply additional fees to existing document types. Examples include:
• Affidavit
• Rental Housing / Cook County Real Estate
• Mail
• Penalty

Transaction Types:

These are transactions carried out on doc types, but are not doc types themselves. The current system does not have the capability for identifying transaction types, so all transaction types are currently categorized as document types. The new system must be capable of handling transaction types as a category separate from document types. Examples of transaction types are:

• Account payment
• Certified copy
• Non-certified copy
• Recording fee
• Etc.


Proposer must describe its application development and configuration practices and how they will reasonably protect the security, confidentiality and privacy of County Data. Specifically, the proposer shall state whether it will adhere to the following:

a. Microsoft Secure Coding Guidelines for the .NET Framework;

b. CERT Secure Coding Standards;

c. OWASP Secure Coding Principles;

d. Privacy by design principles; and

e. Federal Trade Commission’s Fair Information Practice Principles.

f. PCI – Payment Card Industry standards for online and in-person credit card sales.

7.7. Testing and Software Quality Assurance (“QA”)

Proposers should provide a detailed description of the proposed QA methodology adhering to best practices and clearly identifying control tasks and testing required to transition functionally from one environment to the next (e.g. QA to staging and production). The County expects this section to include at minimum:

1. High level proposed QA approach;

2. Proposed testing process;

3. Proposed user acceptance process;

4. County responsibilities for each of the above; and

5. Expected Deliverables in the format provided in the attached excel spreadsheet Requirements Matrix.
It is the expectation and requirement of the County that the proposer shall complete system testing prior to County user acceptance testing (UAT). Proposer shall provide all documentation related to system testing for County verification, validation and approval prior to UAT.

7.8. Knowledge Transfer /Training and Transition (Cutover)
Proposers should describe the recommended knowledge transfer and change management methodology ensuring County staff participation from the onset of the project. Describe the County’s responsibilities and related escalation procedures if/when County participation is not promptly identified. This plan should include at minimum:

1. Knowledge transfer approach;
2. End user training approach (including training location, format, total training hours, number of employees trained, timing and signoff process);
3. Administrator training approach (including training location, format, total training hours, training environment, number of employees trained, timing and signoff process);
4. Transition/cutover approach;
5. Rollout support approach (the County expects on-site support during rollout);
6. County responsibilities for each of the above (e.g., facilities, scheduling, training content, etc.);
7. Expected Deliverables (e.g., whether training materials are custom or standard, the frequency of updates to materials, etc.).
8. Resources available during the post-implementation on-site support period (6 to 12 months).

7.9. Contract Performance Review and Acceptance
Proposers should describe all expected contract performance metrics, an approach to collect and transfer all assets to the County, the required key staff to attend close out session(s), and expected close out activities. This close out plan should include at a minimum:

1. List of all expected final documentation and respective acceptance criteria/process;
2. Vendor Performance Review expectations;
3. Final Project Lessons Learned review expectations; and
4. Sample Schedule of Performance Credits for failing to meet SLA and project milestones.
5. For hosted solutions, the procedure to import County Data to internal site, and the County’s responsibilities in the event the County would want to transition to on premise hardware; and

7.10. Invoicing and Payment
The Proposer must clearly address the following topics relating to invoicing and payments (but all pricing itself shall be separately stated in the pricing proposal):

1. Pricing methodology – The Proposer shall clearly explain whether it seeks fixed fee payment(s), time and materials payments(s), or any other payment basis, including examples if necessary.
2. Milestone-based or deliverable-based payments – The Proposer shall describe how it shall invoice the County upon the County’s acceptance of deliverables or project milestones
3. If the proposal calls for tendering deliverables of different types (e.g., hardware components vs. custom coding), the Proposer shall clearly explain its corresponding payment expectations.
4. Payment terms – The Proposer shall describe the timeframe by which it requests the County to pay invoices (e.g., Net 60, etc.)

5. Late fees – The Proposer shall describe any fees it requests for late payment of invoices.

The proposal shall clearly state all goods or services requiring payment. If the proposal does not include such items, proposer waives right to assert payment obligations at a later date. Examples of such goods or services might include:

1. Travel and expenses – The Proposer shall state its willingness to obtain CCRD’s written approval prior to billing for travel and expenses, as well as its willingness to adhere to the County’s travel policy.

2. Data transfer and data storage limits and overages – The proposer shall clearly state all limits on data storage or data transfer. If exceeding those limits would require additional fees, the proposer shall state such costs in its separate pricing proposal.

8. Solution Ownership and Other Terms and Conditions

8.1. Data Ownership
If awarded, all County Data shall be the exclusive property of the County. The selected Proposer will treat County Data as Confidential Information.

8.2. Intellectual Property Ownership
Proposer’s deliverables may be considered “works made for hire” or otherwise assigned to or owned by the County. Proposer must state its agreement or must state any objection to this section. Specifically, the Proposer must address intellectual property ownership individually with respect to each of the following in its proposal:

   a. Commercial-off-the-shelf software or software components;
   b. Software customizations;
   c. Database schemas;
   d. Workflows;
   e. Project plans;
   f. Documentation;
   g. Training materials;
   h. Other Deliverables.

8.3. Hardware and Software Licensing
The proposal shall include a clear, high-level, non-legalese explanation of its hardware and software licensing. At a minimum, the explanation shall answer the following questions:

   a. What type of hardware and software license will the County receive? For example, would the County own licenses after the term of the proposed agreement?
   b. Who are the licensors? For example, is the proposer reselling or integrating a third party’s hardware or software?
c. Are any conditions attached to the hardware or software licenses? For example, would the County’s licenses cease if the County chose to end maintenance services?

d. Do any licenses propose to limit the manufacturers’ liabilities or the County’s remedies?

In an appendix, the proposal shall attach complete copies of hardware and software licensing agreements related to the proposal.

8.4. Software and Hardware Warranties

The proposal shall include a clear, high-level, non-legalese explanation of its hardware and software warranties. At a minimum, the explanation shall answer the following questions:

a. What type of hardware and software warranties will the County receive?
b. What would the warranties cover? If defects only, how are defects defined?
c. What would the warranties exclude?
d. What would be the County’s remedies under the warranties? Repair and replace or other?

In an appendix, the proposal shall attach complete copies of hardware and software warranties related to the proposal.

8.5. Other Terms and Conditions

If the proposer requires any additional terms, the proposal shall include a clear, high-level, non-legalese explanation of them. At a minimum, the explanation shall answer the following questions:

a. Does the proposer intend to impose upon the County any additional terms and conditions, such as end user license agreements, acceptable use policies, terms of service, product use agreements, etc.?
b. Does the proposer want to reference its terms and conditions via URL or change its terms and conditions at a later date? Or would the proposer include copies of the additional terms and conditions as exhibits to a contract with the County?
c. CCRD currently has fee based data sharing agreements with certain non-governmental agencies (e.g. title companies) that vendors will be expected to honor, especially those vendors offering cloud based solutions. Please indicate any issues that this may raise.
d. Do any additional terms limit the proposer’s liabilities or the County’s remedies?

In an appendix, the proposal shall attach complete copies of any additional terms and conditions related to the proposal.

9. Solution Performance and Availability

9.1. Support and Maintenance Service Levels

Please limit this response to five (5) pages. The proposal must individually address each the following requirements and provide sufficient detail on whether and how it meets the following requirements:
a. **Multi-tiered support** – The proposal must provide multiple tiers of support and must state whether the County is assumed to provide tier 1 support.

b. **Severity levels** – The proposal must provide support and maintenance response proportionate to varying levels of incident severity.

c. **Multiple contact method** – The proposal should provide for multiple methods of reporting an incident to the proposer.

d. **First-tier support scripts** – If the proposer assumes that the County will provide Tier 1 support, then the proposer shall deliver sufficient scripts and training to County help desk staff to adequately function as Tier 1 support.

The proposal must individually address the following service level agreements (SLAs) for support and maintenance services, whether such SLAs are offered, any additional cost for such SLAs, and detail on such:

a. **Proposer’s Response Time SLAs** – Response Time is the number of seconds it takes an End-User to connect with Respondent’s contact center live representative. Respondent will provide toll-free telephone lines in adequate quantity to handle call volume; ACD system(s) to record call date, time and duration information; and electronic interfaces to all systems for monitoring and reporting.

b. **Proposer’s Resolution Time SLAs** – Resolution is the time elapsed from the initiation of the Help Desk Incident until Service is restored.

c. **Other SLAs** – If applicable

For each SLA, the proposer must:

- Provide detail on how proposer will enable the County to verify SLA compliance.
- Provide detail for any tiering of SLAs, whether by severity or other classification.
- Offer specific and calculable service level credits, fee reductions, and/or earn backs.

### 9.2. Data Access and Retention

The response must state whether Proposer will meet the following data-related system requirements:

a. At all times, the County shall be able to receive County data, associated metadata, and reasonably granular subsets thereof, as well as any associated files or attachments, from the System in a useable, encrypted format.

b. Upon termination of the contract and at the County’s written request, the Proposer shall destroy County Data, including backups and copies thereof, according to NIST standards or as otherwise directed by the County.

c. The System shall have the ability to retain County data in a manner that is searchable and capable of compliance with records retention laws and best practices.

d. At no time may Proposer suspend or terminate County’s access to County Data or the System for breach of contract or term or condition relating to the System without giving the County reasonable notice and opportunity to cure according to the County’s dispute resolution process.
e. For cloud based solutions, both vendor and CCRD must continually update and maintain a list of users who have administrative access to the cloud application, cloud infrastructure, and cloud management functions.

9.3. Business Continuity and Disaster Recovery

The proposal must individually address each of the following requirements and provide sufficient detail on whether and how it meets the following requirements:

a. Proposers must have an automated backup and recovery capability for the system and application, including incremental and full back up capabilities. Additionally, system backups must be accomplished without taking the application out of service and without degradation of performance or disruption to County operations.

b. For cloud based or hosted solutions, Proposers must be able to provide the service from at least two geographically diverse data centers that do not share common threats (e.g. the data centers cannot be in the same earthquake zone, likely hurricane path, same flood zone, etc.). The data centers must at a minimum meet Tier III standards for redundancy of power, telecommunications, HVAC, security, fire suppression and building integrity.

c. For cloud based or hosted solutions, Proposers must specify whether, in the event of a technology or other failure at the primary processing center, the alternate system will meet the following tiers, for which the County’s use should be identical regardless of which location is processing the County’s work:

<table>
<thead>
<tr>
<th>Category</th>
<th>Alternate system characteristics</th>
</tr>
</thead>
<tbody>
<tr>
<td>High Availability</td>
<td>Continuous operation without interruption or degradation in service.</td>
</tr>
<tr>
<td>Standard Availability</td>
<td>Available for County use within 48 hours with no degradation in service.</td>
</tr>
<tr>
<td>Non-Critical Availability</td>
<td>Available for County use within 96 hours with no degradation in service.</td>
</tr>
</tbody>
</table>

d. Proposers must implement crisis management, business continuity and disaster recovery plans, subject to County approval, which the County will not reasonably withhold. These plans must outline how the proposer will support the County’s recovery at the alternate site, including backup staff required to implement the plan in an emergency if the proposer’s primary staff is unavailable. Such plans shall also include a minimum of annual testing in coordination with the County.

e. Proposers must specify the System’s proven Recovery Time Objective (RTO) and Recovery Point Objective (RPO) in case the primary site becomes unavailable.
f. Proposers must specify whether the System will meet the following availability tiers, which tier, and must specifically describe how the System meets such tier:

<table>
<thead>
<tr>
<th>Category</th>
<th>Availability</th>
<th>RTO</th>
<th>Characteristics &amp; RPO</th>
</tr>
</thead>
<tbody>
<tr>
<td>High Availability</td>
<td>99.982%</td>
<td>Intra-day</td>
<td>Typically involves data replication to a hot-site for each transaction or at short intervals, like 15 minutes.</td>
</tr>
<tr>
<td>Standard Availability</td>
<td>99.741%</td>
<td>24 to 48 Hours</td>
<td>Nightly tape backups shipped to a warm-site data center. System reestablished at time of disaster from tape. May lose up to one day of data.</td>
</tr>
<tr>
<td>Non-Critical Availability</td>
<td>99.671%</td>
<td>48 to 96 Hours</td>
<td>Nightly tape backups shipped to offsite warm or cold site data center. System reestablished at time of disaster from tape after more critical systems are restored. May lose up to one day of data.</td>
</tr>
</tbody>
</table>

Proposers must detail available performance credits offered for a failure to meet uptime, RTO and RPO requirements.

9.4. Audit Requirements
The proposal must individually address each the following requirements and provide sufficient detail on whether and how it meets the following requirements:
   a. The proposer will provide annual audit reports to CCRD or otherwise upon CCRD’s request;
   b. The proposer will provide corrective action plans or actions taken to resolve any exceptions, material weaknesses and/or control deficiencies identified in the audit report.
   c. The County will have the right to access and audit proposer’s System and Hosting;
   d. The County will have the right to request reasonable adjustments at the proposer’s expense where those requests are based upon audit findings pertaining to the System or Hosting.

9.5. Transition Out and Exit Requirements
The Proposal must address the transition process for switching form development & deployment mode to maintenance mode through the process of user acceptance. The proposer must provide, at the least, a clearly defined plan for working with CCRD to establish criteria for such a transition.
10 Instructions to Proposers

10.1 Instructions

This RFP provides potential proposers with sufficient information to enable them to prepare and submit proposals. This RFP also contains the instructions governing the submittal of a proposal and the materials to be included therein, including the County requirements, which must be met to be eligible for consideration. All proposals must be complete as to the information requested in this RFP in order to be considered responsive and eligible for award. Proposers providing insufficient details will be deemed non-responsive. The County is not obligated, either to purchase the full services or the products proposed by the proposer, nor to enter into an agreement with any one proposer.

10.2 Availability of Documents

The County will publish their competitive bid, RFP, and other procurement notices, as well as award information, at: http://www.cookcountyil.gov/office-of-the-chief-procurement-officer/

Interested suppliers should note that, unless otherwise stated in the bid or RFP documents, there is no charge or fee to obtain a copy of the bid documents and respond to documents posted for competitive solicitations. Proposers intending to respond to any posted solicitation are encouraged to visit the web site above to ensure that they have received a complete and current set of documents. Some procurement notices may provide a downloadable version of the pertinent documents and any amendments to them, which will be available to suppliers after they have completed a simple registration process. Additionally, some notices may permit a supplier to submit a response to a posted requirement in an electronic format.

Any proposers receiving a copy of procurement documents from a bid referral service and/or other third party are solely responsible for ensuring that they have received all necessary procurement documentation, including amendments and schedules. The County is not responsible for ensuring that all or any procurement documentation is received by any proposer that is not appropriately registered with the County.

10.3 Pre-Proposal Conference

The County will hold a Pre-Proposal conference on the date, time and location indicated below. Representatives of the County will be present to answer any questions regarding the services requested or proposal procedures. Prospective Proposers should respond to the contact person listed on the front cover of the RFP at least one day prior to the Pre-Proposal Conference to confirm participation and number of representatives attending the meeting. A maximum of 2 representatives from each firm may attend the pre-proposal conference. Attendees are encouraged to bring a copy of the RFP to the Pre-Proposal conference.

Date: Tuesday, February 24, 2015 at 10:00 AM
10.4 Special Access to the Pre-Proposal Conference
If special accommodations are required for Proposer to attend the Pre-Proposal Conference or the proposal opening, contact the contact person listed on the cover page of this RFP via email or by phone no later than three (3) days before the event.

10.5 Clarifications
Questions regarding this RFP will be submitted in writing to the contact person listed on the cover page of this RFP no later than February 27, 2015.

10.6 Delivery of Proposal Package
The Proposal and the Pricing Proposal will be delivered either by hand or sent to the County, Office of the Chief Procurement Officer through U.S. Mail or other available courier services to the address shown on the cover page of this RFP. Include the RFP number on any package delivered or sent to the County Office of the Chief Procurement Officer and on any correspondence related to this RFP or the Proposal. The Proposer remains responsible for insuring that its Proposal is received at the time, date, place, and office specified. The County assumes no responsibility for any Proposal not so received, regardless of whether the delay is caused by the U.S. Postal Service, any other carrier, or some other act or circumstance. Proposals received after the time specified will not be considered.

If using an express delivery service, the package must be delivered to the designated building and office and not to the County Central Receiving facilities.

10.7 Uniformity
To provide uniformity and to facilitate comparison of Proposals, all information submitted must clearly refer to the page number, section or other identifying reference in this RFP. All information submitted must be noted in the same sequence as its appearance in this RFP. The County reserves the right to waive minor variances or irregularities.

10.8 Proposal Material
The Proposal material submitted in response to the RFP becomes the property of the County upon delivery to the Office of the Chief Procurement Officer and will be part of any contract formal document for the goods or services which are the subject of this RFP.

10.9 Addenda
Should any proposer have questions concerning conditions and specifications, or find discrepancies in or omissions in the specifications, or be in doubt as to their meaning, they should notify the Office of the Chief Procurement Officer no later than February 27, 2015 to
obtain clarification prior to submitting a Proposal. Such inquiries must reference the proposal
due date and the County RFP number.

Any clarification addenda issued to Proposer prior to the Proposal due date shall be made
available to all proposers. Since all addenda become a part of the Proposal, **all addenda must be signed by an authorized Proposer representative and returned with the Proposal on or before the Proposal opening date. Failure to sign and return any and all addenda acknowledgements may be grounds for rejection of the Proposal.**

Interpretations that change the terms, conditions, or specifications will be made in the form of
an addendum to the solicitation by the County. If issued, the County will post the addenda on
the County website: [http://www.cookcountyil.gov/office-of-the-chief-procurement-officer/](http://www.cookcountyil.gov/office-of-the-chief-procurement-officer/) In the event there are any conflicts between the general terms and conditions and any special
terms and conditions, the special terms and conditions shall take precedence.

**10.10 Proposer’s Responsibility for Services Proposed**
The Proposer must thoroughly examine and will be held to have thoroughly examined and read
the entire RFP document. Failure of Proposers to fully acquaint themselves with existing
conditions or the amount of work involved will not be a basis for requesting extra compensation after the award of a Contract.

**10.11 Errors and Omissions**
The Proposer is expected to comply with the true intent of this RFP taken as a whole and shall
not avail itself of any error or omission to the detriment of the services or the County. Should
the Proposer suspect any error, omission, or discrepancy in the specifications or instructions,
the Proposer shall immediately notify the County in writing, and the County will issue written
corrections or clarifications. The Proposer is responsible for the contents of its Proposals and
for satisfying the requirements set forth in the RFP. Proposer will not be allowed to benefit
from errors in the document that could have been reasonably discovered by the Proposer in
the process of putting the proposal together.

**10.12 RFP Interpretation**
Interpretation of the wording of this document shall be the responsibility of the County and
that interpretation shall be final.

**10.13 Confidentiality and Response Cost and Ownership**
From the date of issuance of the RFP until the due date, the Proposer must not make available
or discuss its Proposal, or any part thereof, with any employee or agent of the County. The
Proposer is hereby warned that any part of its Proposal or any other material marked as
confidential, proprietary, or trade secret, can only be protected to the extent permitted by Illinois Statutes.
10.14 Use of Subcontractors
The Proposer’s response must include a description of which portion(s) of the work will be subcontracted out, the names and addresses of potential Subcontractors and the expected amount of money each will receive under the Contract. The County reserves the right to accept or reject any subcontractor if in the County’s sole opinion it is in the best interest of the County.

10.15 MBE/WBE Participation Goals
Consistent with Cook County, Illinois Code of Ordinances (Article IV, Section 34-267 through 272), the County has established a goal that MBE/WBE firms retained as subcontractors receive a minimum of 35% of the overall estimated expenditures for this procurement. In an effort to continue to promote and expand the participation of certified MBE/WBE firms as subcontractors, the proposer shall make good faith efforts to utilize MBE/WBE certified firms as subcontractors. In its response, a proposer shall state the name(s) of the minority and women subcontractor(s) and the level of participation proposed for each firm to be awarded a subcontract.

10.16 Proposer’s Disclosure and Conflict of Interest
The Proposer must complete and return the enclosed "Economic Disclosure Statement & Forms" along with their proposal. In the event that further clarification is required on any of the information provided, the County reserves the right to make any necessary inquiry with a proposer for such purpose. Such inquiry, if made, may include a deadline by which time any necessary clarifying information must be submitted.

10.17 Cook County RFP Format
All proposers will use this solicitation format for submitting their proposal. Variations or exceptions from the specifications and general conditions should be submitted in writing. Such variations or exceptions may be considered in evaluating the offers received. Any exception taken must be noted in the space provided within this solicitation. Failure to comply with this requirement may cause a proposer’s proposal to be considered "nonresponsive."

10.18 Pricing
All price and cost information requested in this solicitation should be provided by the proposer. While price is a factor in the evaluation of responses received, the relevant importance of price may vary based on the nature of the purchase and the related significance of other criteria as may be expressed elsewhere in this solicitation. In evaluating price, the County may give consideration to all cost of ownership factors relevant to determine the total final cost to the County, including but not limited to: administrative cost of issuing multiple awards. The County will be the sole determinant of the relevant and appropriate cost factors to be used in evaluating any Base or Alternate offers and/or Options.
10.19 Period of Firm Proposal
Prices for the proposed service must be kept firm for at least one hundred and twenty (120) days after the last time specified for submission of Proposals. Firm Proposals for periods of less than this number of days may be considered non-responsive. The Proposer may specify a longer period of firm price than indicated here. If no period is indicated by the Proposer in the Proposal, the price will be firm until written notice to the contrary is received from the Proposer, unless otherwise specified in this RFP.

10.20 Awards
The County may, at its discretion evaluate all responsive Proposals. The County reserves the right to make the award on an all or partial basis or split the award to multiple Proposers based on the lowest responsible proposers meeting the specifications, terms and conditions. If a split award impacts the outcome of the project it must be so stated in the proposal.

10.21 Cook County Rights
The County reserves the right to reject any and all offers, to waive any informality in the offers and, unless otherwise specified by the Proposer, to accept any item in the offer. The County also reserves the right to accept or reject all or part of your Proposal, in any combination that is economically advantageous to the County.

10.22 Alteration/Modification of Original Documents
The Proposer certifies that no alterations or modifications have been made to the original content of this Bid/RFP or other procurement documents (either text or graphics and whether transmitted electronically or hard copy in preparing this proposal). Any alternates or exceptions (whether to products, services, terms, conditions, or other procurement document subject matter) are apparent and clearly noted in the offered proposal. Proposer understands that failure to comply with this requirement may result in the proposal being disqualified and, if determined to be a deliberate attempt to misrepresent the proposal, may be considered as sufficient basis to suspend or debar the submitting party from future County Bid and RFP procurement opportunities.

10.23 Recycling
Packaging which is readily recyclable, made with recyclable materials, and designed to minimize potential adverse effects on the environment when disposed of by incineration or in a landfill is desired to the extent possible. Product(s) offered which contain recycled materials may be acceptable provided they meet all pertinent specifications and performance criteria outlined in this RFP. If the product(s) offered are manufactured utilizing recycled materials, identify the percentage composition and nature of the recycled content within.
11 Evaluation and Selection Process

11.1 Responsiveness Review
County personnel will review all proposals to ascertain that they are responsive to all submission requirements.

11.2 Acceptance of Proposals
Chief Procurement Officer reserves the right to reject any or all Proposals or any part thereof, to waive informalities, and to accept the Proposal deemed most favorable to the County.

11.3 Evaluation Process
An evaluation committee comprised of the County personnel will evaluate all responsive proposals in accordance with the evaluation criteria detailed below.

This evaluation process may result in a short-list of proposals. The evaluation committee, at its option, may request that all or short-listed proposers make a presentation, other customer testimonials, submit clarifications, schedule a site visit of their premises (as appropriate), provide a best and final offer, provide additional references, respond to questions, or consider alternative approaches.

11.4 Proposer Presentations
The County reserves the right to, but is not obligated to, request and require that each Proposer provide a formal presentation of its Proposal at a date and time to be determined. If required by the County, it is anticipated that such presentation will not exceed four (4) hours. No Proposer will be entitled to present during, or otherwise receive any information regarding, any presentation of any other Proposer.

11.5 Right to Inspect
The County reserves the right to inspect and investigate thoroughly the establishment, facilities, equipment, business reputation, and other qualification of the Proposer and any proposed subcontractors and to reject any Proposal regardless of price if it shall be administratively determined that in the County’s sole discretion the Proposer is deficient in any of the essentials necessary to assure acceptable standards of performance. The County reserves the right to continue this inspection procedure throughout the life of the Contract that may arise from this RFP.

11.6 Best and Final Offer
The County reserves the right to request a Best and Final Offer from finalist Proposer(s), if it deems such an approach necessary. In general, the Best and Final Offer will consist of updated costs as well as answers to specific questions that were identified during the evaluation of Proposals.
If the County chooses to invoke this option, Proposals will be re-evaluated by incorporating the information requested in the Best and Final Offer document, including costs, and answers to specific questions presented in the document. The specific format for the Best and Final Offer would be determined during evaluation discussions. Turnaround time for responding to a Best and Final Offers document is usually brief (i.e., five (5) business days).

11.7 Selection Process
Upon review of all information provided by shortlisted proposers, the evaluation committee will make a recommendation for selection to the Chief Procurement Officer for concurrence and submission to the County elected officials. The County reserves the right to check references on any projects performed by the proposer whether provided by the proposer or known by the County. The selected proposal will be submitted for approval to the County Board. The County intends to select a proposal that best meets the needs of the County and provides the best overall value. Upon approval of the selected Proposer, a contract will be prepared by the County and presented to the Selected Proposer for signature.

12 Evaluation Criteria
12.1 Responsiveness of Proposal
Proposer is compliant with all the submission requirements of the RFP.

12.2 Technical Proposal
Proposals will be reviewed and selected based on the following criteria:

1 Quality of the proposed Plan of Action, Project Approach, Project Management and Methodology, including implementation schedule, support in the post implementation phase and understanding of the County’s needs goals and objectives as evidenced by responses to requirements stated in the RFP and the Systems Requirements Matrix.

2 Qualifications and specialized experience for the Proposer to successfully perform the services for the County, as evidenced by the successful implementation of similar projects in at least three (3) large complex public sector organizations. Preferably city, county, state, or other government entities.

3 Qualifications and experience of the proposed key personnel as evidenced by relevant experience.

4 Level, quality, and relevancy of proposed participation by certified MBE/WBE firms.

12.3 Price Proposal
Price will be evaluated separately for overall reasonableness.
13 Submission of Proposal

13.1 Instructions for Submission

13.1.1 Number of Copies
Proposers are required to submit one (1) hardcopy original and two (2) electronic copies no later than the time and date indicated in the RFP. Proposers should submit copies of the proposal on CD/DVD or flash drive. The original should be clearly marked “original.”

13.1.2 Time of Submission
Proposals shall be submitted no later than the date and time indicated for submission in this RFP. Late submittals may not be considered.

13.1.3 Format
Proposal should be left-bound with information on one side only. Material should be organized following the order of the submission requirements separated by labeled tabs. Expensive paper and bindings are discouraged since no materials will be returned.

13.1.4 Complete Submission
Proposers are advised to carefully review all the requirements and submit all documents and information as indicated in this RFP. Incomplete proposals may lead to a proposal being deemed non responsive. Non responsive proposals will not be considered.

13.1.5 Packaging and Labeling
The outside wrapping/envelope shall clearly indicate the RFP Title and date and time for submission. It shall also indicate the name of the proposer.

13.2.6 Pricing Proposal
The Price Proposal one (1) hardcopy and one (1) electronic copy shall be submitted in a separate sealed envelope. The envelope shall clearly identify the content as “Price Proposal”. All other submission requirements shall be included with the Technical Proposal. No pricing elements should be included in the technical proposal.

13.1.7 Timely Delivery of Proposals
The Proposal, including the Technical Proposal and the Pricing Proposal must be either delivered by hand or sent to Cook County, Office of the Chief Procurement Officer through U.S. Mail or other available courier services to the address shown on the cover sheet of this RFP. Include the RFP number on any package delivered or sent to the County, Office of the Chief Procurement Officer and on any correspondence related to the Proposal. If using an express delivery service, the package must be delivered to the designated building and office. Packages delivered by express mail services to other locations might not be re-delivered in time to be considered.
13.1.8 Late Proposals
The proposer remains responsible for ensuring that its Proposal is received at the time, date, place, and office specified. The County assumes no responsibility for any Proposal not so received, regardless of whether the delay is caused by the U.S. Postal Service, the County Postal Delivery System, or some other act or circumstance.

13.1.9 Schedule of Revisions to RFP Schedule
Should the Proposer consider that changes in the County’s RFP schedule are required; the Proposer shall submit a revised summary schedule with an explanation for the revision for the County’s review. The County will be under no obligation to accept revised schedules.

13.2 Submission Requirements

13.2.1 Cover Letter
The cover letter shall be signed by an authorized representative of the Proposer. The letter shall indicate the Proposer’s commitment to provide the services proposed at the price and schedule proposed.

13.2.2 Executive Summary
The executive summary should include a brief overview of the solution for the New Document Management & Cashiering System and the key personnel who will be responsible for the services to be provided. The Summary shall also identify the subcontractors of the team that comprise the Proposer. In an organizational chart for the project, indicate the organizational relationship of the subcontractors and their key personnel to the project, prime proposer and the prime’s key personnel.

13.2.3 Qualifications of the Proposer
Include a brief description of the organization’s track record, including history, number of employees, number of years in business, and a list of projects and references relevant to this RFP where relevant projects were implemented. Please provide at least three (3) references, preferably with municipal government projects. Include the name of the contact person, name of the organization, project dollar value, address, telephone number and email address. In addition, for each firm included in the proposal, provide at least three (3) references with relevancy to the project scope.

13.2.4 Propose Plan of Action, Implementation and Solution
Provide a detailed proposed plan of action indicating how all requirements will be met and the methodology proposed recommendations and implementation plan to successfully meet the goals of the County. In addition, the proposed plan of action shall include key milestones, staff & schedule, and ability to deliver value with a solution evidenced by cost savings.
13.2.5 Key Personnel
Provide a chronological resume for each of the key personnel proposed. Each key personnel shall have two (2) references. In addition, provide the time commitment for each key personnel. Indicate the level of their commitment to other projects if any. The County requests that Project manager be locally available for the duration of the project.

13.2.6 MBE/WBE Participation
For each MBE/WBE certified firm proposed, provide the name of the MBE/WBE firm(s), level of participation, the role that the subcontractor(s) will perform, the type of services that it will provide, and a brief background and resumes of proposed personnel proposed. The County may only award a contract to a responsible and responsive proposer. In the event that the proposer does not meet the MBE/WBE participation goal stated by the County for this procurement, the proposer must nonetheless demonstrate that it undertook good faith efforts to satisfy the participation goal. Evidence of such efforts may include, but shall not be limited to, documentation demonstrating that the proposer made attempts to identify, contact, and solicit viable MBE/WBE firms for the services required, that certain MBE/WBE firms did not respond or declined to submit proposals for the work, or any other documentation that helps demonstrate good faith efforts. Failure by the proposer to provide the required documentation or otherwise demonstrate good faith efforts will be taken into consideration by the County in its evaluation of the proposer’s responsibility and responsiveness.

13.2.7 Financial Status
Provide the audited financial statements for the last three fiscal years. Include the letter of opinion, balance sheet, schedules, and related auditor’s notes.

13.2.8 Legal Actions
Provide a list of any pending litigation in which the proposer may experience significant financial settlement and include a brief description of the reason for legal action.

13.2.9 Conflict of Interest
Provide information regarding any real or potential conflict of interest. Failure to address any potential conflict of interest upfront may be cause for rejection of the proposal.

13.2.10 Economic Disclosure Statement
Execute and submit the Economic Disclosure Statement (“EDS”) (this is the link to download). In the event any further clarification is required on any of the information provided, the County reserves the right to make any necessary communication with the Proposer for such purpose. Such communication, if made, may include a deadline by which time any necessary clarifying information must be submitted.
13.2.11 Contract
The Contract in Appendix VII is provided for information only. Execution of the Contract is not required at the time the proposal is submitted. In the event you disagree with the Contract provisions, submit any exceptions to the standard contract and include the rationale for taking the exception. If you are proposing alternate language, please include the language for consideration.

13.2.12 Other
Submit any information the Proposer deems pertinent to demonstrate its qualifications to perform the services being requested such as memberships in any professional associations.
Appendix I (Definitions)

For purposes of this RFP, the County uses the following definitions:

“Acceptance” means the acceptance of the successful Implementation of the complete “System” and successful completion and delivery of all Deliverables as set forth herein.

“Application” means the software(s) proposed to fulfill the County’s requirements under this RFP, regardless of whether the proposer has manufactured or created the software(s).

“Cloud Computing”\(^1\) or “Cloud” means a model for enabling ubiquitous, convenient, on-demand network access to a shared pool of configurable computing resources (e.g., networks, servers, storage, applications, and services) that can be rapidly provisioned and released with minimal management effort or service provider interaction.

“Community Cloud” means a Cloud infrastructure provisioned for exclusive use by a specific community of consumers from organizations that have shared concerns (e.g., mission, security requirements, policy, and compliance considerations). It may be owned, managed, and operated by one or more of the organizations in the community, a third party, or some combination of them, and it may exist on or off premises.

“County Data” means any data, including metadata about such data and backup or other copies thereof, that the proposer or its subcontractors obtains or accesses for the purposes of performing its obligations under the its proposal; to the extent there is any uncertainty as to whether any data constitutes County Data, the data in question shall be treated as County Data.

“Hosting” means the environment in which the Application and corresponding services (e.g., SaaS, PaaS, or IaaS) are deployed, regardless of whether such environment is On-Premises, Remotely Hosted, or in the Cloud, and regardless of whether a party other than the proposer provides such environment and services. Hosting is included within the definition of System.

“Hybrid Cloud” means a Cloud infrastructure composed of two or more distinct Cloud infrastructures (private, community, or public) that remain unique entities, but are bound together by standardized or proprietary technology that enables data and application portability (e.g., cloud bursting for load balancing between clouds).

“Hybrid Hosting” means a combination of two or more of the following: On-Premise Hosting, Remote Hosting and/or Cloud Computing. Hybrid Hosting is different than Hybrid Cloud.

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\(^1\) Cook County generally follows the definitions of the National Institute of Standards and Technology (“NIST”) relating to cloud computing, which this RFP loosely summarizes. Proposers should find the complete NIST definitions set forth in NIST Special Publication 800-45, available at: [http://csrc.nist.gov/publications/nistpubs/800-145/SP800-145.pdf](http://csrc.nist.gov/publications/nistpubs/800-145/SP800-145.pdf) (last visited November 13, 2013)
“Infrastructure as a Service” or “IaaS” means a service model where the provider provisions processing, storage, networks, and other fundamental computing resources to the County for deploying and running arbitrary software, where the County does not manage or control the underlying infrastructure but where the County has control over operating systems, storage, deployed applications, and possibly limited control of select networking components (e.g., host firewalls).

“On-Premise Deployment” or “On-Premise” means Hosting that the County provides directly on its premises.

“Platform as a Service” or “PaaS” means a service model where the County deploys its own applications onto the provider’s infrastructure using provider-supported coding languages and tools, but where the County does not manage or control the underlying infrastructure.

“Private Cloud” means a Cloud infrastructure provisioned for exclusive use by a single organization comprising multiple consumers (e.g., business units). It may be owned, managed, and operated by the organization, a third party, or some combination of them, and it may exist on or off premises.

“Public Cloud” means a Cloud infrastructure provisioned for open use by the general public, which exists on the premises of the Cloud provider.

“Recovery Point Objective” or “RPO” means the point-in-time that systems and data must be recovered and may range from point-of-failure, which has minimal loss, to data backed up the previous night or previous week (e.g., point-of-failure, one hour of data, one day of transactions or paper work).

“Recovery Time Objective” or “RTO” means the timeframe business functions must be recovered after a declared outage (e.g., 24 hours).

“Remote Hosting” means Hosting that the County does not provide directly on its premises, but that also is not Cloud Computing.

“Software as a Service” or “SaaS” means a service model where, via a web browser or other interface, the County is to use the provider’s applications running on a Cloud Computing infrastructure, but where the County does not manage or control the underlying infrastructure.

“System” means the Application, other software, hardware, processes, services and Hosting proposed to fulfill the County’s requirements under this RFP, regardless of whether the aforementioned are County-specific customizations or the proposer’s standard offerings.
Appendix II (Current Server Configuration)
Appendix III (System Requirements Matrix)

Please see attached Excel Form
Appendix IV (Current Operational Process)

A previously conducted work flow analysis found a total of 25 individual work flows as shown in the accompanying flow chart: nine “parent” work flows i.e. a flow identified by a capital letter (e.g. the Bulk Recording flow is ‘A’, the Notarial Recording flow is ‘K’, etc.), nine subsequent work flows, and seven sub-processes, each describing one work process undertaken by CCRD staff. Detailed work flows are available for inspection by qualified proposers. However, CCRD does NOT wish to replicate this complicated current process in the new system. CCRD is looking for a much more streamlined future work flow, as see in Section 4.1 “Cashiering” in this RFP.

The “High Level Business Process Workflow Diagram” below shows, at a glance, every work flow this analysis revealed. Each parent work flow represents a segment of the overall CCRD business model. The seven sub-processes shown at the bottom of this exhibit represent processes that are invoked by a number of different parent process flows. For example, sub-process 9.7 (SP 9.7) is the payment process, which is invoked by all six cashiering functions.

A number of redundant steps or simply unnecessary steps exist across processes. The unnecessary steps can be eliminated entirely and the redundant steps can be consolidated under a possible Central Cashier scenario (see Section 4.1 “Cashiering” for an explanation of the Central Cashier function). **The combination of redundant or entirely unnecessary steps adds up to thirty seven percent (37%) of the total work steps.**

The problem of redundancy or irrelevance arises for several reasons:

- Several work flows appear to be essentially the same as others, but in fact are separately managed and operated. For example, the Overnight Mail flow and the Standard Mail flow are very similar, and could be merged into one reengineered process, but today they are handled as two.
- Cashiering is done in six separate areas, but all cashiering functions are essentially the same and could be merged into one Central Cashier position.
- The Review process occurs in a number of separate work flows. The review steps appear to duplicate much of what cashiering does now, and could be repositioned as Quality Assurance steps in the Central Cashier scenario.
Appendix V (Software Reference Architecture)

Proposers are expected to propose the best methodology and solution, and are encouraged to provide innovative ideas to meet the needs of the County.

1 Introduction

CCRD is undertaking a Cashiering and Electronic Document Management (CEDM) initiative to modernize its cashiering, document management capabilities. This document is intended to be CCRD’s Blueprint for CEDM services. It defines the Application Stack Architecture or Reference Architecture to fulfill CCRD’s business and information requirements and outlines a systems acquisition and implementation strategy to support CCRD’s core mission to Cook County constituents.

The Application Stack or Reference Architecture is framework-based to ensure that the functionality from the proposed solution will easily integrate into the existing technology environment with a high focus on reusability of existing services and minimum customization. It is essential that architecture management is an ongoing process with active involvement. The solution will establish processes to ensure that the Cashiering and Document Management application is compliant with the overall framework.

This initiative is one of CCRD’s Core Business Application services and will be fully aligned with the Cook County Bureau of Technology Architecture objectives (BOT) and CCRD’s technology objectives. As a Core Business Application service, CEDM will support the full life cycle of scanning and document management activities, correspondence management as well as cashiering functionality. This includes the scanning, creation and processing of documents and records, document and record review, document publication, and archiving activities. In addition, it will also satisfy the requirements of the core services of Cashiering, Indexing and Recording Workflow. CEDM will also support online collaboration between CCRD satellite offices, Cook County departments, and external organizations such as mortgage, banking, and title companies and Cook County property owners.

Recommended next steps are provided to mitigate the risks of moving forward and serve as the model for future implementations of CCRD technology.

CCRD is undertaking an initiative to modernize its cashiering and electronic document management capabilities. This modernization effort includes allowing CCRD to fully meet several operational objectives including:

- Implementing a Centralized Cashiering function,
- Potentially combining Indexing and Cashiering into one function for Centralized Cashiering
- Acquiring a new Cashiering and Electronic Document Management System.
1.1 Purpose
The purpose of this Segment Blueprint is to establish a basis by which CCRD programs can incorporate and implement Cashiering and Document management requirements and functionality into all areas of business operations by:

- Promoting a standard means of implementing cashiering and document management technology at CCRD
- Identifying document management requirements and link them to services, technologies and business processes
- Defining cashiering and document management requirements and standards to enhance planning, business process design, and the systems development life cycle
- Establishing a concise and coherent body of document management resources within the agency

1.2 Benefits
The approach to business problem definition, exploration, and solutions results in the following outcomes:

- Reduced IT Diversity and Complexity – simplifies CCRD’s IT environment by promoting standards and the sharing and reuse of common technologies

- Improved Interoperability - enacts enterprise-wide standards that enable greater interoperability across disparate applications, both internal and external, and promotes platform and vendor independence where appropriate

- Improved Utilization of Resources – reduces system development time and operations and maintenance costs by eliminating duplicative investments, promoting sharing of common services and establishing agency standards

- Accelerated System Implementation – equips the Agency’s system and business users with a source of component-based services from which to choose that provide well-defined functionality, thus maximizing reuse and portability of previously developed processes, components, code, etc.

1.3 CCRD IT Life cycle
This segment architecture for CEDM is intended to be CCRD’s department wide blueprint for cashiering and electronic document management services. It defines the future architecture to fulfill CCRD’s business and information requirements and outlines a systems implementation strategy to support CCRD’s line of services. Segment architecture products describe the scope, workflow and functional and informational requirements for specific business processes.

Like all segment architectures, this document is dynamic and will evolve along with CCRD’s business requirements, organization changes and changes to technology and available implementation options. New and revised blueprints should be submitted to the enterprise architecture life cycle process for review and approval.

1.4 Enterprise Architecture (EA) Alignment
The Application software architectural framework for The Cook County Recorder of Deeds (CCRD) requires a system that meets the office’s functional recording and management
needs. It must be capable of handling seamlessly integrated input from all CCRD recording related functions. It must fully address all CCRD cashiering, document management and workflow requirements. At minimum, it must address:

- Full integration built on industry standard software.
- Capabilities that exceed most industry standards.
- Provide an easy-to-use graphical user interface and single database that provides CCRD with flexibility to support office growth.
- ‘Best-of-breed’ security, reporting, and public research.

The framework must include at minimum the combination of common graphic user interfaces and database(s) that will enable the system’s inter-workings and adaptability to CCRD’s needs. Consideration must be given to the system’s ability to execute workflow, common look and feel, single scanning platform, and ability to create one searching entry point for public users between the various modules.

The system should be tightly integrated to deliver end-to-end integration with the following capabilities:

- Back office integration
- Cashiering
- Electronic document management
- Indexing (Manual & Automatic)
- Verification (Sight & Double Key)
- Redaction (Manual & Automatic)
- Public information access
- Reporting
- Security
- Scanning and Imaging
- Storage
- Workflow processing
- Document interchange with other County Offices.

Three underlying components form the application software’s foundation: (1) Database capabilities (2) Scanning/imaging software (3) Public search software.

There are three underlying components that are minimum requirements for the application stack or reference architecture: (1) Database capabilities (2) Scanning/imaging capabilities (3) Public search capabilities. The database must support two main levels of system functionality: (1) document management features and (2) cashiering functionality.

The solution will establish processes to ensure that the selected application is compliant to the overall framework.

The Cashiering and Electronic Document Management Segment Blueprint reflects CCRD’s EA principles. This set of foundation values supplies a uniform definition of high-level boundaries and opportunities for modernization ensuring that EA supports CCRD’s business and technology requirements. They also help establish a common vision to ensure that
strategic objectives are not compromised by tactical decision-making.

The blueprint provides a set of common and standard services to serve as the basis for reusability and application deployment. This set of services will abstract the functional and non-functional requirements into lowest level granular individual abstractions. Also services are accessible independent of implementation and transport.

Another principle inherent in this architecture is that compliance with CCRD’s EA is a prerequisite for IT investment. The following EA principles are directly related to this segment:

- CCRD’s EA is implemented through segment architectures
- CCRD’s EA seeks to employ current technologies in creating solutions for its stakeholders
- CCRD’s EA promotes sharing, reuse and common solutions
- CCRD’s EA reduces complexity through the use of enterprise standards
- Security and privacy are integrated into all architectural layers.

CCRD’s IT goals and objectives are in direct alignment with the recommendations of Recorder Yarbrough’s Transition Team Report under the Technology (IT) Innovation section. The goals and objectives related directly to the Cashiering and Electronic Document Management Segment Blueprint are summarized below:

- Enhance functionality and customer service
- Increase efficiency
- Increase accuracy of data entry and fee collection
- Increase revenue
- Improve monitoring and reporting
- Improve data accessibility and security
- Improve communication and coordination
- Improve alignment of IT to Business needs.

CCRD’s Architectural Drivers included in the Target Architecture that are directly applicable to Cashiering and Electronic Document Management include:

- Improve services to Cook County partner agencies.
- Respond to increased demand for CCRD services amid reduced budgetary resources
- Enhance flexibility in responding to changing customer needs
- Respond to, and proactively participate in, the government-wide drive for collaboration

The Common Requirements Vision (CRV) is a set of target architectural requirements that are applicable across CCRD. The CRV begins the translation of CCRD’s strategic direction and drivers into a set of common services that are required in the target environment. A new Cashiering and Electronic Document Management system must directly support the common requirements that apply to the Cashiering Electronic Document Management Segment.
Architecture and indirectly supports all other requirements.

2.0 Segment Architecture
To properly provide services to CCRD, the CEDM segment architecture should address four distinct functional sub-areas: Cashiering, Document Management, Records Management and Archive Management. These four sub-areas and their relationships are illustrated in Figure 1.

![Diagram showing relationships between Cashiering, Document Management, Records Management, and Archive Management]

Figure 1 - Relationship between Cashiering, Document Management, Records Management and Archive Management.

The Cashiering function consists of processing citizen payments, including the following major tasks:

- Receive citizen payments
- Prepare payments for deposit
- Deposit payments into account(s)
- Record all payment deposit information
- Post payments to transaction ledgers
- Transfer monies to the Cook County General Fund

The primary objective of Cashiering is the prompt and accurate processing of citizen payments. To achieve this, the Cashiering function must:

- Process all payments accurately and record deposit activities accurately (Accuracy
and Completeness)

- Deposit all payments promptly and transfer monies to the Cook County General Fund timely (Accuracy and Completeness and Timeliness)

Document Management is the capture and management of documents within an organization. Following standard industry practices, document management includes the following functional areas:

- Document Imaging and OCR
- Document Referencing
- Document Revisions
- Library and Storage
- Document Review and Approval
- Document Conversion
- Indexing
- Classification

Electronic Document Management Systems (EDMS) are designed to assist organizations with the management, creation and processing of documents through the provision of a centralized repository and a workflow process that encapsulates business rules and metadata. The focus of an EDMS is primarily on the storage and retrieval of self-contained electronic resources in their native (original) format.

Document Management is the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved in document creation, maintenance and use, and disposition in order to achieve adequate and proper documentation of the policies and transactions of the Cook County Recorder of Deeds and effective and economical management of agency operations.

Document management addresses the life cycle of documents, i.e., the period of time that documents are in the custody of CCRD. The life cycle usually consists of three stages:

- Creation or receipt
- Maintenance and use
- Disposition

Tools for maintaining and using documents include file plans, indexes, controlled vocabularies, taxonomies, data dictionaries, and access and security procedures. The main tool used to manage the disposition of documents is the document schedule.

For CCRD, archive management is concerned with the evaluation and identification of documents that have long term value and should be preserved, the arrangement and description of documents identified for archive, and the transfer of information with an Electronic Records Archive (ERA).
3.0 CCRD CEDM Scope
The scope of the CCRD CEDM Segment Architecture is to provide the capability to meet
CCRD’s business requirements in all three areas of cashiering and document management,
records management and archive management.

3.1 CEDM as a CCRD Core Business Application service
CCRD’s CEDM service is not directly aligned with one of CCRD’s ten major business
processes. Rather, CEDM is a Core Business Application service that can be used to meet
the electronics document and records management needs across all of the CCRD’s business
areas. Core Business Application Services are activities associated with identifying, selecting,
planning for, and implementing IT services that can be shared across CCRD’s business
functions. The implementation of CCRD’s CEDM as a Core Business Application service
provides advantages in terms of enhanced functionality, component reuse, information
sharing, and end user training.

While CCRD’s target enterprise architecture suggests an eventual migration to a single
enterprise CEDM solution, there may be requirements unique to a particular CCRD line of
business that may require CEDM capability and implementation other than those provided by
the proposed CCRD CEDM Core Business Application service. In such cases, a business
case will need to be provided and approved by the Office of the CIO to justify such an
investment.

3.2 Requirements
CCRD is defining a set of requirements for an enterprise records management system. As a
minimum, the CCRD CEDM Core Business Application service will need to provide these
services in addition to requirements for document and archive management. For CCRD, EDM
is defined to include functionality supporting document collection, organization, categorization,
storage, metadata capture, physical record tracking, retrieval, use, and disposition. At a high
level, the CCRD mandatory requirements for Enterprise Document Management Applications
(EDMAs) are summarized as:

- Managing Documents
- Accommodating Dates and Date Logic
- Implementing Standard Data
- Backward Compatibility
- Accessibility

In addition, CCRD has the following additional high-level requirements for an enterprise
electronic document and records management solution:

- Must be able to manage case information for CCRD business lines
- Must be able to support standard data exchange with other government agencies
There are also high-level document management requirements that the CCRD CEDM Core Business Application service must fully address:

- Must support correspondence management
- Must provide an integrated solution for CCRD headquarters and its field offices
- Must provide for the management of electronic files, folders, and cases including document-level version control

The high-level archive management requirements that the CCRD CEDM Core Business Application service must address includes the identification and evaluation of records and the transmission of records to CCRD’s Electronic Records Management System. In addition, it must provide support for FOIA request management.

Finally, the following are specific high-level integration and technical requirements that the CCRD CEDM must support:

- Any service must be integrated with the Tracking and Workflow Core Business Application service and provide the ability to include CCRD documents and records in workflow and tracking services.
- Any system must be capable of meeting all requirements necessary for FISMA compliance including maintaining access controls, audit trails, and other security best practices.
- Must be integrated with the technology and infrastructure platform

4.0 Business Reference Model
The Cook County Recorder of Deeds believes that the Business Reference Model (BRM) can be improved to adequately capture the full life cycle of cashiering and document management activities. Management is addressed in two primary business areas:

- Support Delivery of Services
- Management of CCRD Resources

Within CCRD’s BRM (Figure 2), CEDM is a horizontal service supporting CCRD’s business functions. Specifically, CEDM has a major role in supporting the Support Delivery of Services, Mode of Delivery and the Management of CCRD Resources business functions. Example lines of business will need to define the specific requirements to leverage the desired capabilities from the CEDM Core Business Application service.
There are several CCRD strategic business objectives (Figure 3) that are addressed by the CEDM Core Business Application service. CCRD has incorporated specific business objectives related to CEDM, along with performance improvement targets, outcomes, and milestones into its EA transition plan:

<table>
<thead>
<tr>
<th>Business Need</th>
<th>Performance Improvement</th>
<th>Outcomes</th>
<th>FY2015 Milestones</th>
</tr>
</thead>
<tbody>
<tr>
<td>Collaborate among Cook County offices</td>
<td>Improve internal efficiencies</td>
<td>Improve accountability and customer service</td>
<td>Enable electronic submission of mortgage case binders</td>
</tr>
<tr>
<td>Need electronic recording</td>
<td>Simplify procedures</td>
<td>Improve management controls</td>
<td>Reduce mailing and storage costs</td>
</tr>
<tr>
<td>Consolidate ten business processes</td>
<td>Streamline tasks</td>
<td>Simplify processing procedures and record deposition</td>
<td>Decrease O&amp;M costs</td>
</tr>
<tr>
<td>Fully comply with documentation standards</td>
<td>Meet statutory requirements</td>
<td>Increase access to documents for historic research</td>
<td>Increase the electronic submissions</td>
</tr>
<tr>
<td>------------------------------------------------</td>
<td>-----------------------------</td>
<td>--------------------------------------------------</td>
<td>----------------------------------</td>
</tr>
<tr>
<td>Provide robust enterprise document management</td>
<td>Minimize retrieval costs for FOIA inquiries</td>
<td>Increase mortgage, title, lien processing</td>
<td></td>
</tr>
</tbody>
</table>

**Figure 3 – Strategic Business Needs Addressed by CEDM**

There are additional CCRD business activities and requirements that impact the functionality required from the CEDM Core Business Application service:

- State of Illinois Legislative Correspondence
- Interagency Correspondence
- Contracts
- Legal Cases

From these activities and functional business areas, there are specific business drivers that provide additional justification for the CCRD CEDM Core Business Application service including:

- Excessive costs associated with the existing GRM 20/20 system
- Lack of automated tools to validate PIN numbers
- Multiple processes, mixed with manual, telephone, faxed, and system requests
- Different support technologies, such as barcodes and data entry techniques
- Lost records
- Many local independent record-keeping applications using spreadsheets, MS Access databases, and written logs

### 5.0 Service Component Reference Model

The Service Component Reference Model (SCRM) categorizes components with respect to how they support business and/or performance objectives. Within the SCRM, the CCRD CEDM Core Business Application service is directly aligned with the Digital Asset Services Domain. The Digital Asset Services Domain consists of the capabilities to support the generation, management, and distribution of intellectual property and electronic media across the business and extended enterprise. All of the Domain Service Types will be addressed by the CCRD CEDM. Specifically, the Digital Asset Services include content management, document management, knowledge management, and records management (Figure 4). Document and records management comprise the core of the CCRD CEDM and must be capable of providing support for content management and knowledge management capabilities required by CCRD’s business areas.
The following table (Figure 5) provides a list of the SCRM service components that may be applicable to the functionality that will be supported by the CCRD CEDM. See the FEA SCRM for a detailed description of the capabilities described by each of the service component listed.
In addition, CCRD has defined specific document management activities that can potentially be supported by service components. These activities and corresponding service components were identified by the CCRD Cashiering and Document Management Requirements activity. CCRD considers these to represent the minimum functional requirements for the development of Records Management Service Components for each identified activity.

### 6.0 Performance Indicators

To be effective, CCRD must determine what data is essential for documentation, to ensure that such data is created, and make it easy for users to access that information regardless of where it is, or where they are, for as long as needed. CCRD must also find technologies, techniques, and partners that can help improve service and hold down costs, and help staff members continuously expand their capability to make the changes necessary to realize the CCRD's strategic goals.

---

**Figure 5 – CCRD CEDM to SCRM Service Components**

<table>
<thead>
<tr>
<th>Service Type</th>
<th>SCRM Component</th>
</tr>
</thead>
</table>
| Content Management         | • Content Authoring  
|                           | • Content Review and Approval  
|                           | • Tagging and Aggregation  
|                           | • Content Publishing and Delivery  
|                           | • Syndication Management |
| Document Management        | • Document Imaging and OCR  
|                           | • Document Referencing  
|                           | • Document Revisions  
|                           | • Library/Storage  
|                           | • Document Review and Approval  
|                           | • Document Conversion  
|                           | • Indexing  
|                           | • Classification |
| Knowledge Management       | • Information Retrieval  
|                           | • Information Mapping/Taxonomy  
|                           | • Information Sharing  
|                           | • Categorization  
|                           | • Knowledge Engineering  
|                           | • Knowledge Capture  
|                           | • Knowledge Distribution and Delivery  
|                           | • Smart Documents |
| Records Management         | • Records Linking/Association  
|                           | • Document Classification  
|                           | • Document Retirement  
|                           | • Digital Rights Management |
In addition to listing performance goals and measures for evaluating performance, CCRD will need to describe the processes, skills, and technologies, and the human, capital, and informational resources needed to meet performance goals.

Examples of potential performance measures that CCRD can further define, capture and track include the following:

- % of requests answered within 10 business days
- % of FOIA requests completed within 20 working days
- % of customers with appointments for which records are waiting at the scheduled time
- Number of completed business area applications submitted
- Number of completed business area applications accepted/processed

### 7.0 Conceptual Technology Architecture

#### 7.1 Directives

The development of a CEDM Core Business Application service is a Recorder of Deeds priority. CEDM will support the full life cycle of document management activities and correspondence management, including the creation and processing of records, the collaboration between program offices plus review, final publication, and archiving activities. In addition, CEDM will support online collaboration between program offices and CCRD business offices and clients.

The outcomes of providing CEDM include:

- Improved Customer Service
- Improved Data Quality and Access
- Increased Collaboration
- Increased Responsiveness

#### 7.2 CCRD CEDM Conceptual Technical View

Figure 6 shows a conceptual architecture for the implementation of electronic document and records management at CCRD. It shows the division of activities between document management, records management and archive management in the life cycle of a typical document in a CCRD business workflow.
Figure 6 – Conceptual Functional View of Electronic Document and Records Management at CCRD

Functionally, the processes that provide CEDM will be implemented in the reference technical architecture. Specifically, the documents will be stored in an enterprise data layer. Application components for managing the documents and providing the core CEDM functionality will be located in the application tier and the presentation layer will provide the document management operations for accepting information from users and generating documents from CCRD’s enterprise information stores (Figure 7).

The system is based on a Three-Tier Client/Server architecture, installed using the TCP/IP communications protocol. This architecture is trusted as the most appropriate for networked installations. It consists of three discernible tiers or layers:

- Data Layer
- Application Layer
- Presentation Layer

As the main part of the system, the Data Layer provides all the necessary operations, retrieving, updating and supporting data. Moreover, it provides all the essential mechanisms
for Data Integrity.

The predominant database standard at Cook County is Microsoft SQL Server, but the software should have the ability to support other SQL platforms like Oracle and DB/2.

The Application Layer is the main part of the hardware where most of the operations are executed, apart from those related to Screen format (final user interface).

More than one Application Server may be installed in different machines, thus fully utilizing every available computational power, ensuring remarkable response, credibility and expansion results.

By distributing the Application Servers on independent machines, the overall load of the system would be reduced. In this case, every Server can support a subset of the Remote Clients total number (e.g., Application Server A will serve the customers of CCRD branch A, while Application Server B will serve the customers of CCRD branch B).

The third software tier/layer constitutes the user interface with the system. At this layer, the User Screens management is performed, as well as the format of data displayed. The Client’s communication with the Application or the Application Servers is performed using only one data package each time. The result is the best possible response time between the Client and the Application Server, since these two tiers can operate on a single telecommunications line (leased line, dialup and Internet connection), ensuring small response times for the whole system.

Client can be deployed via a web browser, eliminating the need to load program code locally and simplifying deployment as needed.

The three-tier composition ensures:

- Reducing network’s overload, because of vast data volumes transfer. For example, running a Query to retrieve some documents from a table with several thousand entries is performed in the Application Server, which transfers to the client only the result.

- Running the Database Server on a different machine from the Application Server or the Application Servers. This way, it becomes possible to define the crucial sizing of corresponding machine’s performance independently, while at the same time, you may ensure unlimited expansion without any software reconstruction.

- Maximum flexibility in the selection of the Database Server, since the use of any machine with any operating system is permitted, requiring only the communication capability through TCP/IP protocol. Thus, a next upgrade is possible concerning the database by changing/upgrading the machine, without influencing the rest of the system.
7.3 Relevant Standards
The technical implementation of CEDM must be capable of supporting the existing data formats in use within CCRD as well as support for Internet-friendly formats including PDF, XML (including HTML), and open document formats.

7.4 CCRD Technical Reference Model
CCRD’s TRM describes the standards, specifications and products that support the secure management and delivery of business (or service) components.

8.0 Recommended Next Steps
The following tasks are recommended to support CCRD’s Target Architecture, including the implementation of a CCRD agency CEDM solution:

- **Validate Interoperability** - For each line of business, the implementation and integration of CEDM must include validation of interfaces with existing data sources, processes and applications within each business area and interfaces between existing and planned business area partners and stakeholders.

- **Conduct Stakeholder Analysis and Communications** - For significant business
process and system changes, it is important to conduct stakeholder analysis. This consists of identifying the people (staff, partners, management) affected by the change, prioritizing their concerns, understanding their needs, and developing a plan to communicate the change management strategy.

- **Update Business Case** - The execution of initial or pilot deployments provides an opportunity to further refine the business case for the Core Business Application service and any affected Business Area investments. The CEDM deployment should produce data that adds value to IT investment business case including details such as actual cost and realized benefits.

- **Conduct Process Analysis** - CCRD’s lines of business may conduct business process re-engineering to identify opportunities to implement the CEDM Core Business Application service to achieve performance improvement.

- **Define Opportunities for Service Component Sharing and Reuse** - CCRD has adopted a service-oriented, component-based approach to architecture that seeks to “build once, use often.” As new services such as CEDM are developed and deployed, it is necessary to assess whether there are additional opportunities for the sharing and reuse of the Core Business Application service to achieve performance improvements.

- **Develop Metrics of Success** - For each of the business areas, specific performance metrics will have to be established to define what constitutes a successful integration of CEDM with a specific Business Area. These performance measures should be related directly to the contribution CEDM makes to the business outcomes of the Business Area. For example, the integration of CEDM with the Cook County Clerk and Assessor should result in developing performance measures related to the number of documents indexed and the response time to the applicants.
Appendix VI (Insurance Requirements)

Insurance Requirements of the Contractor

Prior to the effective date of this Contract, the Contractor, at its cost, shall secure and maintain at all times, unless specified otherwise, until completion of the term of this Contract the insurance specified below.

Nothing contained in these insurance requirements is to be construed as limiting the extent of the Contractor's responsibility for payment of damages resulting from its operations under this Contract.

Contractor shall require all Subcontractors to provide the insurance required in this Agreement, or Contractor may provide the coverages for Subcontractors. All Subcontractors are subject to the same insurance requirements as Contractor except paragraph (d) Excess Liability or unless specified otherwise.

The Cook County Department of Risk Management maintains the right to modify, delete, alter or change these requirements.

Coverages

(a) Workers Compensation Insurance

Workers' Compensation shall be in accordance with the laws of the State of Illinois or any other applicable jurisdiction.

The Workers Compensation policy shall also include the following provisions:

(1) Employers' Liability coverage with a limit of:
   $500,000 each Accident
   $500,000 each Employee
   $500,000 Policy Limit for Disease

(b) Commercial General Liability Insurance

The Commercial General Liability shall be on an occurrence form basis (ISO Form CG 0001 or equivalent) to cover bodily injury, personal injury and property damage.

Each Occurrence $1,000,000
General Aggregate $2,000,000
Completed Operations Aggregate $2,000,000

The General Liability policy shall include the following coverages:
(a) All premises and operations;
(b) Contractual Liability;
(c) Products/Completed Operations;
(d) Severability of interest/separation of insureds clause

(c) **Commercial Automobile Liability Insurance**

Contractor shall secure Automobile Liability Insurance for bodily injury and property damage arising from the Ownership, maintenance or use of owned, hired and non-owned vehicles with a limit no less than $1,000,000 per accident.

(d) **Excess Liability**

Such policy shall be excess over Commercial General Liability, Automobile Liability, and Employer’s Liability with limits not less than the following amounts:

- **Each Occurrence:** $2,000,000
- **General Aggregate:** $2,000,000

(e) **Professional / Technology Errors and Omissions Liability**

Contractor shall secure Professional Liability insurance covering any and all claims arising out of the performance or nonperformance of professional services for the County under this Agreement. This professional liability insurance shall remain in force for the life of the Contractor’s obligations under this Agreement, and shall have a limit of liability of not less than $2,000,000 per claim. If any such policy is written on a claims made form, the retroactive date shall be prior to or coincident with the effective date of this contract. Claims made form coverage, or extended reporting following the expiration or termination of this contract, shall be maintained by the Contractor for a minimum of three years following the expiration or early termination of this contract and the Contractor shall annually provide the County with proof of renewal. Subcontractors performing services for the Contractor must maintain limits of not less than $1,000,000 with the same terms in this section.

(f) **Network Security & Privacy Liability (Primary and Excess)**

Coverage for, but not limited to, Privacy and Security breaches, Service Interruption with minimum policy limits of $2,000,000 in the aggregate. If any such policy is written on a claims made form, the retroactive date shall be prior to or coincident with the effective date of this contract. Claims made form coverage, or extended reporting following the expiration or termination of this contract, shall be maintained by the Contractor for a minimum of two years following the expiration or early termination of this contract and the Contractor shall annually provide the County with proof of renewal.
**Additional requirements**

(a) **Additional Insured**

The required insurance policies, with the exception of the Workers Compensation and Professional Liability, must name Cook County, its officials, employees and agents as additional insureds with respect to operations performed. Contractor’s insurance shall be primary and non-contributory with any insurance maintained by Cook County. Any insurance or self-insurance maintained by Cook County shall be excess of the Contractor’s insurance and shall not contribute with it. The full policy limits and scope of protection shall apply to Cook County as an additional insured even if they exceed the minimum insurance limits specified above.

(b) **Qualification of Insurers**

All insurance companies providing coverage shall be licensed or approved by the Department of Insurance, State of Illinois, and shall have a financial rating no lower than (A-) VII as listed in A.M. Best’s Key Rating Guide, current edition or interim report. Companies with ratings lower than (A-) VII will be acceptable only upon consent of the Cook County Department of Risk Management. The insurance limits required herein may be satisfied by a combination of primary, umbrella and/or excess liability insurance policies.

(c) **Insurance Notices**

Contractor shall provide the Office of the Chief Procurement Officer with thirty (30) days advance written notice in the event any required insurance will be cancelled, materially reduced or non-renewed. Contractor shall secure replacement coverage to comply with the stated insurance requirements and provide new certificates of insurance to the Office of the Chief Procurement Officer. Prior to the date on which Contractor commences performance of its part of the work, Contractor shall furnish to the Office of the Chief Procurement Officer certificates of insurance maintained by Contractor. The receipt of any certificate of insurance does not constitute agreement by the County that the insurance requirements have been fully met or that the insurance policies indicated on the certificate of insurance are in compliance with insurance required above.

In no event shall any failure of the County to receive certificates of insurance required hereof or to demand receipt of such Certificates of Insurance be construed as a waiver of Contractor’s obligations to obtain insurance pursuant to these insurance requirements.

(d) **Waiver of Subrogation Endorsements**

All insurance policies must contain a Waiver of Subrogation Endorsement in favor of Cook County.
Appendix VII  (Sample Professional Service Contract)
(Please see pdf document attached to this RFP)
Appendix VIII (Pricing Proposal)
(Please see attached Excel form)