Administrative Office of the Courts
State of California

REQUEST FOR PROPOSALS

SOFTWARE AND IMPLEMENTATION SERVICES

ENTERPRISE FINANCIAL SYSTEM

February 2001

SUBMIT PROPOSALS
By March 6, 2001 at 4:00 pm (Pacific Time) to:

Ms. Melanie Hayden
Administrative Office of the Courts
Information Services Division, 3rd Floor
455 Golden Gate Avenue
San Francisco, CA 94102

Prepared with the Cooperation of the
GFOA Research Center

For more information regarding this RFP and to download required forms, please visit the California Courts Web Site

http://www2.courtinfo.ca.gov/tcfsrfp/

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INTRODUCTION

The State of California Administrative Office of the Courts (AOC) seeks, from all interested software and implementation software vendors that have proven experience in public sector enterprise resource planning (ERP) systems, proposals to license a financial management system for use by all of the State's trial courts. The AOC desires to certify an ERP system with the following functionality: general ledger/budget control, accounts receivable, accounts payable, purchasing, project accounting, and grants accounting. The vendor will be responsible for installing and configuring its software to meet base functionality presented in this Request for Proposal (RFP). The base configured software would then be licensed for use by all of the State's trial courts. The AOC is also exploring the use of application service providers (ASP) for the delivery and implementation of the software.

This project will consist of two phases. The first phase is considered the verification process. The AOC will work with the vendor and its consultants to implement and configure the base software package at the AOC between July 2001 and December 2001. Assuming a successful outcome from the first phase, the second phase is rollout. The AOC intends to enter into master software licensing and maintenance agreements with the vendor. Beginning in January 2002, all of the trial courts will have the option of purchasing a license and installing the configured base software at their own facilities or using an application service provider (ASP) as the delivery model. The ASP may be a third party, a large court serving as a regional processing center, or the AOC.

Guidelines. By virtue of submitting a proposal, interested parties are acknowledging:

(1)   The AOC may choose to sign joint or separate licensing and implementation services agreements (i.e., one license and one implementation contract) for the verification process. If a software vendor partners with an implementation firm when responding to this proposal, the software firm will be considered the primary bidder and engagement manager. Thus, if the AOC is not satisfied with the implementation firm proposed, it reserves the right to ask the software vendor to propose a different implementation partner at any time during the process. All firms submitting proposals, by virtue of doing so, are recognizing that the AOC retains this option.

(2)   The AOC reserves the right to reject any or all proposals if it determines that select proposals are not responsive to the RFP or if the proposals themselves are judged not to be in the best interests of the California Court System. Moreover, the AOC reserves the right to reconsider any proposal submitted at any phase of the procurement. It also reserves the right to meet with vendors at any time to gather additional information.

(3)   In an effort to maintain fairness in the process, all inquiries concerning this procurement are to be directed to the Administrative Office of the Courts (AOC) or the Government Finance Officers

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Association (GFOA). GFOA is the duly authorized agent of AOC for evaluation and contract negotiations. Attempts to contact AOC officials, Court officials or State elected officials or employees to influence the procurement decision may lead to immediate elimination from further consideration.

(4)   This procurement involves negotiated software and professional services contracts. As such, the AOC will negotiate with vendors throughout the procurement to get the best price and business terms. It is anticipated that once the AOC identifies two viable firms after software demonstrations, parallel negotiations will take place through GFOA on costs of software and implementation related services, as well as other items that mitigate the AOC's risks. The AOC will consider all cost and business terms to be negotiable and not artificially constrained by internal corporate policies. In short, firms that contend that they lack flexibility because of their corporate policy on a particular negotiation item, will face a significant disadvantage and may not be elevated to the final negotiation phase.

(5)   The AOC is asking for bids on software to be *"perpetual"* (i.e., AOC or any of the Trial Courts purchase and retain the license to use software forever) and "*fixed*" (i.e., license fees, maintenance, and support cost schedule for first five years are presented). Bids on implementation services during the verification phase are expected to be on a *"not-to-exceed"* basis where the AOC compensates vendors on the basis of hours and expenses incurred up to a ceiling amount. If there is a "residual" amount at the end of the verification phase (difference between total implementation contract amount and actual total costs), the AOC will retain the difference by simply not spending the funds. By contrast, if the implementation cost ceiling is exceeded, vendors finish the work at no additional compensation, unless specific assumptions are not met by the AOC. The AOC will also place penalties and/or strong disincentives (deep discounts in hourly rates) in the contract for exceeding cost. Finally, the AOC reserves the right to ask vendors during parallel negotiations to resubmit bids on either a fixed basis or a combination of fixed and not-to-exceed basis.

(6)   The AOC intends to offer "perpetual" license and "fixed" maintenance contracts to each of the Trial Courts at pre-negotiated prices. Each Trial Court, where an ASP is not used, is responsible for hiring its own implementation vendor.

(7)   Vendors short-listed for software demonstrations agree to be available on dates specified by the State. Failure to be available for specified dates may lead AOC to elevate another proposal.

(8)   All vendors submitting proposals agree that their pricing is valid for a minimum of six (6) months after proposal submission to the AOC.

Note: When responding to this RFP, please follow all instructions carefully. Please submit proposal contents according to the outline specified and submit all hard copy and electronic documents according

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to the instructions. ***Failure to follow these instructions may be considered an unresponsive proposal and may result in immediate elimination from further consideration.***

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PROJECT BACKGROUND

This RFP has been developed in response to the Trial Court Funding Act of 1997 (Assembly Bill 233; Stats. 1997, ch. 850). With the passage of AB 233, funding responsibility for the trial courts has shifted from the 58 individual counties, to the state. The AOC is the State agency responsible for facilitating this transition. Currently, the AOC is developing high-level financial policies and procedures for the trial courts. The selected software will be used to aid in the implementation of these financial policies.

Historically, prior to AB 233, the counties were responsible for providing financial services and financial systems to the trial courts. Currently, the majority of trial courts (56 of 58) are still using their county financial systems and fiduciary services and paying their counties on a charge back basis. Two trial courts have obtained their own financial systems. Annual expenditures and staffing levels vary significantly among the 58 trial courts. Annual expenditures range from approximately $700,000 (Alpine) to over $600 million (Los Angeles). The majority of trial courts also have more than one location to serve their constituents. These types of variances, as well as disparity in current technology levels among the trial courts, make coordination and consolidation of financial information from the trial courts both complex and unique.

The AOC's support of the 58 trial courts includes budget development, budget allocation, expenditure monitoring, and the consolidated financial reporting. Since there is no standard statewide financial system for the trial courts, the current process of distributing funds and reporting revenues and expenditures is primarily a manual process. Currently, each trial court receives monthly budget allotments prepared by the AOC and distributed from the State Controller's Office. The trial courts must report their revenues and expenses to the AOC quarterly. Quarterly reporting is done via spreadsheets that are consolidated into the Hyperion's enterprise software product at the AOC. The courts manually crosswalk expenditure information that they receive from county financial reports into a spreadsheet template provided by the AOC. Since trial courts must wait for the close of the quarter and then manually crosswalk expenditures from the county chart of accounts to the AOC's chart of accounts, there can be up to a 3-month delay in getting this information to the AOC. In addition, the AOC is unable to verify the accuracy of the information provided. Untimely (and possibly inaccurate) information makes it extremely difficult for the AOC to monitor expenditures and perform its fiduciary oversight responsibilities. The current financial data flow model for the AOC is presented on the following chart:

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CHART 1

Current Financial Data Flow

```
                    ┌──────────────┐
                    │    State     │
                    │ Controller's │
                    │   Office     │
                    └──────┬───────┘
                           ↕
                    ┌──────────────┐         AOC loads trial court
                    │              │         Excel spreadsheets into
                    │     AOC      │         Hyperion database for
                    │              │         consolidation and
                    └──────────────┘         analysis
          ╱         │        ╲        ╲
         ╱          │         ╲         ╲
  Supreme, Appellate,         ╲          ╲
  and AOC divisions            ╲          ╲ (dashed)
  use Oracle Financials         ╲          ┌──────────┐
   ┌──────────┐ ┌──────────┐ ┌──────────┐ │  Trial   │   Trial courts manually prepare
   │ Supreme  │ │Appellate │ │   AOC    │ │  Courts  │   AOC quarterly financial
   │  Court   │ │ Courts   │ │Divisions/│ │   (58)   │   report (Excel) - crosswalking
   │   (1)    │ │   (6)    │ │Units (12)│ └──────────┘   expenditures from county
   └──────────┘ └──────────┘ └──────────┘      ↕         systems  to AOC reporting
                                          ┌──────────┐   format
                                          │          │
                                          │ Counties │   Independent county systems
                                          │   (58)   │   prepare financial data
                                          │          │   (hardcopy report or electronic
                                          └──────────┘   file) for trial courts
```

Scope. The AOC intends to purchase an ERP package that will meet the business needs of the trial courts, and allow the AOC to perform its oversight and fiduciary responsibilities. Through the assistance of the GFOA, the AOC has determined that the ERP solution must provide the following functions: general ledger/budget control, accounts receivable, accounts payable, purchasing, project accounting, grants accounting and revenue collection. The AOC will offer the system as an alternative to using county financial systems, but the AOC will not require the system to be mandatory for any trial court. Due to the long-term relationships between the trial courts and counties formed prior to AB 233, some courts may not want to break away from their county financial systems or services. However, the selected software should be scalable to meet the needs of a small court with minimal accounting transactions to a large, complex court which desires to acquire the software themselves and run it locally at the court.

The AOC intends to validate the selected software for possible use by all trial courts. To meet the

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validation requirements, the AOC will first install the selected software at its San Francisco office and work with the software vendor to configure, test, and finalize standard templates that will serve as the foundation for the rollout of the software. After successful configuration and testing at the AOC, the software will be rolled out to approximately 6 trial courts, as a proof-of-concept phase for the project. After the proof-of-concept phase has been successfully implemented, the system will then be rolled out to approximately 8-10 courts every 8 months until all courts that desire the system are served. Larger courts may choose to implement the selected software themselves, with their own staffing. The AOC is seeking master license and maintenance agreements to rollout the selected software to all 58 trial courts. Vendors must provide a sliding scale when pricing licenses and maintenance for all trial courts. Other appropriate methods of pricing such as site licenses, server licenses, etc., are optional.

The following chart shows the diversity in the number of court locations, staffing, and annual expenditures for the 58 trial courts. This chart should be used to aid in the development of the sliding scale pricing for the master license and maintenance agreements. For simplicity, it should be assumed that 70% of annual expenditures are for payroll and 5% of staff or a minimum of 1 staff at each court would be financial system users.

Trial Court	# of Locations	Staff FTE	Assumed Users (5% of Staff or 1 min.)	FY 98/99 Expenditures
Alpine	2	4.0	1.0	$704,471
Modoc	1	8.0	1.0	$724,725
Sierra	2	4.0	1.0	$813,386
Trinity	2	7.0	1.0	$916,462
Colusa	2	11.0	1.0	$1,144,768
Mariposa	1	9.0	1.0	$1,225,984
Mono	2	10.0	1.0	$1,640,387
Glenn	2	23.0	1.0	$1,942,525
Amador	1	24.5	1.0	$1,950,401
San Benito	1	16.0	1.0	$2,130,521
Del Norte	1	25.0	1.0	$2,265,403
Calaveras	1	18.0	1.0	$2,330,164
Plumas	4	13.0	1.0	$2,371,795
Lassen	1	11.0	1.0	$2,503,534
Lake	2	32.0	2.0	$2,787,546
Tehama	3	47.0	2.0	$3,014,996
Sutter	1	39.0	2.0	$3,168,486
Siskiyou	5	31.0	2.0	$3,654,458
Inyo	2	18.5	1.0	$4,268,685
Madera	4	49.0	3.0	$4,288,179
Nevada	2	48.0	2.0	$4,915,093
Kings	4	59.0	3.0	$5,187,023
Mendocino	6	65.0	3.0	$5,417,925

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Tuolumne	2	31.0	2.0	$5,510,655
Imperial	3	77.0	4.0	$5,599,774
Yuba	1	36.0	2.0	$5,865,729
Humboldt	4	86.0	4.0	$5,960,996
Yolo	1	84.0	4.0	$7,189,465
Merced	6	92.0	5.0	$7,258,812
El Dorado	5	80.0	4.0	$8,398,710
Butte	5	90.0	5.0	$8,533,522
Placer	11	113.0	6.0	$9,099,730
Shasta	3	95.0	5.0	$9,832,189
Napa	2	72.0	4.0	$10,093,254
Monterey	5	162.0	8.0	$14,963,776
Marin	1	154.0	8.0	$16,504,274
Stanislaus	5	182.0	9.0	$16,779,267
Sonoma	3	182.0	9.0	$19,184,803
San Joaquin	6	268.0	13.0	$21,277,501
Santa Barbara	5	263.0	13.0	$21,614,736
Solano	3	259.0	13.0	$21,788,483
Santa Cruz	3	138.0	7.0	$21,977,427
San Luis Obispo	3	135.0	7.0	$24,835,767
Tulare	5	186.0	9.0	$33,665,087
Kern	10	367.0	18.0	$36,178,257
San Mateo	4	339.0	17.0	$37,652,751
Fresno	12	403.0	20.0	$39,527,174
Contra Costa	11	385.0	20.0	$44,149,569
San Bernardino	12	812.0	41.0	$69,593,766
Sacramento	6	774.0	40.0	$72,767,584
Ventura	1	324.0	16.0	$75,831,790
Santa Clara	12	856.0	43.0	$84,683,639
San Francisco	4	503.0	25.0	$86,523,773
Alameda	16	851.0	43.0	$119,257,785
Riverside	15	690.0	35.0	$132,068,650
Orange	7	1,729.0	87.0	$136,851,545
San Diego	13	1,650.0	83.0	$254,999,539
Los Angeles	51	5,822.0	291.0	$630,907,023
Totals	**308**	**18,862.0**	**954.0**	**$2,176,293,719**

Scope of Trial Court Financial System Project. The scope of this bid takes the project through software validation at the AOC and the establishment of master license and maintenance agreements for rollout to the trial courts. The priority for rollout will be the proof-of-concept courts (approximately 6), then continued rollout to additional courts that desire the system.

Currently, the AOC is determining the accounting model for delivering financial related services to the trial courts. The AOC is considering a centralized accounting processing center and/or a hub/spoke

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model, where the hub is a larger court. A centralized accounting processing center may also be established either at the AOC or at an ASP. In addition, the AOC is currently procuring a case management system for several courts that will be provided via an ASP. For these courts, the same ASP that is providing the case management system, may also be used to provide a financial system.

The system will need to ultimately accommodate the possible technical deployment models below:

1. One trial court serves as the hub for several other courts (spokes). The hub court will serve as the ASP.

2. Trial courts that have their case management systems provided by the AOC's service bureau and ASP, also run a financial system application via the service bureau ASP.

3. Trial courts that have a centralized financial system provided by a separate ASP. **This will be the priority for the AOC and comprise the first rollout of the software (proof-of-concept phase)**.

The following chart represents the AOC's financial system project that incorporates the possible technical deployment models:

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CHART 3

**AOC Financial System
Consolidation**

```
                          ┌─────────────┐
                          │   State     │
                          │ Controller's│
                          │   Office    │
                          └─────────────┘
                                 ↕
                          ┌─────────────┐
                          │     AOC     │
                          └─────────────┘
```

Supreme, Appellate, and AOC divisions use Oracle Financials

Service bureau courts use their existing ASP to run the selected software

State Controller's Office

AOC

AOC Case Management System ASP

Service Bureau Courts

Supreme Court (1)

Appellate Courts (6)

AOC Divisions/ Units (12)

Court X

Court Y (Hub)

Centralized Accounting Processing Center

Future Rollouts (8-10 courts/ rollout)

Court A

Court B

Court C

Proof-of-Concept Courts (6)

Court X stays with its county provided financial system or acquires selected software and runs it independently

Court Y serves as the hub for several other courts (spokes) and serves as the ASP

Proof-of-Concept courts (and future rollouts) run the selected software via an ASP - *This is the AOC priority*

Rollout Strategy. The verification and configuration process will require full-time participation by the AOC to work in partnership with the vendor's staff. After the configured software is verified, the AOC will make the software available to all State courts. Each court will establish its own delivery mechanism for installation and rollout of the software (i.e., utilize an implementation consultant or an application service provider, etc.) and will contract separately and individually for this service.

Project Objectives. The following objectives are driving this process:

1. Change of the State courts' funding structures and administrative responsibilities;
2. Need for reliable financial information;
3. Need for standard financial policies, reports, and procedures;
4. Need for common technical solutions;
5. Need for standardized information to support budget requests;
6. Real-time access to information; and

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7. Ability to generate audit trails.

Project Resources. The AOC has established two project managers for this project. The project managers will report to an Executive Steering Committee that will be responsible for the overall policy decisions during the software selection process, certification, and roll-out of the software. The AOC will also have full-time accountants committed to this project. They will be assisting the vendor in configuring the software and overseeing subsequent rollouts of the software.

About the Administrative Office of the Courts

The Administrative Office of the Courts (AOC) serves as the staff agency to the Judicial Council of California. The 27-member Judicial Council is the policy-making body of the California courts, the largest court system in the nation. Under leadership of the Chief Justice and in accordance with the California Constitution, the council is responsible for ensuring the consistent, independent, impartial, and accessible administration of justice.

The AOC has the direct responsibility for the financial, human resources, and information technology services to its own administrative offices, the California Supreme Court, and the six district Courts of Appeal. Since the passage of AB 233 in 1997, it has also taken on the additional responsibility for oversight of the 58 trial courts in these areas.

Tactical Plan for Court Technology

As a means of responding to the historic underfunding of technology in the judicial branch and presenting a coordinated and integrated approach to building a statewide technology infrastructure for all court, the Judicial Council adopted the Tactical Plan for Court Technology in January, 2000. The tactical plan provides a framework not only to obtain funding for statewide technology initiatives, but also to move the trial courts forward toward more coordinated and integrated technology solutions to their business needs.

The plan manages technology in the context of four, regional Trial Court Technology Groups (regional groups). The four regional groups range in size from six courts in the Southern California Technology Group (SCTG) to twenty courts in the Central-Coastal-Eastern-Desert Group (CCED20). A significant shift from past practice, this approach is necessary to implement AB 233, which envisions trial courts as components of a statewide judicial system rather than as autonomous local entities. The plan encourages courts to work together in a cooperative strategic planning approach to consider, refine, and apply statewide directives to meet their operational needs and statewide objectives. Representatives from the four regional groups will participate in the RFP evaluation and software demonstrations.

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The tactical plan builds upon the five broad strategic themes for technology that have been incorporated by the Judicial Council into its Long-Range Strategic Plan: court management systems; technology infrastructure; communications; planning, and information standards. The tactical plan:

- Integrates the technology strategic planning process with the branch-wide strategic planning and funding initiatives;
- Funds technology from the statewide, rather than the local perspective;
- Coordinates funding for technology;
- Achieves economies by encouraging collaborative approaches and common solutions to technology issues;
- Provides the foundation for a multiyear implementation plan; and
- Maintains flexibility to encourage innovation among trial courts.

Under the framework of the tactical plan, court groups are defined based on business activities as they are reflected in the technology and computing environments of the courts. Managing technology in regional groups will ensure that initiatives are both coherent and effective from a statewide perspective and appropriate to the courts in incorporating local expertise, requirements, and innovation. Courts are encouraged to collaborate regionally to develop shared strategic plans in order to move forward with the development of integrated justice systems.

The Court Technology Advisory Committee has primary oversight responsibility for the plan. The Tactical Plan for Court Technology builds upon the strategic planning efforts of the Judicial Council and reinforces the council's longstanding commitment to improving the state of technology in California's courts.

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Part I

Purpose and Scope

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PURPOSE AND SCOPE

1-1   **PURPOSE.** AOC is seeking proposals for a financial system including software, limited implementation services for the verification process, and application service provider (ASP) services as a possible option. The financial system should be an integrated set of products that rely on a common database platform. The system should also be a proven solution at entities similar to this project and proven in the ASP market.

The system proposed must support real-time processing of all financial transactions for the AOC's financial affairs including, but not limited to:

- General Ledger/Budget control
- Accounts Receivable
- Accounts Payable
- Purchasing
- Grants Accounting
- Project Accounting

1-2   **REQUIRED SYSTEM FUNCTIONS.** AOC does not anticipate purchasing hardware through this RFP. However, vendors should submit optimal hardware requirements, desktop requirements, network requirements, operating system and platform requirements, and other sizing information when submitting responses to this proposal.

1-3   **SELECTION PROCESS.** The evaluation phase of this project will use a cross-functional team decision-making structure. At the highest level is the *Executive Steering Committee* (ESC). The ESC consists of senior staff from the AOC. The ESC will be responsible for overseeing the software selection and certification process. The ESC will make the final recommendation to the Judicial Council regarding all decisions.

In addition, a *Selection Team* will be established which will be involved more directly in selection activities. The Selection Team is responsible for the evaluation and rating of the proposals, vendor demonstrations, and site visits. The Team will evaluate software functionality, technology architecture, implementation capabilities, costs, and other business partnering criteria. The Team's objective is to make recommendations for vendor selection to the Executive Steering Committee.

Finally, an ***Evaluation Team*** consisting of subject matter experts from the various trial courts and Counties will be established and will provide input on specific modules that are being assessed. This team will consist of subject matter experts and end-users that are not part of the Selection Team but are identified by the Selection Team as additional resources for evaluating

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specific modules or pieces of the overall solution.

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Part II

Submittal Requirements

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SUBMITTAL REQUIREMENTS

2-1 <u>**ISSUING AGENT.**</u> This RFP is being issued by the Administrative Office of the Courts on behalf of the State Courts of California. Vendors are specifically directed NOT to contact any Court personnel for meetings, conferences or technical discussions that are related to the RFP. Unauthorized contact of any government personnel may be cause for rejection of the vendor's RFP response. All communications regarding the general RFP process should be directed to either of the Project Managers for the Enterprise Financial System for AOC.

The RFP does not constitute a contract or an offer for employment. The awarding of any contract pursuant to this RFP is contingent upon funds being made available by the State in the appropriate fiscal year for the purposes of this project. In addition, any contract awarded as a result of this RFP is subject to any additional restriction, limitation or condition enacted by the Legislature or established by the Judicial Council of California that may affect the provisions, funding or terms of the of the contract in any manner. The AOC reserves the right to make one award, multiple awards or reject all proposals submitted in response to this RFP.

2-2 <u>**SUBMISSION REQUIREMENTS.**</u> To facilitate evaluation of proposals, the entire proposal must be submitted electronically on CD-ROM. In addition, electronic copies of responses to requirements and cost spreadsheets, as well as one original and seven (7) hard copies shall be submitted to the address shown below.

The original shall be clearly marked "original." Proposals must be received no later than **4:00 pm (Pacific) on March 1, 2001.** Proposals shall be marked "Enterprise Financial System—Sealed Proposal." Late proposals will not be considered.

Mailing Address:

>Ms. Melanie Hayden
>Administrative Office of the Courts
>Information Services Division, 3rd Floor
>455 Golden Gate Avenue
>San Francisco, CA 94102

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Please use the following checklist to ensure that you are submitting a complete proposal:

❑ The entire proposal shall be submitted electronically on CD-ROM for document management purposes.

❑ One original and seven (7) bound copies of the proposal (including hard copies of costs & requirement responses) presented in a professional manner are to be submitted.

❑ MS-Excel files of responses to detailed system requirements are to be submitted, using the coding scheme described in this RFP, and completed to the maximum extent possible.

❑ MS-Excel file of cost spreadsheets—filled out *completely*—(especially costs of software license, five-year maintenance & support schedule, implementation service hours and blended rates, training, and travel costs) is to be submitted. In addition, vendors are expected to estimate the costs of additional hardware and operating system software, or any other third party software required and footnote this appropriately in the cost estimates. Finally, it is important to estimate work effort for AOC staff. Vendors that have provided incomplete information on costs will either be eliminated from consideration or will not be allowed to demonstrate their software until this information has been received.

❑ Include references with government project manager names and telephone numbers. Vendors who do not provide this information in the proposal will not be short-listed for demonstrations until this information is received.

2-3 **DELIVERY OF PROPOSAL**. Each proposal **must** be received by the date and time set for closing receipt of offers. The submission shall be identified with the name of the vendor and the date and time of closing.

Proposals received prior to the time of the opening will be securely kept, unopened. No responsibility will be attached to the owner for the premature opening of a proposal not properly addressed and identified.

The AOC cautions vendors to assure actual delivery of mailed or hand-delivered proposals directly to AOC **prior** to the established deadline.

2-4 **PROPOSAL COSTS**. Those submitting proposals do so entirely at their expense. There is no expressed or implied obligation by the AOC to reimburse any individual or firm for any costs incurred in preparing or submitting proposals, providing additional information when requested by the AOC or for participating in any selection interviews.

2-5 **ACCEPTANCE.** Submission of any proposal indicates a vendor's acceptance of the conditions contained in this RFP unless clearly and specifically noted otherwise in the proposal.

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2-6 <u>**INTERPRETATIONS, DISCREPANCIES, OMISSIONS**</u> If a vendor submitting a proposal discovers any ambiguity, conflict, discrepancy, omission, or other error in this RFP, the vendor shall immediately provide the AOC with written notice of the problem and request that this RFP be clarified or modified. Without disclosing the source of the request, the AOC may modify this RFP prior to the date fixed for submission of proposals by issuing an addendum to all vendors to whom this RFP was sent.

If prior to the date fixed for submission of proposals, a vendor submitting a proposal knows of or should have known of an error in this RFP but fails to notify the State of the error, the vendor shall bid at its own risk, and if the vendor is awarded the contract, it shall not be entitled to additional compensation of time by reason of the error or its later correction. All written requests for clarification should be addressed to **Ms. Melanie Hayden** at Administrative Office of the Courts, Information Services Division, 3rd Floor, 455 Golden Gate Avenue, San Francisco, CA 94102 or they may be e-mailed to: melanie.hayden@jud.ca.gov. No requests received after 4:00 pm (Pacific) on February 28, 2001 will be considered.

2-7 <u>**PROPOSED PROCUREMENT AND IMPLEMENTATION SCHEDULE**</u>

RFP Release Date	**February 5, 2001**
Pre-Proposal Conference (1 PM - Pacific)	**February 16, 2001**
Proposals Due (4:00 pm - Pacific)	**March 6, 2001**
Two-Day Vendor Demonstrations	**April 2-10, 2001**
Discovery (1 Day)	**May, 2001**
Site Visits (w/select vendors)	**May, 2001**
Contract Negotiations	**May-June, 2001**
Implementation Start-Up	**September, 2001**

Vendors will have the opportunity to learn more about the AOC's needs during software demonstrations and during "discovery" sessions (for vendors that are short-listed for further consideration <u>after</u> demonstrations). <u>Note</u>: *Vendor demonstrations are an integral part of the selection process. Vendors that cannot demonstrate their software during the dates prescribed by the AOC may be eliminated and other vendors advanced. Scripts will be distributed to vendors that have been short-listed for software demonstrations a minimum of two weeks in advance of the demonstrations.*

2-8 <u>**PRE-BID CONFERENCE**</u>. A pre-bid conference will be held **on February 16, 2001 at 1:00 pm (Pacific) at** the Administrative Office of the Courts. Participation at the pre-bid conference is *mandatory*. It is the vendor's responsibility to become familiar with all information necessary to prepare a proposal.

2-9 <u>**REJECTION**</u>. The AOC reserves the right to reject any and all proposals, to waive any of these procedures for submitting proposals, to waive any formality in proposals received, to

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accept or reject any or all of the items in the proposal, and to award the contract in whole or in part and/or negotiate any or all items with individual vendors if it is deemed in the AOC's and Courts' best interest. Moreover, the AOC reserves the right to make no selection if proposals are deemed to be outside the fiscal constraint or against the best interests of the government.

2-10   **INDEMNIFICATION**. The vendor agrees to indemnify and hold harmless the State of California Court System, its officers, employees, and agents, from and against all claims, damages, losses, and expenses arising out of the submission of your bid and any possible subsequent contract. This indemnification obligation shall not be limited in any way by any limitation on the amount or type of damages, compensation or benefits payable for or by the vendor or any agent of the vendor under the Workers' Compensation Act, disability benefit acts or other employee benefits acts.

2-11   **CONFIDENTIAL MATTERS.** If any information submitted in vendor proposals is confidential or proprietary, the vendor must provide that information on pages separate from non-confidential information and clearly label the pages containing confidential information "CONFIDENTIAL."

In addition to labeling each confidential page, the vendor must include the following statement on a separate page, indicating all page numbers that contain confidential or proprietary information:

Protection of Confidential Information

The information contained on pages _____ shall not be duplicated or used in whole or in part for any other purpose than to evaluate the proposal; provided that if a contract is awarded as a result of this proposal, the AOC shall have the right to duplicate, use or disclose this information to the extent provided in the contract. This restriction does not limit AOC's right to use the information contained herein if obtained from another source.

If the AOC concurs that disclosure would expose proprietary information, the information will be kept in confidence. If the AOC does not concur regarding the proprietary nature of the information, the AOC will notify the vendor, who can then decide whether or not to submit its proposal without claim of confidentiality.

2-12   **RETENTION OF VENDOR MATERIAL.** The AOC reserves the right to retain all proposals, excluding proprietary documentation, regardless of which response is selected. No proposals will be sent back to vendors.

2-13   **COMPLIANCE WITH THE AMERICANS WITH DISABILITY ACT AND DISABLED VETERANS BUSINESS ENTERPRISE (DVBE).** This procurement is

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being conducted in full compliance with the Americans with Disabilities Act (ADA) and the Disabled Veterans Business Enterprise rules. Please refer to mandatory submittal forms for compliance procedures.

2-14   **PROPOSAL FORMAT.** In order to facilitate the analysis of responses to this RFP, vendors are required to prepare their proposals in accordance with the instructions outlined in this section. Each vendor is required to submit the proposal in a sealed package. *Vendors must be sure they have received a diskette with this RFP that contains two Excel spreadsheets which include (1) the cost matrix, and (2) detailed system requirements.*

Proposals should be prepared as simply as possible and provide a straightforward, concise description of the vendor's capabilities to satisfy the requirements of the RFP. Emphasis should be concentrated on accuracy, completeness, and clarity of content. All parts, pages, figures, and tables must be numbered and clearly labeled. The proposal must be clearly tabbed, indexed, and organized. The proposal must be organized into the following major sections:

Section	Title
	Title Page
	Letter of Transmittal
	Table of Contents
1.0	**Executive Summary**
2.0	**Scope of Services**
3.0	**Company Background**
4.0	**Proposed Application Software and Computing Environment**
5.0	**Third-Party Products/Optional Software**
6.0	**System Security**
7.0	**Responses to Functional/Technical Requirements**
8.0	**Implementation Plan**
9.0	**Training Plan**
10.0	**Maintenance and Support Program**
11.0	**Application Service Provider (ASP) Arrangement**
12.0	**Client References**
13.0	**Cost Proposal**
14.0	**Exceptions to the RFP**
15.0	**Sample Documents**

Instructions relative to each part of the response to this RFP are defined in the remainder of this section.

2-15   **LETTER OF TRANSMITTAL.** The vendor must prepare a cover letter on the vendor's

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business letterhead to accompany the proposal. The purpose of this letter is to transmit the proposal; therefore, it should be brief. The letter must be signed by an individual who is authorized to bind his or her firm to all statements, including services and prices, contained in the proposal. The letter must state the length of time the proposal terms remain firm, which must be for a minimum of 120 days from the proposal due date. An unsigned cover letter will cause rejection of the proposal.

2-16 <u>**EXECUTIVE SUMMARY.**</u> (Section 1.0). This part of the response to the RFP should be limited to a brief narrative highlighting the vendor's proposal. The summary should contain as little technical jargon as possible and should be oriented toward non-technical personnel. This section should not include cost quotations. Please note that the executive summary must identify the primary engagement contact for the software vendor—including a valid e-mail address. The AOC will only consider software firms, and NOT their re-sellers or implementation partners, to be the primary engagement managers.

2-17 <u>**SCOPE OF SERVICES.**</u> (Section 2.0) This section of the vendor's proposal must include a general discussion of the vendor's understanding of the "overall" project, the scope of work proposed, and a summary of the proposal features of the software product.

2-18 <u>**COMPANY BACKGROUND.**</u> (Section 3.0). Vendors must provide the following information about their company and the implementation partner's company so that the State can evaluate the vendor's stability and ability to support the commitments set forth in response to the RFP. The State, at its option, may require a vendor to provide additional support and/or clarify requested information.

The vendor AND implementation firm must outline the company's background, including:

- How long the company has been in business.
- A brief description of the company size and organizational structure.
- If applicable, how long the company has been selling the proposed software to public sector clients.
- Most recent audited financial statements for the software vendor and the software implementation firm (e.g., annual sales, profitability, etc.) (i.e., attach annual report).
- Listing of public sector installs by name and state. State government customers are to be listed first. The number of users should also be included.
- Any material (including letters of support or endorsement from clients) indicative of the vendor's capabilities.

The State of California Information Practices Act of 1977 requires the AOC to notify all vendors of the following:

The principal purpose for requesting the above information about your company is to provide

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financial information to determine financial qualification. State policy and state and federal statutes authorize maintenance of this information.

Furnishing all information is mandatory. Failure to provide this information will delay or may even prevent completion of the action for which this information is sought.

The AOC will treat all financial information provided as confidential when designated as such. This information will only be shared with Judicial Branch personnel involved in the evaluation. All financial data will be returned or destroyed if requested. Vendors may be required to provide additional financial information as part of the RFP process.

2-19   **PROPOSED APPLICATION SOFTWARE AND COMPUTING ENVIRONMENT.** (Section 4.0). The vendor must present, in detail, features and capabilities of the proposed application software. Please provide in succinct narrative form (at least one paragraph per item) a description of the following software features: (1) Modular Integration; (2) Network Technology; (3) Reliance on Best Business Practices/Degree of Process Reengineering Imposed or Required; (4) Workflow Capabilities; (5) Development Toolsets; (6) Drill Down and Audit Trail Capabilities; (7) Chart-of-Accounts Flexibility; (8) Reporting and Analysis Tools; (9) Ability to consolidate subsidiary financial data based on a user-defined organizational hierarchy; (10) Web Enablement and e-commerce capabilities; and (11) Applicability in the Application Solutions Provider (ASP) market.

In addition, the following information must be included in narrative form:

Hardware Environment. Describe the optimal hardware environment required to utilize the proposed software. In the event there is more than one suitable hardware platform, list the best options *indicating the relative strengths and drawbacks (if any) of each*.

Network Environment. Describe the ideal network environment required to utilize the proposed software. In the event that there is more than one suitable network configuration, list all options *indicating the relative strengths and drawbacks (if any) of each*.

Operating System. Identify the ideal operating system required by the proposed applications software and database management system in the hardware environment recommended above. In the event there is more than one suitable operating system, list all *options indicating the relative strengths and drawbacks (if any) of each*.

Database Platform. The AOC's preferred database platforms are Oracle 8i, Informix, Sybase, or SQL Server 2000. However, the State is open to other solutions. The Vendor should identify the ideal database platform for the proposed software. In the event there is more than one suitable database platform, list all *options indicating the relative strengths and drawbacks (if any) of each*.

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2-20   THIRD-PARTY PRODUCTS/OPTIONAL SOFTWARE. (Section 5.0). The vendor must explicitly state the name of any third-party products that are part of the proposed solution to the AOC. For each third-party product there must be a statement about whether the vendor's contract will encompass the third-party product and/or whether the AOC will have to contract on its own for the product.

Include a description of any products, features or other value added components available for use with the proposed financial system that have not been specifically requested in this RFP. The vendor must also provide proof that they have access to the third-party software source code (own or in escrow) and that the vendor has the ability to provide long-term support for the third-party software components of their system. Consideration of these products, features or other value added components will be given where these may be of value to the AOC.

2-21   SYSTEM SECURITY. (Section 6.0). The vendor must include a detailed description of the proposed system's security features. If the vendor's application can be distributed through an ASP, a description of how secured transactions must also be included.

2-22   RESPONSES TO FUNCTIONAL/TECHNICAL REQUIREMENTS. (Section 7.0). Responses to the requirements listed in Part VI of this RFP must be provided in this section of the vendor's proposal. Vendors must use the format provided and add explanatory details as necessary in a separate spreadsheet using the requirement number as a reference. The following answer key must be used when responding to the requirements:

F=Fully Provided "Out-of-the-Box"	C=Custom Development Required (Change
NV=Provided in the *Very* Next Version	in Code)
TP=Third Party Software Required	R=Provided with Reporting Tool
M=Modification (Change Using Built-in Toolset)	NA=Not Available

Note: *Vendors must use **one code only per requirement**. Any requirement that is answered in any other way will be treated as a negative/non-response.* Vendors should feel free to create their own separate spreadsheet for lengthy comments on particular requirements. ***All requirement responses must be submitted on the CD-ROM in MS Excel format***. Furthermore, requirement responses will be attached to the software licensing agreement (final contract) and included in the Statement of Work.

2-23   IMPLEMENTATION PLAN. (Section 8.0). The vendor must provide a detailed plan for implementing the proposed system during configuration.   The plan must include an estimated time frame for configuration by module. The detail MUST also include an estimate of work effort for government and vendor in percentages (e.g., 50% AOC effort; 50% vendor effort).

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Note: The AOC expects to provide a minimum staffing of 50% of the implementation hours, but reserves the right to alter the mix with further discussion with vendors. **Pricing should assume 50% implementation work-effort by the AOC and 50% work effort by the implementer.**

2-24   <u>**TRAINING PLAN.**</u> (Section 9.0). The vendor must provide a detailed plan for project team training and technology personnel. This information MUST include:
- Overview of proposed training, including options for on-site or off-site training services, for project team and technology personnel.
- Use of third-party training resources. Vendor should identify third party partners that provide training on the use of their application.

2-25   <u>**MAINTENANCE AND SUPPORT PROGRAM.**</u> (Section 10.0). Specify the nature of any post-implementation and on-going support provided by the vendor including:

- Post-Implementation support (e.g., 3 months of on-site support after go-live).
- Telephone support (include toll-free support hotline, hours of operation, availability of 24 x 7 hotline, etc.).
- Special plans defining "levels" of customer support (e.g., gold, silver, etc.).
- Delivery method of future upgrades and product enhancements including historical frequency of upgrades by module and price.
- Availability of user groups.
- Problem reporting and resolution procedures.
- Bug Fixes and Patches.
- Warranties.
- Other support (e.g., on-site, remote dial-in, Web site access to patches, fixes and knowledge base).

2-26   <u>**APPLICATION SERVICE PROVIDER (ASP) ARRANGEMENT.**</u> (Section 11.0). The AOC may consider utilizing an Application Service Provider to host the proposed solution. Please provide information about any ASP arrangements you have to deliver the software solution. Please indicate what hardware, security, operating system, RDBMS, and personnel are used by the hosting facility to provide the service. (*Please note:* the AOC requires a hosting facility to be located within the United States). Also, please indicate client requirements as far as:

- Security (i.e., VPN)
- Network (i.e., TCP/IP only)
- Server Requirements and configuration (i.e., NT, Linux, etc.)
- Desktop configuration

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- Cost configurations (i.e., per user, etc.)

The AOC anticipates utilizing the ASP for its enterprise application, managed service, and data center. Each is planned to be used in the following ways:

Enterprise Application. The AOC recognizes that in order to deploy a system efficiently, it will most likely need the assistance of an ASP. The AOC is considering offering the configured financials application through an ASP. Individual courts would then have the option to create separate license agreements with the ASP. Vendors must provide descriptions of how such arrangements can be made and what customizations, if any, are available.

Managed Service. It is assumed that a complex technology program will be needed to support a comprehensive enterprise system. Due to the non-standardization of technology throughout all of the State Courts, managed network system support will be necessary. The State anticipates utilizing the ASP that will host the proposed application to also provide managed services such as: application management (i.e., applying patches, running upgrades, etc.), system administration (i.e., sizing, performance, etc.), network administration (i.e., access, VPN), and end-to-end support (i.e., network support between the ASP and the end-point to State networks) and help desk functionality (for higher escalated technical issues).

Data Center. It is assumed the ASP will utilize a RDBMS that is tuned for optimal performance with the hosted application. Vendors should indicate what RDBMS they are utilizing, what storage limitations there are, and what additional hardware is required for the client to access the data efficiently. Additionally, vendors should indicate periodic back-up, business resumption, and disaster recovery.

2-27   **CLIENT REFERENCES.** (Section 12.0). The AOC considers references of the software vendor to be an important part of the process in awarding a contract and will be contacting references as part of this selection. Vendors are required to provide AOC with reference information as part of their proposals using the reference forms provided in this RFP. GFOA will be conducting the reference checks. **The AOC or GFOA will not call vendors to tell them that their references will be contacted because all references provided will be contacted by the GFOA during the selection process. Similarly, GFOA will not work through a vendor's Reference Manager to complete a reference.** The names and phone numbers of the government project manager must be listed. Failure to provide this information may result in the vendor not being elevated to software demonstrations.

Software vendors must provide at least five (5) client references that are similar in size and complexity to this procurement and have utilized the proposed system in a comparable computing environment. Submit references for fully completed (live) installations. Information must include at the minimum: date of installation, length of implementation, name of client reference, name of agency's project manager, jurisdiction, address, telephone and fax numbers. *Please inform references that they will be called by GFOA in March and April of*

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2001.

2-28 **COST PROPOSAL.** (Section 13.0). Part VI of this RFP contains three cost schedules. The first is for conventional licensing and professional services required to certify the software. The second cost schedule is the conventional licensing price that the vendor will offer for any court purchasing the certified software through this contract. The third cost schedule is vendor pricing to offer the certified software through an Application Solution Provider (ASP). Proposers must submit an estimate of project costs for all three scenarios. The vendor's cost proposal must be presented in the format provided in Part VI of this RFP. Detailed costs must be provided and submitted on diskette in MS Excel 97 (or later) format. The AOC reserves the right to contact vendors on cost and scope clarification at any time throughout the selection process and negotiation process. Finally, it is important that vendors use the cost format presented in this RFP and NOT their own format. Please do NOT use "TBD" (to be determined) or similar annotations in the cells for cost estimates. The AOC is asking vendors to *estimate* costs for all categories with the understanding that they may have to make assumptions. ***Failure to fully provide cost and work effort estimates is likely to lead to elimination prior to software demonstrations.***

2-29 **WORK EFFORT ESTIMATES.** Please use the cost spreadsheets to provide work effort estimates for the AOC and contractor staff by task during the certification process. In addition, a "staff loading" chart listing resource utilization by each month of the project is required.

2-30 **EXCEPTIONS TO THE RFP.** (Section 14.0). Exceptions shall be clearly identified in this section and written explanation shall include the scope of the exceptions, the ramifications of the exceptions for the AOC, and the description of the advantages or disadvantages to the AOC as a result of exceptions. The AOC, in its sole discretion, may reject any exceptions within the proposal.

2-31 **SAMPLE DOCUMENTS.** (Section 15.0). To establish a complete and competitive proposal, vendors must include sample copies of the following documents:

- Sample software licensing agreement for AOC

- Sample software license agreement for State-wide Distribution

- Sample implementation services agreement

- Sample standard reports

- Sample documentation (CD-ROMs would be preferred)

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- Sample Application Service Provider agreement

- Sample maintenance agreements

- Sample customization agreements

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Part III

System and Contract Requirements

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SYSTEM REQUIREMENTS

This section outlines the technical and contract requirements as stipulated by the AOC.

3-1 **CURRENT TECHNOLOGY ENVIRONMENT OVERVIEW.** The Information Services Division (ISD) for AOC is responsible for Court Technology. The Information Services Division coordinates court technology statewide, manages centralized statewide technology efforts, and optimizes the scope and accessibility of accurate statewide judicial information. In addition to the services it provides to the AOC and appellate courts, the division supports coordination of judicial branch technology statewide.

ISD operates a local and wide area network to provide file and print services for 1,500+ users at the AOC and in the appellate courts. The network is centered in San Francisco.

The wide area network connects eight appellate court locations and the AOC's Sacramento office to the San Francisco hub. Sprint currently manages (24x7) the frame relay to the appellate court locations. Calnet provides a T-1 connection to the AOC's Sacramento office. TCP/IP and IPX/SPX protocols are routed through the cloud via OSPF and RIP protocols.

Internet connectivity is achieved via two T-1 lines through the ISD firewall to UNNET. The AOC external web site is hosted by Verio and users are allowed Internet access via an HTTP cache proxy router.

The ISD local area network is a 10/100 Mbps switched Ethernet network running TCP/IP and IPX/SPX protocols. The backbone architecture consists of two Cisco switches for redundancy, and it provides the framework of connecting 45 departmental switches. User workstations are switched to the network at dedicated 10/100Mbps. Servers are normally switched to a dedicated 100Mbps full duplex segment.

The predominant server operating system platform is UNIX for database applications (Oracle) and NetWare 4.11 for file and print services. There are some Microsoft Windows NT servers in various evaluation and R&D stages. Microsoft Windows 95 is the current standard desktop operating system and cc:Mail is the messaging system.

In addition to managing the network infrastructure for the AOC, ISD operates and maintains the California Judicial Network (CJN), which is a virtual private network (VPN) that provides network data services to California trial courts via the Internet. CJN is a separate network of

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the ISD. The network utilizes a star burst network topology to deliver encrypted mail services and data services to the AOC, eight trial courts and the California Department of Motor Vehicles (DMV). The central hub is located in San Francisco and is known as the Trial Courts Services Net (TCSN). The trial courts connected to CJN are Alameda, Marin, Orange, Riverside, Sacramento, San Diego, San Francisco, and San Mateo.

External trial courts and the DMV are connected to the central network hub at the AOC San Francisco location via secured VPN tunnels. Pacific Bell provides a separate T-1 line for the VPN. Secure communications are created with specialized network devices that encrypt data packets routed to the AOC, the eight courts, or DMV. The network also accommodates dedicated frame relay and VPN dialup access.

Sun Solaris servers manage the network's LDAP, SMTP, X.500 services with the Nexor messaging system. Data Fellows encryption servers and Cisco 2600 encryption routers extend data security to the messaging system with IPSEC and 128-bit SSH protocols.

3-2 **GENERAL REQUIREMENTS.** The AOC recognizes that each of the 58 Courts have their own unique technological needs. However, in order to ensure integrity of data and to provide efficient distribution of enterprise information, the AOC will continue to stress standardization throughout this selection and during implementation. Vendors should propose topologies that ensure optimum performance of their product. The proposed architecture of the chosen vendor will become part of the AOC's technology standard.

3-3 **NETWORK/HARDWARE REQUIREMENTS.** Vendors should propose products compatible with the current network design of the AOC.

3-4 **SYSTEM PERFORMANCE.** The majority of the application users will normally use the system between 6:00 AM and 6:00 PM, five days a week. There are times throughout the year when weekend and evening access is required. Benchmarks and proposer responses shall specifically indicate if there are periods when the system is unavailable and/or performance/response will be severely degraded due to other concurrent processes. In discussion regarding systems performance, the vendor should provide any recommendations for warehousing or query database requirements necessary to meet acceptable performance standards.

3-5 **APPLICATION ARCHITECTURE.**

Transaction Processing. It is expected that the ability to update multiple records with the same/similar information will be provided to facilitate efficient processing (human and computer).

Integration Between Applications and Modules. One of the significant advantages of an

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enterprise solution is to have consistent information across all areas of the business. Information entered in one area shall update all related areas and shall not need to be reentered. Built in features shall ensure file integrity and consistency. The ability to invoke specific processes from vendor supplied modules and custom developed processes and applications via standard application program interfaces will facilitate reuse and integration with other applications.

It is important that any new system has the ability to create (read) files to be downloaded or uploaded to (from) a variety of other systems where the hardware and software being used are different from each other and that of the State.

3-6 **ADMINISTRATIVE TOOLS.** The system shall include administrative tools to monitor application and database utilization. It must permit system audits to determine who has used the system recently and what changes have been made and must keep a daily transaction journal for recovery purposes, shall that become necessary. It must also support performance monitoring tools and activity statistics reporting features. The system must provide restart capabilities as well as database access activity logging and transaction backout. Utilities shall include data recovery tools and optimization tools.

3-7 **DATA IMPORT/EXPORT FACILITY.** The system must permit the import and export of information to and from other systems and must integrate with other desktop and server applications such as Microsoft Excel, query and reporting tools, and electronic mail.

3-8 **SYSTEM SECURITY.** The system must provide security controls to prevent unauthorized use of the database, maintain database process controls, and log all database transactions. In addition, the system should provide security to limit availability to application functionality, software screens, data records, data elements, and the contents of data elements where appropriate.

3-9 **PROCESS CONTROLS.** The system should provide edit controls to prevent incomplete or incorrect data from being processed and programmatic control of the process flow to prevent information from being processed in the wrong sequence. The system should have the ability to require batch and on-line editing to use the same edit routines/programs for consistent programming. It should also have the ability to prevent users from overriding or bypassing data validation and editing routines.

3-10 **WORKFLOW.** The system should manifest a hierarchical organizational structure reflecting that of the government enterprise organization. This structure should enable a variety of electronic workflow and routing procedures to reduce the amount of paper document processing.

3-11 **REPORTING AND MODELING.** The reporting and modeling capabilities of the system

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should include, but not necessarily be limited to, financial analysis, modeling, forecasting, monitoring, reporting, retrieval of historical data, pre-scheduled reporting and graphical presentations of data and reports.

3-12   DOCUMENTATION. Specific elements of documentation which must be available with the system include operations and technical manuals (both on-line and hard copy), data element dictionary, and context-sensitive on-line help text with customizable help screens.

3-13   ONGOING SUPPORT. The software vendor will be responsible for providing ongoing user and technical support for a period of three or more years. This support will be provided in a variety of areas including, but not necessarily limited to, training users on the initial implementation, installing and configuring product updates as they become available, providing assistance in building and maintaining the structure of codes and the chart of accounts, and in helping to design a paper workflow system which best complements the electronic workflow processes made possible by the new system. Any upgrades or enhancements must include user training.

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Part IV

Contract Requirements

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CONTRACT REQUIREMENTS

4-1 <u>**VENDOR PERFORMANCE.**</u> The vendor will be required to meet specific performance standards established during the contract negotiation process. A project schedule specifying significant benchmark events and a project completion date will be required as part of the contract. This plan will include vendor delivery deadlines and will be jointly developed by the AOC and the vendor.

The AOC may make such investigations as they deem necessary to determine the ability of the vendor to perform the work proposed. The vendor shall furnish to the AOC or its consultants within five (5) days of request all such information and data for this purpose as may be required. The AOC reserves the right to reject any proposal if the evidence submitted or investigation of the vendor fails to satisfy that the vendor is properly qualified to fulfill the obligations of the contract and to complete the work contemplated therein. Conditional proposals will not be accepted.

4-2 <u>**WARRANTY.**</u> A warranty is sought for both the software and implementation services.

Software. The selected software vendor will warrant that the proposed software will conform in all material respects to the requirements and specifications as stated in this RFP. That is, the detailed requirements as stated in this RFP will become part of the selected software vendor's contract and will be warranted as such. The selected vendor must warrant that the content of its proposal accurately reflects the software's capability to satisfy the functional requirements as included in this RFP. Furthermore, the warranty, *at a minimum,* should be valid for the duration of the implementation and until final acceptance of all modules/suites/applications included in the implementation. The State will look more favorably at vendors with warranty periods longer than the minimum specified herein.

Implementation Services Firm. The AOC also expects a warranty for implementation services (e.g., work products, developed modifications, and system configuration) for a minimum of 18 months after the system acceptance (configuration phase) date of the respective modules. It is assumed that vendors have priced their services to recognize these warranty provisions. The extent of the warranty coverage will be evaluated as part of the overall procurement process*.*

4-3 <u>**ACCEPTANCE TEST.**</u> Specific mutually agreeable criteria for successful system operation will be established during the contract negotiation process, taking into account the AOC's functional specifications and the vendor's own software documentation. The selected vendor

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will be required to participate with appropriate government personnel in testing the functionality of the proposed system to ascertain conformance with the acceptance criteria before the system will be accepted by the AOC.

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Part V

Evaluation of Proposals

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EVALUATION OF PROPOSALS

5-1 <u>**EVALUATION METHOD.**</u> The AOC will evaluate all proposals deemed responsive to this proposal. The initial evaluation will consider only the qualifications and demonstrated competence of each proposal. Following the evaluation team's analysis of the written proposals and discussions, the proposals will be ranked to establish the three (3) highest scored responses which will be elevated for software demonstrations. Shortly after software demonstrations, discussions and negotiations may take place with the short-listed vendors to ensure clarification, refinement of scope and costs, and to obtain a best and final offer. It is anticipated that the AOC will use the GFOA's parallel negotiations method of contracting where discussions will be held with the two vendor finalists in an effort to secure the best price and highest quality of service for the AOC. The award will be based upon the proposal that is determined to be the most advantageous to the AOC.

5-2 <u>**SELECTION CRITERIA.**</u> The intention of the AOC is to procure a functionally complete, cost effective, integrated financial system. Vendors will be evaluated according to the following criteria:
- **Cost and quality of software and implementation services.**
- **Experience of the software and implementation firm in the public sector.**
- **Software demonstrations.**
- **Complexity of managing the implementation (i.e., the more firms proposed to be part of the implementation the greater the complexity).**
- **Functional/technical requirement responses.**
- **Implementation and training plans.**
- **Referenceable performance of proposed software and implementation services vendors elsewhere in the public sector, potentially including site visits.**
- **System maintenance, upgrades, and ongoing technical support.**
- **Vendor financial stability.**
- **Quality, clarity, and responsiveness of proposal in conformance with instructions, conditions and format contained herein.**

Administrative Office of the Courts
RFP for an
Enterprise Financial System

Part VI

RFP Forms

- Software Reference Form

- Application Service Provider Reference Form

- Cost Submission Workbook – Conventional License

- Cost Submission Workbook – Application Service Provider

- Cost Submission Workbook – Statewide License

- Functional Requirements Workbook

- Americans with Disabilities Act Compliance

- Disabled Veterans Enterprise Compliance

- Pre-Proposal Conference Agenda

- Pre-Proposal Conference Question Form

**SOFTWARE AND IMPLEMENTATION SERVICES
FOR AN ENTERPRISE FINANCIAL SYSTEM**

Software Firm Reference

Please provide at least five (5) references for the software that most closely reflect similar consulting projects to the California Courts scope of work which have been completed within the past three (3) years. These references should be sites at which the software has been *FULLY IMPLEMENTED* and is "Live". Please use the following format in submitting references.

> **Please note:** *The contact person should be an employee of the reference, not the software vendor or implementation firm. The reference **will** be contacted in March, 2001.*

GENERAL BACKGROUND

Name of Government or Agency: _____   **Phone:** _____

Address: _____

Government Project Manager: _____/ **Title:** _____

Service Dates: _____ **Software Program/Version:** _____

Summary of Project: _____

_____

_____

Operating Budget: _____ **Number of Employees:** _____

PROJECT SCOPE

Please indicate (by checking box) functionality installed for this reference:

☐ (1) General Ledger/Budget Ctrl.   ☐ (3) Accounts Payable   ☐ (5) Grants Accounting
☐ (2) Accounts Receivable   ☐ (4) Purchasing   ☐ (6) Projects Accounting

PROJECT COST

Hardware Cost	$ _____	**Implementation Services**	$ _____
Software Cost	$ _____	**Government's Internal Cost (if known)**	$ _____

TECHNOLOGY INFORMATION

Hardware Platform: _____

Database Platform: _____

Operating System: _____

**SOFTWARE AND IMPLEMENTATION SERVICES
FOR AN ENTERPRISE FINANCIAL SYSTEM**

Application Hosting Reference

Please provide at least five (5) references for Application Hosting of the proposed software that most closely reflect similar consulting projects to the California Court's scope of work which have been completed within the past three (3) years. These references should be sites at which the software has been **FULLY IMPLEMENTED** and is "Live". Please use the following format in submitting references.

> ***Please note:*** *The contact person should be an employee of the reference, not a member of the ASP or implementation firm. The reference **will** be contacted in March 2001.*

GENERAL BACKGROUND

Name of Client:_____ **Phone:** _____

Address:_____

Project Manager: _____/ **Title:** _____

Service Dates:_____**Software Program/Version:**_____

Summary of Project:_____

_____

_____

Operating Budget:_____**Number of Employees:**_____

PROJECT SCOPE

Please indicate (by checking box) functionality installed for this reference:

☐ (1) General Ledger/Budget Ctrl.   ☐ (3) Accounts Payable   ☐ (5) Grants Accounting
☐ (2) Accounts Receivable   ☐ (4) Purchasing   ☐ (6) Projects Accounting

PROJECT COST

Hardware Cost $ _____   **Implementation Services** $ _____

Per User Cost $ _____   **Client's Internal Cost (if known)** $ _____

Schedule 1: Summary
Summary of Total Software, Professional Services, and Maintenance Costs

Cost Categories	Proposed Cost in RFP	Explanation/Notes (if necessary)**
Software License Fees (Schedule 2)(*)(**)		
Professional Services (Schedules 3, 4, & 5):		
Implementation Services (Schedule 3)		
Data Conversion and Interfaces Estimate (Schedule 3)		
Training (Schedule 4)		
Travel and Other Costs (Schedule 5)		
Hardware Costs (if any)		
Total Cost During Project Period	$ -	

Ongoing Maintenance & Support (Years 1-5)

Period	Proposed Cost in RFP	Explanation/Notes (if necessary)**
Year One*		
Year Two		
Year Three		
Year Four		
Year Five		

*Please identify the time at which "Year One" support begins (e.g., once software goes into production).

**Attach additional notes (if needed) to provide full explanation.

Assumptions/Additional Comments

List here the maintenance & support starting point (e.g., 10% of license) and annual caps in growth (e.g., lower of x% per year or inflation).
Also list all other assumptions and use additional space if necessary.

Please check all cell formulas!!

Schedule 2: Licensing Fees
Detailed Licensing Fees By Module

Module	Proposed Cost in RFP	Number of Users/Employees	Fee Per User/Employee	Explanation/Notes (if necessary)**
Subtotal	$ -			
Third-Party Software (List Individually)				
Subtotal	$ -			
List Price	$ -			
Discountable Software				
Less Discount				
Total License Fees				

***Attach additional notes (if needed) to provide full explanation.**

Assumptions/Additional Comments

List all other assumptions here.

Please check all cell formulas!!

Schedule 3: Professional Services

Estimated Professional Services By Implementation Phase and Activity for Certification Process

1. Estimated Vendor Hours and Cost

Activity / Phase	Data Conversion			Interfaces			All Other Implementation Services			Total	
	Hours	Rate*	Cost	Hours	Rate*	Cost	Hours	Rate*	Cost	Hours	Cost
Design										0	$ -
Configure										0	$ -
Build										0	$ -
										0	$ -
										0	$ -
(add additional cells if needed)										0	$ -
Total	0		$ -	0		$ -	0		$ -	0	$ -

* Please use (and specify) the proposed blended rate for each phase.

2. Assumed Government Hourly Participation (Please input the estimated "Hours" only)

Activity / Phase	Data Conversion			Interfaces			All Other Implementation Services			Total	
	Hours	Rate*	Cost	Hours	Rate*	Cost	Hours	Rate**	Cost	Hours	Cost
Design											
Configure											
Build											
(add additional cells if needed)											
Total	0.00			0.00			0.00			0.00	

Assumptions/Additional Comments

Please check all cell formulas!!
At a minimum, vendors must separate work effort by Financials and HRMS phases and specify which modules are included in each phase.

Schedule 4: Training Costs
Estimated Cost of Training by Phase

1. Training Hours and Costs By Trainee

Phase / Trainee Type	Number of Students	Phase I			Phase II			Phase III			Phase IV			Phase V			Total	
		Units	Cost/Unit	Cost	Units	Cost/Unit	Cost	Units	Cost/Unit	Cost	Units	Cost/Unit	Cost	Units	Cost/Unit	Cost	Units	Cost
Total	0	0		$0	0		$0	0		$0	0		$0	0		$0	0	$0

*Please label each Phase to be consistent with your implementation methodology.

2. Additional Training Costs

Phase / Type		Phase I			Phase II			Phase III			Phase IV			Phase V			Total	
		Units	Cost/Unit	Cost	Units	Cost/Unit	Cost	Units	Cost/Unit	Cost	Units	Cost/Unit	Cost	Units	Cost/Unit	Cost	Units	Cost
Total	0	0		$0	0		$0	0		$0	0		$0	0		$0	0	$0

3. Total Training Costs

Phase / Total Cost		Phase I		Phase II		Phase III		Phase IV		Phase V		Total	
			Cost		Cost		Cost		Cost		Cost		Cost
Total Cost		0	$0	0	$0	0	$0	0	$0	0	$0	0	$0

Assumptions/Additional Comments
Note: Phases are provided for Illustration purposes only. Cost submittal must match any phases proposed in implementation plan.

Please check all cell formulas!!

Schedule 5: Travel & Other Costs
Travel and Other Costs

Phase / Category	Phase I Cost	Phase II Cost	Phase III Cost	Phase IV Cost	Phase V Cost	Total Cost
Total	$ -	$ -	$ -	$ -	$ -	

Please label each Phase to be consistent with your implementation methodology.

Assumptions/Additional Comments

Please check all cell formulas!!

Schedule 1: Summary
Summary of Total ASP Fees, Professional Services, and Maintenance Costs

Cost Categories	Proposed Cost in RFP	Explanation/Notes (if necessary)**
Enterprise Applications (Schedule 2)(*)(**)		
Financials		
Supply Chain		
eProcurement		
Third-Party Software		
Other		
Managed Services (Schedule 3)(*)(**)		
Application Management		
System Administration		
Network Administration		
End-to-End Support		
Third-Party Software		
Other		
Data Center Services (Schedule 4)(*)(**)		
Storage		
Access		
Third-Party Software		
Professional Services (Schedule 5)(*)(**)		
Enterprise Applications		
Managed Services		
Data Center Services		
Activation Fees (Schedule 6)(*)(**)		
Enterprise Applications		
Managed Services		
Data Center Services		
Third-Party Software		
Training Fees (Schedule 7)(*)(**)		
Enterprise Applications		
Managed Services		
Data Center Services		
Travel and Other (Schedule 8)(*)(**)		
Total Cost During Project Period	$ -	

Ongoing Maintenance & Support (Years 1-5)

Period	Proposed Cost in RFP	Explanation/Notes (if necessary)**
Year One*		
Year Two		
Year Three		
Year Four		
Year Five		

*Please identify the time at which "Year One" support begins (e.g., once software goes into production).

**Attach additional notes (if needed) to provide full explanation.

Assumptions/Additional Comments

List here the maintenance & support starting point (e.g., 10% of license) and annual caps in growth (e.g., lower of x% per year or inflation).
Also list all other assumptions and use additional space if necessary.

Please check all cell formulas!!

Schedule 2: Enterprise Application
Detailed Licensing Fees By Product

Application/Product	Proposed Cost in RFP	Number of Users	Fee Per User	Explanation/Notes (if necessary)**
Financials				
Supply Chain				
eProcurement				
Other				
Subtotal	$ -			
Third-Party Software (List Individually)				
Subtotal	$ -			
List Price	$ -			
Discountable Software				
Less Discount				
Total License Fees				

**Attach additional notes (if needed) to provide full explanation.

Assumptions/Additional Comments

List all other assumptions here.

Please check all cell formulas!!

Schedule 3: Managed Services
Detailed Licensing Fees By Product

Product/Service	Proposed Cost in RFP	Number of Users	Fee Per User	Explanation/Notes (if necessary)**
Application Management				
System Administration				
Network Administration				
End-to-End Support				
Other				
Subtotal	$ -			
Third-Party Software (List Individually)				
Subtotal	$ -			
List Price	$ -			
Discountable Software				
Less Discount				
Total License Fees				

***Attach additional notes (if needed) to provide full explanation.**

Assumptions/Additional Comments

List all other assumptions here.

Please check all cell formulas!!

Schedule 4: Data Center
Detailed Licensing Fees By Product

Product/Service	Proposed Cost in RFP	Number of Users	Fee Per User	Explanation/Notes (if necessary)**
Data Storage *				
Data Access				
Subtotal	$ -			
Third-Party Software (List Individually)				
Subtotal	$ -			
List Price	$ -			
Discountable Software				
Less Discount				
Total License Fees				

*Please describe any storage limitations or pricing schemes based upon storage.

Assumptions/Additional Comments
List all other assumptions here.
Please check all cell formulas!!

Schedule 5: Professional Services
Estimated Professional Services By Product And By Activity

1. Estimated Vendor Hours and Cost

Activity / Product	Data Conversion			Interfaces			All Other Implementation Services			Total	
	Hours	Rate*	Cost	Hours	Rate*	Cost	Hours	Rate*	Cost	Hours	Cost
Enterprise Application										0	$ -
Financials											
Supply Chain											
eProcurement											
Other											
Managed Services											
Application Management											
System Administration											
Network Administration											
End-to-End Support											
Other											
Data Center											
Storage											
Access											
Other											
Total	0		$ -	0		$ -	0		$ -	0	$ -

* Please use (and specify) the proposed blended rate for each phase.

2. Assumed Government Hourly Participation (Please input the estimated "Hours" only)

Activity / Phase	Data Conversion			Interfaces			All Other Implementation Services			Total	
	Hours	Rate*	Cost	Hours	Rate*	Cost	Hours	Rate**	Cost	Hours	Cost
Enterprise Application											
Financials											
Supply Chain											
eProcurement											
Other											
Managed Services											
Application Management											
System Administration											
Network Administration											
End-to-End Support											
Other											
Data Center											
Storage											
Access											
Other											
Total	0.00			0.00			0.00			0.00	

Assumptions/Additional Comments

Please check all cell formulas!!

At a minimum, vendors must separate work effort by Financials and HRMS phases and specify which modules are included in each phase.

Schedule 6: Activation
Detailed Activation or Set-up Fees By Product

Product/Service	Proposed Cost in RFP	Number of Users	Fee Per User	Explanation/Notes (if necessary)**
Enterprise Application				
Financials				
Supply Chain				
eProcurement				
Other				
Managed Services				
Application Management				
System Administration				
Network Administration				
End-to-End Support				
Other				
Data Center				
Storage				
Access				
Other				
Subtotal	$ -			
Third-Party Software (List Individually)				
Subtotal	$ -			
List Price	$ -			
Discountable Software				
Less Discount				
Total License Fees				

*Please describe any storage limitations or pricing schemes based upon storage.

Assumptions/Additional Comments

List all other assumptions here.

Please check all cell formulas!!

Schedule 7: Training Costs
Estimated Cost of Training by Product

1. Training Hours and Costs By Trainee

Product / Service	Number of Students	Enterprise			Managed Service			Data Center			Total	
		Units	Cost/Unit	Cost	Units	Cost/Unit	Cost	Units	Cost/Unit	Cost	Units	Cost
Total	0	0		$0	0		$0	0		$0	0	$0

2. Additional Training Costs

Product / Service		Enterprise			Managed Service			Data Center			Total	
		Units	Cost/Unit	Cost	Units	Cost/Unit	Cost	Units	Cost/Unit	Cost	Units	Cost
Total	0	0		$0	0		$0	0		$0	0	$0

3. Total Training Costs

Product / Service		Enterprise			Managed Service			Data Center			Total	
				Cost			Cost			Cost		Cost
Total Cost		0		$0	0		$0	0		$0	0	$0

Assumptions/Additional Comments

Please check all cell formulas!!

Schedule 8: Travel & Other Costs
Travel and Other Costs

Service / Activity	Enterprise Cost	Man. Svc. Cost	Data Center Cost	Total Cost
Subtotal	$0	$0	$0	$0
Hardware				
Subtotal	$0	$0	$0	$0
Total	$ -	$ -	$ -	

*Please label each Phase to be consistent with your implementation methodology.

Assumptions/Additional Comments

Please check all cell formulas!!

Software License - Statewide

Cost Categories	Proposed Fee	Explanation/Notes (if necessary)**
Software License Fees (By Module)		
Third-Party Costs (if any)		
Total Cost During Project Period	$ -	

Ongoing Maintenance & Support (Years 1-5)

Period	Proposed Fee	Explanation/Notes (if necessary)**
Year One*		
Year Two		
Year Three		
Year Four		
Year Five		

*Please identify the time at which "Year One" support begins (e.g., once software goes into production).

**Attach additional notes (if needed) to provide full explanation.

Assumptions/Additional Comments

List here the maintenance & support starting point (e.g., 10% of license) and annual caps in growth (e.g., lower of x% per year or inflation).
Also list all other assumptions and use additional space if necessary.

Please check all cell formulas!!

California Courts
Functional Requirements: General Ledger

F = Fully Provided "Out-of-the-Box"   **R** = Provided with Reporting Tool
NV = Provided in the Very Next Version   **C** = Custom Development Required
TP = Third Party Software Required   **NA** = Not Available
M = Modification

Reference Number	Functional Requirements	Response	Comments
GL1	**GENERAL REQUIREMENTS**		
GL2	Ability of financial applications to meet Generally Accepted Accounting Principles (GAAP). Financial internal controls comply with Governmental Accounting and Financial Reporting standards.		
GL3	Ability during processing to edit transactions to ensure that each entry to a fund is balanced and complete and also that each fund is maintained as a self-balancing entity.		
GL4	Ability to audit all on-line transactions.		
GL5	Ability to store scanned images on journal entries.		
GL6	**CHART OF ACCOUNTS DESIGN**		
GL7	Ability to accept both standard and recurring journal entries, both as to amount and account.		
GL8	Ability to designate each general ledger account by a user-definable "account type" as follows:		
GL9	Asset account		
GL10	Liability account		
GL11	Fund equity account		
GL12	Revenue account		

California Courts
Functional Requirements: General Ledger

F = Fully Provided "Out-of-the-Box"
NV = Provided in the Very Next Version
TP = Third Party Software Required
M = Modification

R = Provided with Reporting Tool
C = Custom Development Required
NA = Not Available

Reference Number	Functional Requirements	Response	Comments
GL13	Expense or expenditure account		
GL14	Ability to share accounts across multiple years (i.e., project accounts).		
GL15	Ability of the system to allow for sorting of the chart of accounts.		
GL16	Ability to print information displayed on the screen.		
GL17	Ability to add accounts in an active or inactive status.		
GL18	Ability to group funds on a user-defined basis.		
GL19	Ability to use effective dating when adding or deleting accounts and to validate entries based upon the effective date.		
GL20	Ability to track chart-of-accounts organization structure changes from fiscal year to fiscal year.		
GL21	Ability to create account roll-ups.		
GL22	Ability to set up a set of transaction codes that can store pre-defined sets of debit and credit entries and post to available on-line tables for viewing.		
GL23	**JOURNAL ENTRY**		
GL24	Ability to provide for a search range of account numbers.		
GL25	Ability to allow the user to look up the chart of accounts on screen.		

California Courts
Functional Requirements: General Ledger

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M = Modification

Reference Number	Functional Requirements	Response	Comments
GL26	Ability to designate the type of journal entry (i.e., reversal).		
GL27	Ability to enter automated reversal entries.		
GL28	Ability to save journal entries until final posting.		
GL29	Ability to enter journal transactions in batches.		
GL30	Ability to enter journal entries for multiple departments and funds under one journal header.		
GL31	Ability when entering a journal voucher to view the multiple entries within the journal transaction on any screen.		
GL32	Ability to restrict interfund postings based upon security.		
GL33	Ability to provide default data within journal fields (i.e., year, fund) by user id.		
GL34	Ability to support comments fields in journal entries.		
GL35	Ability to attach or reference backup documents.		
GL36	Ability to highlight errors on the screen for immediate correction.		
GL37	Ability to provide descriptive error messages.		
GL38	Ability to accommodate interfund transactions.		

California Courts
Functional Requirements: General Ledger

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NV = Provided in the Very Next Version   **C** = Custom Development Required
TP = Third Party Software Required   **NA** = Not Available
M = Modification

Reference Number	Functional Requirements	Response	Comments
GL39	Ability to input journal entries as a correction or adjustment to prior accounting periods.		
GL40	Ability to accommodate workflow.		
GL41	Ability to import entries from a variety of file formats.		
GL42	**CASH MANAGEMENT**		
GL43	Ability to record cash transactions.		
GL44	Ability to import account information from banking institutions.		
GL45	Ability to produce cash position reports.		
GL46	Ability to forecast cash positions.		
GL47	**CLOSINGS**		
GL48	Ability to perform period end closings.		
GL49	Ability to hold a period or fiscal year open indefinitely before closing.		
GL50	Ability to have more than one period open.		
GL51	Ability to close by fund group or by fund.		

California Courts
Functional Requirements: General Ledger

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M = Modification

Reference Number	Functional Requirements	Response	Comments
GL52	Ability to initiate year-end processing at any point in time after the end of the fiscal year (i.e., doesn't have to occur on last day or on any particular day).		
GL53	Ability to make post-closing adjustments at any point during the closing period.		
GL54	Ability to support soft and hard closings by period, fund, and fiscal year.		
GL55	Ability to allow new year inputs to be entered before the old year's preliminary closing, with the transactions held in suspense until the new year is opened.		
GL56	Ability to handle open year-end encumbrances in the following ways:		
GL57	Encumbrances are not carried forward		
GL58	All encumbrances are carried forward		
GL59	Selected encumbrances are carried forward		
GL60	**QUERYING**		
GL61	Ability to drill-down from any field within the journal entry screen to any functional module within the system.		
GL62	Ability to validate field values within the journal entry screen.		
GL63	Ability to export queries to a variety of file formats.		
GL64	Ability to query journal entries by end-user.		

California Courts
Functional Requirements: General Ledger

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NV = Provided in the Very Next Version   **C** = Custom Development Required
TP = Third Party Software Required   **NA** = Not Available
M = Modification

Reference Number	Functional Requirements	Response	Comments
GL65	**REPORTING**		
GL66	Ability to support ad hoc reporting.		
GL67	Ability to summarize individual line-item accounts into meaningful groups of accounts for use in financial reporting based on user-defined criteria.		
GL68	Ability to support on-line inquiry to account balances, activity changes with backup detail, available funds, and to detail posted transactions.		
GL69	Ability to maintain a history of all G/L entries and to produce detailed transaction reports to provide an appropriate audit trail.		

California Courts
Functional Requirements: Budget

F = Fully Provided "Out-of-the-Box"
NV = Provided in the Very Next Version
TP = Third Party Software Required
M = Modification

R = Provided with Reporting Tool
C = Custom Development Required
NA = Not Available

Reference Number	Functional Requirements	Response	Comments
BUD1	**BUDGET CONTROL DESIGN**		
BUD2	Ability to control budget by:		
BUD3	Fund		
BUD4	Sub-Fund		
BUD5	Object		
BUD6	Sub-Object		
BUD7	Organization		
BUD8	Program		
BUD9	Element		
BUD10	Component		
BUD11	Task		
BUD12	Function (program, task, activity)		
BUD13	Project		

California Courts
Functional Requirements: Budget

F = Fully Provided "Out-of-the-Box"

NV = Provided in the Very Next Version

TP = Third Party Software Required

M = Modification

R = Provided with Reporting Tool

C = Custom Development Required

NA = Not Available

Reference Number	Functional Requirements	Response	Comments
BUD14	Ability to accommodate multi-year budget control.		
BUD15	Ability to accommodate pre-encumbrance control.		
BUD16	Ability to accommodate encumbrance control.		
BUD17	Ability to allow automatic override of entries that would take an account over budget based on user-defined specifications (i.e., payroll runs).		
BUD18	Ability to automatically carryover to General Ledger accounts created in the Budget module.		
BUD19	Ability to set up "uncontrolled" or tracked budgets (i.e., salary).		
BUD20	Ability to control appropriation based upon revenue received.		
BUD21	Ability of the Budget module to be fully integrated with the General Ledger. For example, when new account numbers are entered in the General Ledger, they are available immediately in the budget preparation input screen.		
BUD22	Ability to load budgets from external files.		
BUD23	Ability to accommodate batch journal entries.		
BUD24	Ability to accommodate re-organizations with budget control being carried over with every organization change.		
BUD25	Ability to accommodate budget allotments/distributed costs.		

California Courts
Functional Requirements: Budget

F = Fully Provided "Out-of-the-Box"
NV = Provided in the Very Next Version
TP = Third Party Software Required
M = Modification

R = Provided with Reporting Tool
C = Custom Development Required
NA = Not Available

Reference Number	Functional Requirements	Response	Comments
BUD26	Ability to integrate with other systems to accommodate budget elements (i.e., position control).		
BUD27	**BUDGET MAINTENANCE**		
BUD28	Ability to transfer budgets online.		
BUD29	Ability to adjust budgets within security requirements.		
BUD30	Ability to override budget control within security requirements.		
BUD31	Ability to stamp all budget adjustment activity by:		
BUD32	User		
BUD33	Date		
BUD34	Transaction Code		
BUD35	Ability to reallocate and aggregate budgets with proper security.		
BUD36	Ability to lock budgets.		
BUD37	Ability to accommodate comment fields and attachments.		
BUD38	**QUERYING**		

California Courts
Functional Requirements: Budget

F = Fully Provided "Out-of-the-Box"

NV = Provided in the Very Next Version

TP = Third Party Software Required

M = Modification

R = Provided with Reporting Tool

C = Custom Development Required

NA = Not Available

Reference Number	Functional Requirements	Response	Comments
BUD39	Ability to drill-down from any field and attachments within the budget entry screen to any functional module within the system.		
BUD40	Ability to create ad hoc queries.		
BUD41	Ability to review multiple versions of budget online.		
BUD42	Ability to export queries to a variety of file formats.		
BUD43	**REPORTING**		
BUD44	Ability to generate ad hoc reports.		
BUD45	Ability to generate a budget variance report.		
BUD46	Ability to develop a standard and save a set of reports and inquiries for end-users.		

California Courts
Functional Requirements: Purchasing

F = Fully Provided "Out-of-the-Box"

NV = Provided in the Very Next Version

TP = Third Party Software Required

M = Modification

R = Provided with Reporting Tool

C = Custom Development Required

NA = Not Available

Reference Number	Functional Requirements	Response	Comments
PUR1	**PURCHASING DESIGN**		
PUR2	Ability to support pre-encumbrance control.		
PUR3	Ability to support encumbrance control for budgeted funds.		
PUR4	Ability to copy information from one process to another without rekeying (i.e., requisition to purchase order).		
PUR5	Ability to drill down to supporting documents within the purchasing system.		
PUR6	Ability to support workflow.		
PUR7	Ability to have ticklers automatically generated/re-generated when follow up is necessary from key system events within all purchasing processes.		
PUR8	Ability to support two-way, three-way and four-way matching of documents.		
PUR9	Ability to use commodity code (NIGP)/stock numbers.		
PUR10	Ability to capture and maintain buyer number and display activity with dates.		
PUR11	Ability to provide access to the Internet for vendor communication.		
PUR12	Ability to support user-defined criteria for online automatic entry into inventory from purchasing.		
PUR13	Ability to maintain history of all purchasing processes including requisitions, bid/quotes, blanket purchases and receiver information.		

California Courts
Functional Requirements: Purchasing

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NV = Provided in the Very Next Version   **C** = Custom Development Required
TP = Third Party Software Required   **NA** = Not Available
M = Modification

Reference Number	Functional Requirements	Response	Comments
PUR14	**VENDOR FILES**		
PUR15	Ability to create master vendor files which interface with Accounts Payable.		
PUR16	Ability to support vendor file tracking by name, multiple addresses (bid, orders, and/or remit to), contact person(s) and phone numbers(s), minority / disadvantaged business information, last date vendor utilized.		
PUR17	Ability of system to support vendor 1099 tracking and to create 1099 vendor tape for tax purposes.		
PUR18	Ability to change 1099 status without losing prior history data.		
PUR19	Ability to identify type of vendor (i.e., sole proprietor, corporate, etc.).		
PUR20	Ability to maintain pricing information, quantity breaks, freight terms and shipping information for each vendor.		
PUR21	Ability to track vendor by performance / history, date added / deleted or inactivated and reason.		
PUR22	Ability to classify one-time vendors.		
PUR23	Ability to delete or deactivate vendor from vendor listing by date with reason. Historical data would be retained.		
PUR24	Ability to rate vendor at each event point based on user-defined criteria.		
PUR25	Ability to have vendor numbers (numeric and alphanumeric) be system generated or assigned manually.		
PUR26	Ability to search vendor files from within purchasing processes (i.e., requisition and purchase order).		

California Courts
Functional Requirements: Purchasing

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Reference Number	Functional Requirements	Response	Comments
PUR27	Ability to create vendor groupings for specific commodities, locations, etc.		
PUR28	Ability to maintain an accumulated purchase history for each vendor in system.		
PUR29	Ability to maintain an online audit trail for changes to the vendor master file.		
PUR30	**REQUISITION PROCESSING**		
PUR31	Ability to electronically process stock, non-stock, multi-delivery, direct ship and blanket requisitions.		
PUR32	Ability to support multiple user-defined requisition formats.		
PUR33	Ability to provide stock status information during the Requisition entry process.		
PUR34	Ability to provide for multiple lines of input per individual Requisition.		
PUR35	Ability to provide reports to users and management on requisition status.		
PUR36	Ability to create and track all requisitions by date, by requester, by budget, by item, by action item, etc.		
PUR37	Ability to pre-encumber requisition per line items and also assign project accounting data.		
PUR38	Ability to order in fractional quantities, dollars, and assign to multiple General Ledger account codings.		
PUR39	Ability to modify through change order (add or delete) items ordered – part, class, quantity, unit of measure, vendor, cost, project, fund.		

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Reference Number	Functional Requirements	Response	Comments
PUR40	Ability to prevent entering invalid account codes (fund, department/division, object, and/or project).		
PUR41	Ability to enter default information based upon certain criteria.		
PUR42	Ability for users to look up vendors based upon commodity code.		
PUR43	Ability to copy requisition information from one already in the system.		
PUR44	Ability to track requisitions and automatically date and time stamp (received, accepted, returned, re-received) with notes and comments.		
PUR45	**BID AND QUOTE PROCESSING**		
PUR46	Ability to support the following types of bids: advertised sealed bids, phone and fax quotes and written requests for proposals and quotations.		
PUR47	Ability to produce a list of potential vendors/bidders who provide the requested commodities based on the NIGP commodity coding system.		
PUR48	Ability to create bid mailing lists of vendors by specific commodities.		
PUR49	Ability to allow inquiry into entire bid or bid item by vendor name or number, bid number, buyer or item number.		
PUR50	Ability to provide online entry of vendor bid responses.		
PUR51	Ability to provide bid analysis tools by price, quantity and availability by entire bid package or single line item.		
PUR52	Ability to track Bid / RFP by awards, dollar amounts, vendor responses, buyer, commodity.		

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Reference Number	Functional Requirements	Response	Comments
PUR53	Ability to track bid list / file by commodity code.		
PUR54	Ability to track vendor bid list by vendor history, past awards, bid responses and new vendors.		
PUR55	Ability to produce documents for mailing to potential vendors/bidders (i.e., bid documents, addenda).		
PUR56	Ability to advertise bid information via the Internet.		
PUR57	Ability to download vendor catalog data from various formats including the Internet.		
PUR58	**CONTRACT ADMINISTRATION**		
PUR59	Ability to convert awarded bid to approved contract.		
PUR60	Ability to create and track blanket order contracts.		
PUR61	Ability to allow multiple contracts per vendor, multiple items per contract and multiple dates.		
PUR62	Ability to track service performance against a contract.		
PUR63	Ability to review and print contract text.		
PUR64	Ability to track contracts by vendor, date (starting, ending, tic), dollars, item, class, budget, account, program, renewals, cancellations, extensions, add/change, buying groups, commodity codes, contract number(s), alternates.		
PUR65	Ability to support various contract periods, including multiple year contracts (i.e., those that span fiscal and/or calendar years).		

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Reference Number	Functional Requirements	Response	Comments
PUR66	Ability to track and report contract operations over several different periods including county, federal, or other user defined fiscal year.		
PUR67	Ability to record and track contract limits at user specified levels of detail over the life of the contract.		
PUR68	Ability to flag contracts for release payments based upon certain defined performance indicators.		
PUR69	Ability to maintain a transaction listing of all contract change orders including date and source. (To understand why changes were made, what amount, who approved, etc.)		
PUR70	Ability to encumber only a portion of a contract based on fiscal year.		
PUR71	Ability to carry over open contracts from year to year.		
PUR72	**PURCHASE ORDER MANAGEMENT**		
PUR73	Ability to have multiple line items per purchase order with capability for one / multiple delivery schedules per line printed on purchase order.		
PUR74	Ability of purchase order numbers to be manually or automatically generated with different numbering series for different organizational / buying entities.		
PUR75	Ability to create purchase orders from requisitions, bid/quotes and contracts.		
PUR76	Ability to process blanket purchase orders.		
PUR77	Ability to allow for unlimited standard and free form messages at the header and line item level.		
PUR78	Ability to send purchase orders to vendors in the following formats: electronic data exchange, fax, e-mail or printed copy.		

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Reference Number	Functional Requirements	Response	Comments
PUR79	Ability to generate bill to and ship to information automatically with secondary or internal delivery to location.		
PUR80	Ability to perform unit of measure conversion from purchased unit of measure to stocked / delivered unit of measure.		
PUR81	Ability to maintain original and revised promised ship dates, prices, open quantities and "ship via" information.		
PUR82	Ability to assign multiple general ledger account codings to purchase orders.		
PUR83	Ability to allow online and batch printing of purchase orders.		
PUR84	Ability to reprint hard copy of purchase orders and change orders when required; eliminating the hard copy purchase order file maintenance, identifying duplicate, revised, items open / received.		
PUR85	Ability to automatically close a purchase order when all items are received and the final invoice is paid.		
PUR86	Ability to carry over open purchase orders to the following fiscal year.		
PUR87	Ability to buy by description, cross referencing stock number, vendor(s).		
PUR88	Ability of open purchase order report to list all purchase orders by vendor name (alphabetical order), purchase order number, line item, description, quantity on order, quantity still open, buyer, and to interface with purchase order view screen.		
PUR89	Ability to accommodate multiple tolerances for encumbrance control.		
PUR90	Ability to automatically encumber final purchase order amount interfacing with the General Ledger component – tracks differences and totals and releases differences back to remaining budget.		

California Courts
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Reference Number	Functional Requirements	Response	Comments
PUR91	Ability to allow annual automatic processing or renewal of on-going blanket purchase orders.		
PUR92	Ability to track freight by line item or lump sum and divide by total estimated / actual.		
PUR93	Ability to automatically or manually close or adjust purchase order without receiving merchandise.		
PUR94	Ability to change purchase order item ordered – part, class, quantity, unit of measure, dollars, vendor, account.		
PUR95	Ability for purchase order to specify multiple programs, delivery dates and locations.		
PUR96	Ability of one purchase order to be charged to multiple cost centers/accounts / budgets.		
PUR97	Ability of confirming purchase order to be tracked and monitored by buyer, vendor, item, class budget, dollars.		
PUR98	Ability to trigger fixed asset process or low value asset classification by analyzing purchase and making decision based upon the purchase price.		
PUR99	Ability to indicate and provide for manual or automatic purchase order or change order encumbrance.		
PUR100	**RECEIVING**		
PUR101	Ability to provide three-way or four-way matching capabilities.		
PUR102	Ability to automatically match vendor invoice, purchase order and purchase order receipt.		
PUR103	Ability to review vendors and outstanding purchase orders during the match process.		

California Courts
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Reference Number	Functional Requirements	Response	Comments
PUR104	Ability to accommodate partial receipts.		
PUR105	Ability to trigger Accounts Payable process based upon receipt information.		
PUR106	Ability to detect and measure early / late and over / under shipments.		
PUR107	Ability to maintain discrepancy file by vendor, stock number, item, dates, control number, purchase order number.		
PUR108	Ability to override unmatched status with the proper security status.		
PUR109	Ability to flag purchases for fixed asset tables upon receipt of good.		
PUR110	Ability to have credit / adjustment form and collect shipping data, costs and other budgetary data with the capability to print a credit / adjustment form.		
PUR111	Ability to audit receiving data by user id, date, time, etc.		
PUR112	Ability to flag purchases for special order items.		
PUR113	**e-PROCUREMENT**		
PUR114	*The AOC will be considering e-procurement capabilities for some courts. The following requirements are intended to identify which systems provide general online e-procurement functions. Installation of these functions will be considered by each court. Vendors may be asked to demonstrate these capabilities during software demonstrations.*		
PUR115	**General**		

California Courts
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Reference Number	Functional Requirements	Response	Comments
PUR116	Ability to provide real-time interface with ERP applications. (Please list major applications in comment field).		
PUR117	Provides online help function.		
PUR118	Ability to post the following information on the Internet:		
PUR119	Bid documents		
PUR120	Purchasing manual		
PUR121	Product specifications		
PUR122	Contract information		
PUR123	Catalogs		
PUR124	Ability to specify preferred vendors.		
PUR125	Ability to record a history of all transactions by user, date, time, type of transaction, and action.		
PUR126	**Vendor Information**		
PUR127	Ability to store vendor information.		

California Courts
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Reference Number	Functional Requirements	Response	Comments
PUR128	Ability for vendors to update information through proper security.		
PUR129	Ability for vendors to submit secured bids electronically.		
PUR130	Ability for vendors to view current requests for bids.		
PUR131	Ability for vendor to upload catalog items.		
PUR132	Ability to support.		
PUR133	**Contracts**		
PUR134	Ability to store contracts online.		
PUR135	Ability to search and purchase from existing contracts.		
PUR136	**e-Purchasing**		
PUR137	Ability to place web-based orders with quick response times.		
PUR138	Ability to check status of order (ship date, tracking number).		

California Courts
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Reference Number	Functional Requirements	Response	Comments
PUR139	Ability to click on a catolog item and procurement request is populated automatically.		
PUR140	Ability to develop a list of items to be purchased (i.e., shopping cart).		
PUR141	Ability to copy a previously made request.		
PUR142	Ability to save request form if requestor is not ready to submit the order.		
PUR143	Ability to print requisitions.		
PUR144	Ability to e-mail confirmation of order.		
PUR145	Ability to support forward and reverse auctions.		
PUR146	**QUERYING / REPORTING**		
PUR147	Ability to generate 1099 report.		
PUR148	Ability to generate aging reports.		
PUR149	Ability to drill-down from any field within the purchasing screen to any functional module within the system.		
PUR150	Ability to create ad hoc queries and reports.		

California Courts
Functional Requirements: Grants Accounting

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Reference Number	Functional Requirements	Response	Comments
GR1	**DESIGN**		
GR2	Ability to track grant applications.		
GR3	Ability to maintain data about grantors.		
GR4	Ability to track grant expenditure activity.		
GR5	Ability to track grant activity over multiple years.		
GR6	Ability to track grant activity over the State fiscal year.		
GR7	Ability to track grant activity over the grant fiscal year.		
GR8	Ability to assign indirect cost codes.		
GR9	Ability to accommodate workflow.		
GR10	Ability to account for grant revenues and expenditures for the fiscal year, grant year and the perpetual life of the grant--with breakdowns by period and in total (inception to date) for all prior years.		
GR11	**GRANT LEDGERS**		
GR12	Ability to accommodate the following accounting fields:		
GR13	Program		

California Courts
Functional Requirements: Grants Accounting

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Reference Number	Functional Requirements	Response	Comments
GR14	Element		
GR15	Component		
GR16	Task		
GR17	Ability to define the program or budget year of the grant/project differently than the system established fiscal year.		
GR18	Ability to set up and report budget items based on multiple fiscal years and grant years.		
GR19	Ability to calculate on a user defined basis indirect costs associated with any grant and to provide system generated entries.		
GR20	Ability to calculate on a user defined basis matching fund requirements associated with any grant and to provide system generated entries.		
GR21	Ability to accommodate grant year accounting and comply with both calendar year and fiscal year budgeting requirements.		
GR22	Ability to carry forward appropriations at year end.		
GR23	Ability to track contracts that span multiple years.		
GR24	Ability to interface with other systems for grant-related data (i.e., job classification data).		
GR25	**GRANT APPLICATIONS**		
GR26	Ability to track the following grant application information:		

California Courts
Functional Requirements: Grants Accounting

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Reference Number	Functional Requirements	Response	Comments
GR27	Grant number		
GR28	Grant name		
GR29	Grant description		
GR30	Grantor		
GR31	Grantor's mailing address		
GR32	Grantor's phone number		
GR33	Date application submitted		
GR34	Date application approved		
GR35	Original grant approval amount		
GR36	Grant budgeted		
GR37	Grant amendments		
GR38	Grant carryovers		
GR39	Grant fiscal calendar		

California Courts
Functional Requirements: Grants Accounting

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Reference Number	Functional Requirements	Response	Comments
GR40	Grant beginning date		
GR41	Grant expiration date		
GR42	Letter of credit/draw-down		
GR43	Amount and origin of matching funds		
GR44	Responsible State department or division		
GR45	Responsible State departmental or divisional contact		
GR46	Reimbursement schedule		
GR47	**GRANT ACTIVITY**		
GR48	Ability to capture all grant activity through the general ledger.		
GR49	Ability to capture grant expenditures and revenues by:		
GR50	General ledger account numbers		
GR51	Grantor-defined categories or accounts		
GR52	Grant purchase orders and encumbrances		

California Courts
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Reference Number	Functional Requirements	Response	Comments
GR53	Grants status codes		
GR54	User defined fields		
GR55	Grant's conditions and restrictions		
GR56	Narrative fields for miscellaneous information		
GR57	**PROCESSING REQUIREMENTS**		
GR58	Ability to establish and adjust budgets for each grant.		
GR59	Ability to assign multiple user defined categories for budget purposes.		
GR60	Ability to duplicate preexisting grants to establish templates for new grants.		
GR61	Ability to prioritize draw-downs (i.e., grant A first, grant B second, etc.).		
GR62	Ability to chose drawdown during expenditure transactions.		
GR63	Ability to add, modify or delete grant information online with audit trail of all changes.		
GR64	Ability to provide for grant summary history online.		
GR65	Ability to support multiple programs per grant (sub-grants).		

California Courts
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Reference Number	Functional Requirements	Response	Comments
GR66	Ability to purge expired grants or non-awarded grants.		
GR67	Ability to accept electronic wire transfers for draw-down/letters of credit.		
GR68	Ability to "suspend" grant transactions based on user defined criteria (i.e., expiration date or grant status).		
GR69	Ability to post the "suspended" grant transactions with supervisory control or post with supervisory override.		
GR70	Ability to archive closed grants with no activity beyond a user defined time interval.		
GR71	Ability to process data from purchasing system for purchase orders and encumbrances.		
GR72	Ability to accommodate the following budget preparation capabilities:		
GR73	Ability to budget by total grant amount		
GR74	Ability to budget by multiple fiscal years		
GR75	Ability to maintain detailed transaction history online for life of grant.		
GR76	Ability to make adjustments for any accounting period in any fiscal year.		
GR77	Ability for multiple departments to enter information on a single grant with security constraints established at transaction level.		
GR78	Ability to roll-up grant to higher levels for internal and external reporting.		

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Reference Number	Functional Requirements	Response	Comments
GR79	**QUERYING / REPORTING**		
GR80	Ability to drill-down from any field within the grants accounting screen to any functional module within the system.		
GR81	Ability to create ad hoc queries and reports.		

California Courts
Functional Requirements: Projects Accounting

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Reference Number	Functional Requirements	Response	Comments
PJ1	**DESIGN**		
PJ2	Ability of system to record and maintain data at the following levels of detail:		
PJ3	Program		
PJ4	Element		
PJ5	Component		
PJ6	Task		
PJ7	Organization or cost center		
PJ8	Contract		
PJ9	Work order		
PJ10	Ability to identify direct costs for each cost object by object and sub-object of expenditure.		
PJ11	Ability to assign indirect cost allocation formulas.		
PJ12	Ability to generate indirect cost data based upon a cost allocation plan (i.e., communications billed, building services billed, and transportation billed, administrative costs, etc.).		

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Reference Number	Functional Requirements	Response	Comments
PJ13	Ability to allocate costs based upon different types of rules.		
PJ14	Ability to carry forward project budgets from current year.		
PJ15	Ability to accommodate workflow.		
PJ16	Ability to set up authorized users by job title or name to charge labor time on a project.		
PJ17	Ability to identify inactive projects.		
PJ18	**PROJECT LEDGERS**		
PJ19	Ability to establish projects budgets (balanced) across funds.		
PJ20	Ability to associate project budgets with budgetary control appropriations in the General Ledger ensuring consistency across applications.		
PJ21	Ability to associate multiple funding sources with projects and track the application of funding to actual expenditure.		
PJ22	Ability to establish project accounts to record project budgets, encumbrances and expenditures.		
PJ23	Ability to clone project accounts established from previous projects, then modify for a newly created project.		
PJ24	Ability to calculate capitalized interest by project.		
PJ25	Ability to classify projects by type (I.e., billable, non-billable, statistical, etc.).		

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Reference Number	Functional Requirements	Response	Comments
PJ26	**PROJECT MANAGEMENT**		
PJ27	Ability to record project activity over multiple years.		
PJ28	Ability to record project activity over multiple departments/divisions.		
PJ29	Ability to accommodate a variety of projects such as:		
PJ30	Small capital expenses (e.g., remodeling)		
PJ31	Large capital projects (e.g., buildings, infrastructure)		
PJ32	Routine work order(s) for non-capital expenditures		
PJ33	Ability to classify the project by:		
PJ34	Type of project (i.e., building, etc.)		
PJ35	Location		
PJ36	Administering department		
PJ37	Ability to track the following dates:		
PJ38	Planned start date		

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Reference Number	Functional Requirements	Response	Comments
PJ39	Actual start date		
PJ40	Planned completion date		
PJ41	Project completion date		
PJ42	Ability to maintain a project address.		
PJ43	Ability to associate work orders with projects.		
PJ44	Ability to associate freeform text with a project.		
PJ45	Ability to track approval levels.		
PJ46	Ability to provide a means for standard control and monitoring of projects.		
PJ47	Ability to associate projects with other projects in a hierarchical structure.		
PJ48	Ability to classify project costs according to task (i.e., inspection, design).		
PJ49	Ability to close project at user specified date.		
PJ50	Ability to track dedicated funds set aside for selected activities in projects (e.g., set aside funds for planned activities as they become known).		
PJ51	Ability to account for advance planning activities prior to the establishment of a project and transfer the costs to the project after it is established.		

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Reference Number	Functional Requirements	Response	Comments
PJ52	Ability to validate charges against project master files to determine if:		
PJ53	Charges are to open projects		
PJ54	Accounts charged are valid for specified projects (e.g., costs are valid or budgeted for the project).		
PJ55	Ability to prevent entry to closed projects.		
PJ56	Ability to obtain project titles online, primarily to assist in proper identification for data entry.		
PJ57	Ability to allow allocating an amount by entered percentages to various projects.		
PJ58	Ability to make overhead/indirect cost allocations to projects, including the use of multiple overhead rates.		
PJ59	Ability to support GANTT charts.		
PJ60	Ability to enter an amount or the current percent of completion and have the system estimate additional amounts for finishing the project.		
PJ61	Ability to automatically calculate estimates to complete as budget minus actual.		
PJ62	Ability to track multiple year expenditures.		
PJ63	Ability to carry forward from current year.		
PJ64	Ability to support project budgets by associating budget appropriations from the general ledger to user defined project accounts.		

California Courts
Functional Requirements: Projects Accounting

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Reference Number	Functional Requirements	Response	Comments
PJ65	Ability to accumulate balances for:		
PJ66	Actuals		
PJ67	Budgets		
PJ68	Ability to perform flexible budgeting for projects while adhering to level of budgetary controls established in the General Ledger.		
PJ69	Ability to program the calculation of projected final costs using various methods of computation.		
PJ70	**QUERYING / REPORTING**		
PJ71	Ability to drill-down from any field within the grants accounting screen to any functional module within the system.		
PJ72	Ability to create ad hoc queries and reports.		

California Courts
Functional Requirements: Accounts Receivable

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Reference Number	Functional Requirements	Response	Comments
AR1	**ACCOUNTS RECEIVABLE DESIGN**		
AR2	Ability to maintain a master customer file.		
AR3	Ability to record a designated collections manager by account.		
AR4	Ability to establish default account distributions for each receivable.		
AR5	Ability to recognize or accommodate:		
AR6	Revenue earned and billed		
AR7	Revenue earned, but not billed		
AR8	Recognize revenue previously reported as deferred		
AR9	Projecting cash flow of receipts based on historical data by accounts receivable type		
AR10	Sorting and displaying accounts receivable in a prescribed aging format		
AR11	Ability to accommodate workflow.		
AR12	Ability to integrate with the case management system.		
AR13	Ability to support electronic payments.		

California Courts
Functional Requirements: Accounts Receivable

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Reference Number	Functional Requirements	Response	Comments
AR14	**CUSTOMER RECORDS**		
AR15	Ability to track and update address changes using unique identifier (e.g., Soc Sec #, drivers license, etc).		
AR16	Ability to include/exclude different customers or customer groups in the billing cycle based on user-defined parameters.		
AR17	Ability to record customer communication regarding an invoice and store the communication data with the invoice.		
AR18	Ability to record the following customer information:		
AR19	Balance forward or open items		
AR20	Last account activity		
AR21	Contact name(s)		
AR22	Credit limit		
AR23	Interest charges option		
AR24	Current and unpaid finance charges		
AR25	Balance due		
AR26	Last payment amount		

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Reference Number	Functional Requirements	Response	Comments
AR27	Last payment date		
AR28	Year-to-date payments		
AR29	Number of invoices this year		
AR30	Number of invoices last year		
AR31	Number of times past due this year		
AR32	Number of times past due last year		
AR33	Highest balance		
AR34	Finance charges this year		
AR35	Finance charges last year		
AR36	Average number of days to pay		
AR37	Dunning message code		
AR38	Ability to collect certain items first		
AR39	Tax code		

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Functional Requirements: Accounts Receivable

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Reference Number	Functional Requirements	Response	Comments
AR40	Customer type (for sales analysis)		
AR41	Statement cycle (e.g., week, month)		
AR42	Notes/comments (miscellaneous additional info)		
AR43	Customer status code		
AR44	Finance charge flag		
AR45	Corporate customer number (corporate/subsidiary relationships)		
AR46	Date customer was added		
AR47	Zip+4		
AR48	Case Management Number		
AR49	Ability to check for duplicate customers based on user-defined criteria (e.g., alphabetic similarity, phonetic similarity, phone number, postal code, etc.).		
AR50	Ability to restrict access to add, delete, or modify customer information by users.		
AR51	Ability to track additions, changes, and deletions to the customer files with an audit trail.		
AR52	Ability to automatically assign sequential customer and invoice numbers to ensure duplicates do not occur.		

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Reference Number	Functional Requirements	Response	Comments
AR53	Ability to flag inactive accounts.		
AR54	Ability to purge inactive accounts based on user defined criteria.		
AR55	Ability to use alphanumeric characters for customer numbers.		
AR56	Ability to classify customers by user-defined classifications.		
AR57	Ability to validate user defined customer codes during online entry.		
AR58	Ability to associate a customer with other customer master records such as a parent company and a subsidiary company.		
AR59	Ability to generate tickler messages for automatic display on specific dates for follow-up with a customer.		
AR60	Ability to activate or inactivate customers.		
AR61	Ability to set up one time customers with minimal data entry as compared to a regular customer.		
AR62	**INVOICES**		
AR63	Ability to produce fixed or recurring billings based upon contract terms.		
AR64	Ability to produce manual invoices for non-recurring types of billing.		
AR65	Ability to construct and process periodic statements for every receivable.		

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Reference Number	Functional Requirements	Response	Comments
AR66	Ability to accommodate memo or text fields for invoices or credit memos.		
AR67	Ability to generate account statements for the following:		
AR68	Specific accounts		
AR69	Range of accounts within a department / agency		
AR70	Range of customers		
AR71	Delinquent accounts		
AR72	Ability to support bar coding.		
AR73	Ability to generate consolidated statements for customers with multiple accounts.		
AR74	Ability to maintain detail of un-billed charges.		
AR75	Ability to produce ready-to-mail invoices prepared in accordance with governmental regulations and in the format required by the following reimbursing department / agency:		
AR76	Court Services		
AR77	Proprietary Funds		

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Reference Number	Functional Requirements	Response	Comments
AR78	Miscellaneous departmental / agency services		
AR79	State and federal reimbursed projects		
AR80	Locally reimbursed projects		
AR81	Ability to establish agreed-upon maximum charges even if actual costs incurred in providing the service or item exceed this maximum.		
AR82	Ability to exclude / include billing detail data elements, allowable charges, and overhead on specific bills or all bills.		
AR83	Ability to produce reconciliation statements showing beginning balance, charges, credits and payments, and a new balance.		
AR84	Ability to correct and reprint invoices.		
AR85	Ability to accommodate online cancellation and one step automatic reversals of invoice entries.		
AR86	Ability to print a duplicate bill on request.		
AR87	Ability to allow credit memos in batches or online.		
AR88	Ability to apply specific credit memos to specific invoices and invoice line items.		
AR89	Ability to store multiple user-defined dunning messages.		
AR90	Ability to automatically write-off small discrepancies between the amount due and the amount received.		

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Reference Number	Functional Requirements	Response	Comments
AR91	Ability to suspend partial payments and over-payments as separate open items against the original bill amount until the bill is fully cleared.		
AR92	**CASHIERING**		
AR93	Ability to create user-defined screens for cashiers.		
AR94	Ability to require a valid operator code in order to process a receipt.		
AR95	Ability to secure registers at various levels (clerk, manager, etc.) depending on the function being performed.		
AR96	Ability to generate a customer receipt as well as an internal transaction tape for each transaction processed. The internal transaction tape will be used to balance the drawer at the end of the day.		
AR97	Ability to capture the transaction time of day on each transaction.		
AR98	Ability to enter, track separately, and process simultaneously the following tendering situations: cash, check, charge card, and money orders and direct deposits.		
AR99	Ability to process split or mixed tendering situations.		
AR100	Ability to inquire into all of a customer's outstanding invoices/fees when receiving payments for any type of invoice/fee.		
AR101	Ability to maintain default general ledger accounts for specific types of payments or receipts.		
AR102	Ability to provide a user override of the default general ledger account(s) by an authorized user.		

California Courts
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Reference Number	Functional Requirements	Response	Comments
AR103	Ability to distribute payments or cash receipts to multiple general ledger accounts and funds.		
AR104	Ability to maintain user-defined cashier security tables for each cashier to be able to accept payments or receipts.		
AR105	Ability to provide the option to have more than one operator working at a work station based upon security.		
AR106	Ability to provide online account number validation for accounts receivable payments.		
AR107	Ability for cashier to collect payments for items that are not prebilled in any system (e.g., licenses, permits, etc.)		
AR108	Ability, at the end of a cashier's scheduled work day, to produce a close-out report to be balanced with the cash, checks, money orders, etc. in the operator's drawer.		
AR109	Ability to void a receipt through proper security.		
AR110	Receipt Processing		
AR111	Require a valid operator code in order to process a receipt.		
AR112	Ability to process various types of receipts including:		
AR113	Cash		
AR114	Check		

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Reference Number	Functional Requirements	Response	Comments
AR115	Money order		
AR116	Bank card		
AR117	Direct deposit		
AR118	Ability for multi-line descriptions to be entered on each receipt.		
AR119	**RECEIPTS**		
AR120	Ability to accommodate multiple payments for an invoice.		
AR121	Ability to accommodate single payments applied against multiple invoices.		
AR122	Ability to accommodate partial payments on account.		
AR123	Ability to accommodate payments in excess or or less than the bill rendered.		
AR124	Ability to automatically update revenues and receivables based upon receipts.		
AR125	Ability to accommodate electronic payments via the Internet		
AR126	**QUERYING / REPORTING**		
AR127	Ability to view next payment date by customer.		

California Courts
Functional Requirements: Accounts Receivable

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Reference Number	Functional Requirements	Response	Comments
AR128	Ability to drill-down from any field within the accounts receivable module to any functional module within the system.		
AR129	Ability to create ad hoc queries and reports.		

California Courts
Functional Requirements: Accounts Payable

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Reference Number	Functional Requirements	Response	Comments
AP1	**ACCOUNTS PAYABLE DESIGN**		
AP2	Ability to age accounts payable.		
AP3	Ability to match items by the following:		
AP4	Receiver documents		
AP5	Purchase order		
AP6	Contract		
AP7	Ability to schedule invoices for payment based on vendor terms, future dated invoices, etc.		
AP8	Ability to update the general ledger expense accounts in real-time (e.g., when an invoice is entered).		
AP9	Ability to automatically relieve an encumbrance when an expenditure transaction is entered.		
AP10	Ability to maintain and release recurring payments based upon user defined amounts and payment dates.		
AP11	Ability to close out / reverse encumbrances and purchase orders by user defined parameters.		
AP12	Ability to reject transactions for insufficient appropriation and cash / fund balances (with override feature).		
AP13	Ability to automatically update budget ledgers.		

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Reference Number	Functional Requirements	Response	Comments
AP14	Ability to compare accounts receivable data to accounts payable to identify payees who owe the State money.		
AP15	Ability to perform automated partial or complete liquidation of an encumbrance by payment against a vendor invoice.		
AP16	Ability to cross reference a purchase order and invoice for the same transaction.		
AP17	Ability to track anticipated cash requirements for disbursements.		
AP18	Ability to prevent duplicate payments.		
AP19	Ability to accommodate electronic payments.		
AP20	Ability to distribute single payments across multiple accounts, funds, organizations, etc.		
AP21	Ability to integrate with imaging systems.		
AP22	**VENDOR DATA**		
AP23	Ability to accommodate numeric and alphanumeric vendor numbers.		
AP24	Ability to support 1099 reporting data.		
AP25	Ability to retain prior year(s) data for comparative reporting.		
AP26	Ability to accommodate "one-time" vendors and identify them as such.		

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AP27	Ability to accommodate user defined vendor categories (e.g., Disadvantaged Business Enterprises, problem vendors, etc.).		
AP28	Ability to maintain multiple location addresses for each vendor.		
AP29	Ability to provide a vendor comment file that may contain a user defined amount of information which may be viewed by any user and updated by users with authorized security.		
AP30	Ability to support an unlimited number of codes for vendor commodities.		
AP31	Ability to maintain an online audit trail for changes to the vendor master file.		
AP32	Ability to record vendor performance data.		
AP33	Ability to upload payment files to accommodate court specific disbursements (e.g., jury pay).		
AP34	**INVOICE / VOUCHER PROCESSING**		
AP35	Ability to assign automatic voucher number in sequence with override capabilities.		
AP36	Ability to match the following to invoice data:		
AP37	Receiver documents		
AP38	Purchase order		
AP39	Contracts		

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Reference Number	Functional Requirements	Response	Comments
AP40	Ability to enter non-PO invoice vs PO invoice.		
AP41	Ability to schedule invoices for payment.		
AP42	Ability to support recurring payments.		
AP43	Ability to produce credit and debit memos to adjust the amount due if items are returned or if an invoice is incorrect.		
AP44	Ability to allocate an invoice amount to various accounts according to a percentage of the invoice amount.		
AP45	Ability to automatically calculate discounts when the check payment date is the same as, or prior to, the discount due date with override capabilities on discount due date.		
AP46	Ability to enter comments on the remittance advice.		
AP47	Ability to compare other invoices for duplicate payments prior to processing the payment.		
AP48	**CHECK PROCESSING**		
AP49	Ability of system to generate accounts payable checks daily, weekly, monthly or on demand.		
AP50	Ability to generate individual checks that include payments from multiple funds.		
AP51	Ability to provide audit trails with the following information:		
AP52	Disbursements		

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Reference Number	Functional Requirements	Response	Comments
AP53	Requisition number		
AP54	Purchase order number		
AP55	Contract number		
AP56	Check number		
AP57	Date		
AP58	Payee		
AP59	Remittance advice		
AP60	Ability to compute the number of checks written per check run.		
AP61	Ability to produce manual checks.		
AP62	Ability to support EFT payments.		
AP63	Ability to produce, through secure printers, checks with MICR encoding and electronic signatures.		
AP64	Ability to support the use of multiple bank accounts.		
AP65	Ability to produce checks in various sequences (e.g., vendor, zip code, account).		

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Reference Number	Functional Requirements	Response	Comments
AP66	Ability to consolidate (or choose not to consolidate) multiple invoices for the same vendor on one check, and itemize the invoices on the remittance advice.		
AP67	Ability to process/account for voided checks and prevent the printing of blank, negative, or zero amount checks.		
AP68	Ability to allow manually prepared checks into the system for inclusion in a separate check register and automatic distribution into the general ledger.		
AP69	Ability to provide for automatic restart procedures for the check printing routine.		
AP70	**CHECK RECONCILIATION**		
AP71	Ability to produce a reconciliation activity report showing all the daily online update activity in the system.		
AP72	Ability to produce a file containing all rejected check reconciliation transactions which could be available for online corrections.		
AP73	Ability to delete selected check information on the error suspense file using appropriate security controls.		
AP74	Ability to cancel checks online and automatically generate General Ledger transactions to reverse all accounting distributions associated with that check.		
AP75	Ability to retain cleared checks in a check reconciliation data base for inquiry and/or reporting purposes.		
AP76	Ability to place a "stop payment" on checks and generate the appropriate General Ledger transaction.		
AP77	**CHECK RECONCILIATION**		
AP78	Ability to produce summary Outstanding Check Report by fund and check type by user-defined timeframe.		

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Reference Number	Functional Requirements	Response	Comments
AP79	Ability to produce reports showing discounts taken and lost.		
AP80	Ability to produce a monthly, detailed, stale-dated checks listing by fund and by check type.		
AP81	Ability to produce monthly check reconciliation reports of manual transaction by fund and check type.		
AP82	**QUERYING / REPORTING**		
AP83	Ability to drill-down from any field within the accounts payable screen to any functional module within the system.		
AP84	Ability to query data by check number.		
AP85	Ability to produce a cash position report.		
AP86	Ability to produce vendor activity report.		
AP87	Ability to produce a warrant status report.		
AP88	Ability to create ad hoc queries and reports.		

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Functional Requirements: Technology

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TE1	**General Requirements**		
TE2	The software components provide for online data entry, comprehensive online editing, online file updating and online inquiry.		
TE3	Error messages appear in a standard format (e.g., in a consistent location on each screen) and are easily understood.		
TE4	Remote access for telecommuting employees is supported with appropriate security.		
TE5	Allows future connection of remote laptop applications such as field investigation (for Property TRY, system only).		
TE6	System is table-driven with online screens to control parameters.		
TE7	System provides a browser-based client.		
TE8	System allows intranet and Internet access with appropriate security.		
TE9	System allows for effective dated transactions and table updates.		
TE10	System can download, upload, or interface data with personal, mini and mainframe Computers using standard file formats.		
TE11	System can provide multimedia report output (central printers, screen, data file, microfiche, microfilm, CD ROM, DVD, etc.)		
TE12	System is MAPI compliant (e-mail standard for workflow).		
TE13	System interfaces with office automation products such as MS Word, MS Excel, MS PowerPoint, MS Access, etc.		

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TE14	System provides "screen print" capability while user is viewing an account.		
TE15	System is Year 2000 and leap year compliant.		
TE16	System should provide a Graphical User Interface (CUD System provides a common GUI report writer, which can be used across all components).		
TE17	System supports the ability to schedule jobs for regular and unattended processing.		
TE18	System provides upload, download, and terminal emulation capabilities available for PCs under Microsoft Windows.		
TE19	Ability to keep a minimum seven (7) years online storage of all summary and detail transactions in the Finance, HR.		
TE20	Disk storage capabilities expandable or field -upgradeable to handle at least three (3) times the seven (7) year volumes for each application identified.		
TE21	Ability to access data from older backup media.		
TE22	Ability to purge records upon request for records within a user-defined time.		
TE23	Ability to archive items on microfiche or on some other form of archive storage.		
TE24	Ability to list all items included in purge.		
TE25	Ability to integrate proposed and third parties applications into the main menu structure.		
TE26	**Data entry**		

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TE27	System provides pull-down menus to facilitate online data entry selections.		
TE28	Provides immediate transfer of values from "Pop up" tables to the appropriate field when selected and to proceed to the next entry field.		
TE29	System allows complete editing of data at the point of entry based on user defined criteria (e.g., transactions, tables, archived records, transaction status, etc.)		
TE30	System provides simple keystrokes for rapid data entry.		
TE31	System allows both online and batch entry of data.		
TE32	System performs updating from external batch sources (e.g., other application systems).		
TE33	Utilizes paperless system and workflow technology for user entry with electronic approval levels.		
TE34	Uses single entry to update all affected ledgers, tables and indexes (not applicable to Property Tax System).		
TE35	Provides transaction processing controls and edits for entered transactions.		
TE36	Ability to trigger additional screens based on a specific check box selection criteria.		
TE37	Allows mass changes or deletes.		
TE38	Allows departments to update and view data online with appropriate security access.		
TE39	Allows departments to flag data entry screens and fields as required and to control cursor navigation.		

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TE40	Allows users to add or delete unlimited notes to accounts with restricted viewing access.		
TE41	Ability to download data to a web server, as needed.		
TE42	System must provide summary reports or online screens with tows of input and output by transaction type.		
TE43	Ability to provide online access to aging accounts.		
TE44	**Security**		
TE45	System includes security and control features that will prevent unauthorized access to the system.		
TE46	Provide appropriate security, audit and control features, to include but not limited to, access, control, journaling and journal retention.		
TE47	System has the capability to use its own stand-alone application security.		
TE48	System has the capability to use OS security (e.g., NT, Novell).		
TE49	System access is controlled by a unique encrypted ID or password per individual.		
TE50	Security level access can be restricted to:		
TE51	(1) MAC and IP address		
TE52	(2) Application/menu item		

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TE53	(3) Transaction/function type (e.g., inquiry, update)		
TE54	(4) Each data field		
TE55	Password display is suppressed when entered.		
TE56	System logs transactions by user ID.		
TE57	System can detect and log unauthorized access attempts for later retrieval.		
TE58	System can log-off a user after a specified number of denied access requests.		
TE59	System can sound a console alert after a specified number of unauthorized access requests.		
TE60	**System Tools**		
TE61	Allows adequate flexibility to respond to changes in the management environment or processing requirements.		
TE62	System provides tools to:		
TE63	(1) Modify screen definitions		
TE64	(2) Add or modify user-defined fields		
TE65	(3) Edit field calculations		

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TE66	(4) Edit fields across modules		
TE67	(5) Define "short cut" names		
TE68	(6) Edit field names		
TE69	Provides tools for in-house development of additional modules using the same database.		
TE70	Software development tool-kit is provided.		
TE71	Provides test versions of the system for running user tests (included in system sizing).		
TE72	**Software Documentation and Online Help**		
TE73	Provides clear and concise software documentation that is understandable by both users and technical personnel to include comprehensive training manuals and online 'help' that is easy to use and maintain.		
TE74	Application software documentation is available electronically (e.g., MS Word, Adobe Acrobat).		
TE75	Users are permitted to make unlimited copies of the documentation for internal use.		
TE76	Online documentation and/or help functions are:		
TE77	(1)　Context (field) specific		
TE78	(2)　Screen specific		

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TE79	(3) Supplied with system		
TE80	(4) Updated to reflect changes made for the Courts.		
TE81	(5) Updated with new enhancements and releases.		
TE82	(6) Possible to update with Courts-specific help text.		
TE83	Documentation includes database dictionaries and data files, including any modifications made to the base package.		
TE84	**General Reporting Requirements**		
TE85	System accommodates the generation of standard forms that incorporate database information without depending on customized application programming.		
TE86	System provides the ability to generate routine federal, state, court and local reports in the prescribed format.		
TE87	System accommodates the printing (e.g., receipts, reports, forms, form letters, etc.) in final letter quality and on preprinted forms.		
TE88	System allows the printing by screen, document or file.		
TE89	System generates reports on user-defined topics.		
TE90	Provides a Fax Back feature to fax reports, tax bills or letters, previously produced by the system.		
TE91	System supports "What If' reporting analysis.		

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TE92	System provides extensive capability to "drill down" to view components of roll-up reports.		
TE93	System allows the generation of activity or inactivity reports automatically or on a user-determined time schedule.		
TE94	System is capable of appending miscellaneous text or data files to standard reports.		
TE95	Ability to create reports and save the structure to generate the report automatically in the future on a scheduled basis with the defined graphics.		
TE96	System will provide usage statistics on staff time spent on each project by division and activity.		
TE97	Ability to generate exception reports on key transactions.		
TE98	System has the ability to provide statistical reports.		
TE99	Ability to use finance data and statistics together in report calculations.		
TE100	Provides aging reports by account.		
TE101	System tracks the number of transactions and provides statistics (e.g., number of warrants, contracts, journal entries, etc.).		
TE102	System has the ability to convey statistical information via graphic means (e.g., graphs, charts, and other graphical representations).		
TE103	System will allow the use of partial name, cumulative, wild card and Soundex (phonic) searches.		
TE104	System provides for the definition of key fields for rapid search and reporting.		

California Courts
Functional Requirements: Technology

F = Fully Provided "Out-of-the-Box"
NV = Provided in the Very Next Version
TP = Third Party Software Required
M = Modification

R = Provided with Reporting Tool
C = Custom Development Required
NA = Not Available

TE105	System hag the ability to search for multiple items or a combination of items with one search.		
TE106	System has the ability to provide event notification based on user--defined criteria.		
TE107	Ability to print the Court logo onto letters or forms to eliminate the need for pre-printed forms (OLE capable).		
TE108	System allows for local printing to all printers in the Court network.		
TE109	Allows for output of large batch jobs to high speed printers.		
TE110	Users can define a local default printer for their workstation or User id.		
TE111	**Report Writer Requirements**		
TE112	Provides Microsoft Windows-based report writer that not only operates under MS Windows, but is itself completely graphically oriented.		
TE113	Provides SQL-based report writer that "calls" to the database via SQL commands, (Select, Update, etc.).		
TE114	Provides ODBC-compliant report writer.		
TE115	Ability to control access to the data by an administrator who creates views of the data for both security and simplicity.		
TE116	Ability to graphically suggest table joins.		
TE117	Ability to create reports entirely with a point and click method other than the entry of text (no commands to remember).		

California Courts
Functional Requirements: Technology

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M = Modification

TE118	Ability to set limits on the size of rep created by end-users using parameters that can be restricted to system administrator access.		
TE119	Ability to store reports in a repository with controlled access available only to those with security approval by report.		
TE120	Ability to generate all reports in HTML format.		
TE121	Ability to preview reports online with option to print them.		
TE122	Ability to generate trend analyses across historical data and to develop projection reports.		
TE123	Ability to display report data in business graphics (pie, bar, line charts, etc.).		
TE124	Ability to download reports in spreadsheet (Excel), word processing (Word), database software (Access), and presentation software (PowerPoint).		
TE125	Ability to combine data from the system with data from other RDBMS applications in the same report.		
TE126	**Control/Integrity Capabilities**		
TE127	If required during a batch processing procedure, system restarts should not necessitate beginning the entire batch again.		
TE128	Provides integrity features which will prevent data or control problems during system failure/restart procedures.		
TE129	Ability to queue jobs for unattended processing.		

AMERICANS WITH DISABILITIES ACT (ADA) COMPLIANCE
POLICY OF NONDISCRIMINATION ON THE BASIS OF DISABILITY

To meet and carry out compliance with the nondiscrimination requirements of the Americans With Disabilities Act (ADA), it is the policy of the Procurement Division (within the State Department of General Services) to make every effort to ensure that its programs, activities, and services are available to all persons, including persons with disabilities.

For persons with a disability needing a reasonable modification to participate in the Procurement process, or for persons having questions regarding reasonable modifications for the Procurement process, please contact the Procurement Division at (916) 445-2500 (main office); the Procurement Division TTY/TDD (telephone device for the deaf) or California Relay Service numbers which are listed below. You may also contact directly the RFP project manager, Melanie Hayden, at (415) 865-7425 email: melanie.hayden@jud.ca.gov.

IMPORTANT: TO ENSURE THAT WE CAN MEET YOUR NEED, IT IS BEST THAT WE RECEIVE YOUR REQUEST AT LEAST 10 WORKING DAYS BEFORE THE SCHEDULED EVENT (i.e., MEETING, CONFERENCE, WORKSHOP, etc.) OR DEADLINE DUE-DATE FOR PROCUREMENT DOCUMENTS.

The Procurement Division TTY telephone numbers are:

Sacramento Office:	(916) 322-7535
Fullerton Office:	(714) 773-2093

The California Relay Service Telephone Numbers are:

Voice:	1-800-735-2922 or 1-888-877-5379
TTY:	1-800-735-2929 or 1-888-877-5378
Speech to Speech:	1-800-854-7784

DVBE COMPLIANCE DOCUMENTATION AND
CERTIFICATION OF PRIME BIDDER.

The goal of awarding of at least 3 percent of the total dollar contract amount to Disabled Veterans Business Enterprise (DVBE) has been achieved for this Project.

Yes_____   No_____

Please complete Part A and Part B on the following pages. "Contractors Tier" is referred to several times below; use the following definitions for tier:

0 = Prime or Joint Contractor;
1 = Prime subcontractor/supplier;
2 = Subcontractor/supplier of level 1 subcontractor/supplier

PART A – COMPLIANCE WITH DVBE GOALS

PRIME CONTRACTOR

Company Name: _____
Nature of Work _____
Tier: _____
Claimed Value: $ _____   DVBE $ _____
Percentage of Total Contract Cost: _____%   DVBE_____%

SUBCONTRACTORS/SUBCONTRACTOR/VENDORS/SUPPLIERS
Company Name: _____
Nature of Work _____
Tier: _____
Claimed Value: $ _____   DVBE $ _____
Percentage of Total Contract Cost: _____%   DVBE_____%

INCOMPLETE DOCUMENTATION MAY RESULT IN DISQUALIFICATION FROM FURTHER PARTICIPATION IN SELECTION PROCESS FOR THIS CONTRACT.

Company Name: _____
Nature of Work _____
Tier: _____
Claimed Value: $ _____   DVBE $ _____
Percentage of Total Contract Cost: _____%   DVBE_____%

Company Name: _____
Nature of Work _____
Tier: _____
Claimed Value: $ _____   DVBE $ _____
Percentage of Total Contract Cost: _____%   DVBE_____%

GRAND TOTAL: DVBE_____%

PART B – ESTABLISHMENT OF GOOD FAITH EFFORT

To establish that a Good Faith Effort has been made, the following statement must be true.

Contact was made with the Contract Officer, Administrative Office of the Courts to identify potential Disabled Veteran Business Enterprises as Subcontractors or suppliers, or both.

Date Contacted: _____
Person Contacted: _____

List the names of DVBE's identified from contact made with Contract Officer, Administrative Office of the Courts.

_____
_____
_____
_____
_____

INCOMPLETE DOCUMENTATION MAY RESULT IN DISQUALIFICATION FROM FURTHER PARTICIPATION IN SELECTION PROCESS FOR THIS CONTRACT.

List contacts made with personnel from other state and federal agencies, and with personnel form Disabled Veterans Business Enterprises to identify Disabled Veterans Business Enterprises.

Source	Person Contracted	Date
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

List the Names of DVBE's identified from contact made with other state, federal, and local agencies.

_____
_____
_____
_____
_____

Advertising was published in trade papers and papers focusing on Disabled Veterans Business Enterprises. (Attach proof of publication.)

Publication   Date(s) Advertised

_____   _____

_____   _____

_____   _____

_____   _____

_____   _____

INCOMPLETE DOCUMENTATION MAY RESULT IN DISQUALIFICATION FROM FURTHER PARTICIPATION IN SELECTION PROCESS FOR THIS CONTRACT.

Invitations to bid were submitted to potential Disabled Veterans Business Enterprise Contractors (list the company name, person contacted, and date) to be subcontractors or solicitation (i.e., letters, return receipt, metered envelopes, responses, etc.). Solicitation must be job specific to plan and/or contract.

Company   Contact   Date Sent

_____   _____   _____

_____   _____   _____

_____   _____   _____

_____   _____   _____

_____   _____   _____

_____   _____   _____

_____   _____   _____

List the available Disabled Veterans Business Enterprises which were considered as subcontractors or suppliers or both. (Complete each subject line.)

COMPANY:

_____

CONTACT: _____PHONE #:_____

NATURE OF WORK:

_____

RESULT:

_____

REASON WHY REJECTED:

_____

COMPANY:

_____

CONTACT: _____PHONE #:_____
NATURE OF WORK:

_____

RESULT:

_____

REASON WHY REJECTED:

_____

INCOMPLETE DOCUMENTATION MAY RESULT IN DISQUALIFICATION FROM FURTHER PARTICIPATION IN SELECTION PROCESS FOR THIS CONTRACT.

CERTIFICATION (to be completed by Bidder)

I hereby certify that I have made a diligent effort to ascertain the facts with regard to the representations made herein and, to the best of my knowledge and belief, each firm set forth in this bid as a Disabled Veterans Business Enterprise complies with the relevant definition set forth in Section 1896.61 of Title 2, and Section 999 of the Military and Veterans Code, California Code of Regulations. In making this certification, I am aware of Section 10115 et seq. Of the Government Code which establishes the following penalties certification for State Contracts:

Penalties for a person guilty of a first offense are a misdemeanor, civil penalty of $5,000, and suspension from contracting with the State for a period of not less than 30 days nor more than one year.

Penalties for second and subsequent offenses are a misdemeanor, a civil penalty of $20,000 and suspension from contracting with the State for up to three years.
IT IS MANDATORY THE FOLLOWING BE COMPLETED ENTIRELY; FAILURE TO DO SO WILL RESULT IN IMMEDIATE REJECTION.

Firm Name of Bidder: _____

Address of Bidder: _____

Telephone Number of Bidder: _____ FAX: _____

Signature of Chief Executive Officer of Bidder: _____

Date:

Name (printed) of Chief Executive Officer of Bidder

Title of Above-Named Person

INCOMPLETE DOCUMENTATION MAY RESULT IN DISQUALIFICATION FROM FURTHER PARTICIPATION IN SELECTION PROCESS FOR THIS CONTRACT.

CONTRACT AMOUNT CERTIFICATION

I hereby certify that the "Contract Amount," as defined herein, is the amount of $_____. I understand that the "Contract Amount" is the total dollar figure to which the DVBE participation requirements will be evaluated against.

Company Name: _____

Bidder's Signature: _____

ENTERPRISE FINANCIAL SYSTEM
MANDATORY PRE-PROPOSAL CONFERENCE

Administrative Office of the Courts
Judicial Council Conference Center
3rd Floor, Redwood Room
455 Golden Gate Avenue
San Francisco, CA 94102

February 16, 2001
1:00 PM (Pacific)

WELCOMING REMARKS AND INTRODUCTIONS OF AOC STAFF
    ERP Project Directors

OPENING COMMENTS BY THE PROJECT'S EXECUTIVE SPONSOR
    AOC IT Director and Finance Director

STRUCTURE OF THE PRE-BID CONFERENCE
    AOC/GFOA

REVIEW OF CRITICAL AOC PROCUREMENT POLICIES
    AOC

REVIEW OF PROCUREMENT/SELECTION TIMETABLE
    GFOA

SUBMISSION OF WRITTEN QUESTIONS BY VENDORS

RESPONSES TO QUESTIONS BY AOC PERSONNEL/GFOA STAFF

OPEN DISCUSSION

NEXT STEPS AND CLOSING REMARKS
    AOC / GFOA

California Courts

ENTERPRISE FINANCIAL SYSTEM
PRE-PROPOSAL CONFERENCE
QUESTION SUBMISSION FORM

Name:	
Company:	
Phone Number:	
FAX Number:	
E-Mail:	

Note: Questions may be submitted prior to the pre-bid conference. Please e-mail the questions, using this form, to Ms. Melanie Hayden (email: Melanie.Hayden@jud.ca.gov).

Question 1

Question 2

Question 3

Question 4