



# REQUEST FOR PROPOSALS

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**ADMINISTRATIVE OFFICE OF THE COURTS**

**REGARDING:**

CASE MANAGEMENT SOLUTION FOR JUVENILE DEPENDENCY ATTORNEYS IN THE STATE OF CALIFORNIA

**RFP: CFCC 09-12-LM**

**PROPOSALS DUE:**

**DECEMBER 20, 2012, NO LATER THAN 3:00 P.M. (PACIFIC TIME)**

## 1.0 BACKGROUND INFORMATION

- 1.1 Judicial Council of California – AOC. The Judicial Council of California (“Judicial Council”), chaired by the Chief Justice of California, is the chief policy making agency of the California judicial system. The California Constitution directs the council to improve the administration of justice by surveying judicial business, recommending improvements to the courts, and making recommendations annually to the Governor and the Legislature. The council also adopts rules for court administration, practice, and procedure, and performs other functions prescribed by law. The Administrative Office of the Courts (“AOC”) is the staff agency for the council and assists both the council and its chair in performing their duties.
- 1.2 The Center for Families, Children & the Courts.
  - 1.2.1 The AOC’s Center for Families, Children & the Courts (“CFCC”) is dedicated to improving the quality of justice and services to meet the diverse needs of children, youth, families, and self-represented litigants in the California courts.
  - 1.2.2 CFCC has implemented the Dependency Representation Administration Funding and Training (“DRAFT”) program to further the Judicial Council’s goal of improving the quality of court-appointed counsel in juvenile dependency proceedings and maximizing the resources available for those services.

## 2.0 DESCRIPTION OF GOODS AND/OR SERVICES

### 2.1 Purpose

The purpose of this Request for Proposal (“RFP”) is to obtain written proposals for a case management solution (“CMS”) and accompanying professional services to support a web-based dependency case-type CMS for use by Third Party dependency attorneys throughout the State. This RFP also includes training of personnel who may utilize the system, application hosting, and ongoing maintenance and support. The purpose of this Project is to provide dependency attorneys access to a web-based solution that will ***not*** be hosted locally at an AOC facility. This RFP is the means for prospective service providers to submit their qualifications and request selection as a service provider.

Additional information about and documents pertaining to this solicitation, including electronic copies of the solicitation documents, can be found on the California Courts Website located at [www.courts.ca.gov/rfps.htm](http://www.courts.ca.gov/rfps.htm) (“Court’s Website”).

### 2.2 Goal

The primary goal of the RFP is ensure that dependency attorneys are provided access to a CMS that allows them to enter case and workload information related to mandatory reporting requirements, which the AOC uses in determining attorney compensation and

monitoring attorney performance. In addition, the CMS should allow dependency attorneys to organize and manage services provided to clients related specifically to juvenile dependency proceedings. The selected CMS and associated services should be modern, efficient, reliable, economical and proven. It is also the goal of this RFP to engage an experienced Contractor, capable of executing an efficient project within a two-month timeframe and also within budget.

2.3 Term

The AOC expects the selected person or entity submitting a proposal (“Proposer”) to perform activities and responsibilities associated with the solicitation for five (5) years. The Initial Term will be for one (1) year, with the AOC’s option to extend for four (4) additional one-year terms.

2.4 Monetary Range of this Project

If a contract is awarded, the work of the Initial Term of the Agreement is expected to be **February 1, 2013** through **January 31, 2014**. To comply with Training Requirements (Attachment 8), **\$5,000.00** is added for travel expenses in the Initial Term to bring its range to **\$325,000.00** to **\$407,500.00**. Option Terms 1 through 4, exercised at the sole option of the AOC, will range from **\$325,000.00** to **\$402,500.00** per Term. Additional travel expenses, in any Option Term, will be applied as needed. All five (5) Terms should be included in the Cost Portion (see Section 6.2) of the proposal.

2.5 Scope

The scope of the RFP is to obtain case management software licensing and a hosting solution for the CMS application.

**Summary:**

Component	Essential Technology or Service
Case Management System Application	<ul style="list-style-type: none"> <li>• Compliant with Business and Functional Requirements (Attachment 2, Exhibit H)</li> <li>• Current with state laws, federal regulations, rules of court, and administrative requirements</li> <li>• Responsive to changes in state laws, federal regulations, rules of court, and administrative requirements</li> <li>• Scalable solution to accommodate AOC and third-party users and data volume</li> <li>• Data security</li> <li>• Database agnostic</li> <li>• Web-based portal</li> <li>• Configurable workflow to actively process cases using automated and manual work queues</li> </ul>
Hosting Solution Design	<ul style="list-style-type: none"> <li>• Proposed CMS application, all sub-components, and associated</li> </ul>

Component	Essential Technology or Service
	<p>hardware and software are in compliance with Remote Hosting Requirements (Attachment 2, Exhibit G)</p> <ul style="list-style-type: none"> <li>• Third Party Software requirements</li> <li>• Systems management (administration, change management, security, data recovery, and disaster recovery)</li> </ul>
Deployment Services	<ul style="list-style-type: none"> <li>• Deployment approach that includes: <ul style="list-style-type: none"> <li>○ Deployment Plan</li> <li>○ Training Plan</li> <li>○ Integration Plan</li> <li>○ Data Conversion Plan</li> <li>○ Cutover Plan</li> </ul> </li> <li>• Proposer resources for implementation, testing, training and cutover activities: <ul style="list-style-type: none"> <li>○ Environment Specifications</li> <li>○ Implementation Services</li> <li>○ Baseline Configuration</li> <li>○ Administration</li> <li>○ Documentation</li> <li>○ Testing of Business Functionality and Validation using valid business cases with known and expected results</li> <li>○ Integration testing</li> <li>○ End-User Training/Knowledge Transfer</li> <li>○ User Acceptance planning, coordination, testing and AOC acceptance</li> <li>○ Go-Live Support</li> <li>○ Post-implementation support and project closeout</li> </ul> </li> </ul>
Maintenance and Support	<ul style="list-style-type: none"> <li>• Maintenance and support that complies with AOC Standard Terms and Conditions (Attachment 2) which shall include but not be limited to: <ul style="list-style-type: none"> <li>○ Application Software Licensing</li> <li>○ Application Support and Technical Support for hosted solution</li> <li>○ End-user and technical support</li> <li>○ Provision of periodic maintenance, legislative updates, and security upgrades per service-level standards and support agreements</li> <li>○ Global configuration changes necessary to support business changes</li> <li>○ Emergency support for break-fix situations</li> </ul> </li> </ul>
Warranty	<ul style="list-style-type: none"> <li>• Service Warranty that complies with the AOC Standard Terms and Conditions (Attachment 2)</li> <li>• Licensed Software Warranty that complies with the AOC Standard Terms and Conditions (Attachment 2)</li> </ul>

2.5.1 The implementation of CMS application includes:

- Providing CMS application software that meets the Business and Functional Requirements for the AOC (Attachment 2, Exhibit H)
- Configuring and testing the CMS application according to the business rules of the AOC

- Maintaining the CMS application for changes in regulatory requirements, application enhancements, common configuration changes, and fixing program defects
- Cutover and post go-live services
- Working in cooperation with the AOC and any other necessary contractors in order to make the CMS available in a manner that ensures a high quality of service to users on multiple platforms, including mobile devices

#### 2.5.2 Hosting Solution includes:

- Providing a secure hosting infrastructure to run the CMS using modern proven technology that is in compliance with the Remote Hosting Requirements (Attachment 2)
- Working in cooperation with the AOC and any other necessary contractors, in making the CMS available in a manner that assures a high quality of service to users
- Providing CMS configurations

#### 2.5.3 Deployment Services

It is the aim of the AOC to appoint an experienced Contractor capable of executing an efficient project within the agreed-upon schedule and budget. Prepare a deployment approach and implementation plan that will meet the high-level tasks for this Project. The deployment approach should include resource loading necessary for implementation activities.

##### 2.5.3.1 Deployment Approach:

- Implementation Plan

Provide a detailed implementation plan that includes the following necessary AOC staff and required skill sets:

- Implementation timeline not to exceed 2 months
- Software loads
- Base system ready date
- Resources and responsibilities
- Base system setup
- Business process change strategy
- Testing strategy
- Training strategy
- Planned communication to stakeholders
- Go-Live support approach and planning
- Risk analysis and contingency planning
- Post-implementation approach and support planning

2.5.3.2 Contractor Resources and Implementation Activities:

- Implementation Services

Contractor and the AOC will implement the user acceptance test and production environments solution. Contractor and the AOC will execute the implementation plan defined—that includes an emphasis on implementation, cut-over, risk and contingency planning, post-implementation support planning, and knowledge transfer and transition strategy.

- Administration

Contractor will train the AOC staff in the installation, administration, system updating, tuning, and troubleshooting procedures.

- Reports and Forms

The Contractor will work with the AOC to identify reports and forms required as well as codified values that should be included in the new CMS configuration.

- Documentation

The Contractor is responsible for creating the standard operational documentation. The Contractor working with the AOC will create user and system administration manuals that are required by the AOC.

- Testing of Business Functionality and Validation

The Contractor and the AOC will train several groups of testers in the use of the system using the approved configuration and documentation. The testers with Contractor business leads will then conduct system testing and validation of the configuration. They will draw from their experience and also use the test cases created by the Contractor, working with subject matter experts. Configuration and application fixes will be regression tested and re-examined by testers with the assistance of Contractor business leads until testing results meet the agreed upon exit criteria.

- End User Training/Knowledge Transfer

The Contractor will train the AOC trainers through acceptance. The AOC trainers utilizing Contractor-provided core documentation will create, with Contractor's assistance, the training program, including

documentation as desired. Training programs should include but not be limited to:

- Baseline End-User Training
- System Administrator Training
- Go-Live Support

The Contractor will provide resources for go-live activities ensuring a seamless business transition utilizing the new CMS.

- Post Implementation Support and Project Closeout

The Contractor will provide business and technical support of the CMS to ensure a successful implementation by the user community. The Contractor will provide application support, track and resolve issues that are uncovered, perform any necessary system tuning to maintain acceptable system performance per Service Level Requirements (Attachment 2) finalize technical documentation, and finalize knowledge transfer to the AOC. The Proposer will perform project closeout tasks and document lessons learned.

#### 2.5.4 Guidelines for Deployment Services Deliverables

The goal of this Project is to have a new CMS installed and configured within two (2) months after a contract is signed. Based upon these goals and the capacity of your company, prepare a deployment schedule, project plan and deployment budget.

- Describe your implementation planning (including project management) process.
- Describe your recommendation for roles your company personnel will assume and the roles that AOC staff should assume in the implementation process.
- Describe your process for coordinating user acceptance.
- Describe your process for change management.
- Describe your process for critical defect scenarios.
- Describe your process for coordinating software upgrades and version management.
- Describe the process employed to track and report progress in system deployment.
- Describe the process and standards employed in determining when phases of deployment are satisfactorily completed.

- Describe the process involved in implementing any required state and local configurations, e.g., implementation of state statutes and rules, creation of standard state documents, state calendar, etc. Include any AOC personnel required to accomplish the task.

### 3.0 TIMELINE FOR THIS RFP

#### 3.1 Procurement Schedule

Application demonstrations are to be held starting two weeks after the RFP submission deadline.

Key Events	Key Dates
RFP issued	November 1, 2012
Deadline to register for Pre-proposal Conference ( <i>Q &amp; A session</i> ) is via <a href="mailto:Solicitations@jud.ca.gov">Solicitations@jud.ca.gov</a> by	November 9, 2012
Pre-proposal Conference ( <i>2:00 PM – 3:00 PM PDT via Conference Call</i> )	November 15, 2012
Deadline for questions to <a href="mailto:Solicitations@jud.ca.gov">Solicitations@jud.ca.gov</a> ( <i>3:00 PM, Pacific Time</i> )	November 15, 2012
Questions and answers posted at <a href="http://www.courts.ca.gov/rfps.htm">www.courts.ca.gov/rfps.htm</a> ( <i>estimate only</i> )	November 20, 2012
Proposer Solicitation Specifications Protest Deadline	November 21, 2012
Latest date and time proposal may be submitted ( <i>3:00 PM, Pacific Time</i> )	December 20, 2012
Pre-pricing evaluation of non-cost proposals ( <i>estimate only</i> )	December 21 through January 9, 2013
Non-cost proposal scores per Proposer posted at <a href="http://www.courts.ca.gov/rfps.htm">www.courts.ca.gov/rfps.htm</a> ( <i>estimate only</i> )	January 11, 2013
Public opening of cost portion of proposals. Notice of date, time and location to be posted at <a href="http://www.courts.ca.gov/rfps.htm">www.courts.ca.gov/rfps.htm</a> .	January 15, 2013
Notice of Intent to Award ( <i>estimate only</i> )	January 18, 2013
Negotiations and execution of contract ( <i>estimate only</i> )	January 21-30, 2013
Contract start date ( <i>estimate only</i> )	February 1, 2013
Contract end date ( <i>estimate only</i> )	January 31, 2014

#### 3.2 Pre-proposal Conference

The AOC will hold a Pre-proposal Conference on the date identified in the timeline above. The Pre-proposal Conference will be held via conference call. Email [Solicitations@jud.ca.gov](mailto:Solicitations@jud.ca.gov) to register for the conference, with “Registration for RFP CFCC 09-12-LM Pre-proposal Conference” in the subject line. Attendance at the Pre-proposal Conference is optional. Proposers are encouraged to attend.



#### 4.0 RFP ATTACHMENTS

The following attachments are included as part of this RFP.

##### 4.1 Contractual Attachments

Attachment	Description
Attachment 1: Administrative Rules Governing RFPs (IT Goods and Services)	These rules govern this solicitation.
Attachment 2: AOC Standard Terms and Conditions	If selected, the Proposer must sign an AOC Standard Form Agreement containing these terms and conditions (“Terms and Conditions”).
Attachment 3: Proposer’s Acceptance of Contract Terms and Conditions	On this form, the Proposer must indicate acceptance of the Terms and Conditions or identify exceptions to the Terms and Conditions.
Attachment 4: Vendor Data Record Form	This form contains information the AOC requires in order to process payments and must be submitted with the proposal.
Attachment 5: Iran Contracting Act Certification Form	Proposer must complete the Iran Contracting Act Certification Form and submit the completed certification with its proposal.
Attachment 6: Conflict of Interest Certification Form	On this form, the Proposer indicates that there is no interest that would constitute a conflict of interest under California Law.
Attachment 7: Conflict Materials Certification Form	On this form, the Proposer makes a certification pursuant to PCC 10490(b).
Attachment 8: Training Requirements	These are the expected training requirements for the CMS.
Attachment 9: Case Management Solution Costing Matrix	On this form, the Proposer responds to the cost portion of the RFP.
Attachment 10: RFP Response Template	On this form, the Proposer responds to the non-cost portion of the RFP.

#### 5.0 SUBMISSIONS OF PROPOSALS

5.1 Proposers should respond to each and every section of this RFP and all attachments and sub-exhibits. An RFP Response Template has been included for standardization of responses (Attachment 10). Proposals should provide straightforward, concise information that satisfies the requirements of the “Proposal Contents” section below. Expensive bindings, color displays, and the like are not necessary or desired. Emphasis should be placed on conformity to the RFP’s instructions and requirements, and completeness and clarity of content.

5.2 The Proposer must submit its proposal in two parts, the non-cost portion (Attachment 2 - Exhibits H, I, J and Attachments 3 - 8 & 10) and the cost portion (Attachment 9).

A. The Proposer must submit **one (1) original and 3 copies** of the non-cost portion

(Attachments 3, 4, 5, 6, 7 & 10) of the proposal. *The original must be signed by an authorized representative of the Proposer. The Proposer must write the RFP title and number on the outside of the sealed envelope.*

- B. The Proposer must submit **one (1) original 2 copies** of the cost portion (Attachment 9) of the proposal. The original must be signed by an authorized representative of the Proposer. *The original cost portion (and the copies thereof) must be submitted to the AOC in a single sealed envelope, separate from the non-cost portion. The Proposer must write the RFP title and number on the outside of the sealed envelope.*
- C. The Proposer must submit an electronic version of the entire proposal on CD-ROM. The files contained on the CD-ROM must be in PDF, Word, or Excel formats.

- 5.3 Proposals must be delivered by the date and time listed on the coversheet of this RFP to:

Administrative Office of the Courts  
Fiscal Services Office - Business Services  
Attn: Nadine McFadden, RFP #CFCC 09-12-LM  
455 Golden Gate Avenue  
San Francisco, CA 94102-3688

- 5.4 Late proposals will not be accepted.
- 5.5 Only written proposals will be accepted. Proposals must be sent by registered or certified mail, courier service (e.g., FedEx), or delivered by hand. Proposals may not be transmitted by fax or email.

## 6.0 PROPOSAL CONTENTS

- 6.1 Non-Cost Portion. The following information must be included in the non-cost portion of the proposal (Attachment 2 - Exhibits H, I, J and Attachments 3 - 8 & 10). A proposal lacking any of the following information may be deemed non-responsive.
- A. Proposer's name, address, telephone and fax numbers, and federal tax identification number. Note that if Proposer is a sole proprietor using his or her social security number, the social security number will be required before finalizing a contract.
  - B. Name, title, address, telephone number, and email address of the individual who will act as Proposer's designated representative for purposes of this RFP.
  - C. Names, addresses, and telephone numbers of a minimum of three (3) clients for whom the Proposer has provided similar goods. The AOC may check references listed by Proposer.

- D. For each key staff member: a resume describing the individual's background and experience, as well as the individual's ability and experience in conducting the proposed activities. This file should be in unprotected Word format.
- E. Proposed approach and methodology employed to complete the work.
- F. Acceptance of the Terms and Conditions (Attachment 3)
  - i. The Proposer must either indicate acceptance of the Terms and Conditions or clearly identify exceptions to the Terms and Conditions. An "exception" includes any addition, deletion, qualification, limitation, or other change.
  - ii. If exceptions are identified, the Proposer must also submit a red-lined version of the Contract Terms and Conditions (Attachment 2) that clearly tracks proposed changes, and a written explanation or rationale for each exception and/or proposed change.
- G. Certifications, Attachments, and other requirements
  - i. Proposer must include in its proposal a completed and signed Vendor Data Record Form (Attachment 4), or provide a copy of the form previously submitted to the AOC.
  - ii. Pursuant to Public Contract Code (PCC) section 2204, an Iran Contracting Act certification is required for solicitations of goods or services of \$1,000,000 or more, the Proposer must include an Iran Contracting Certification Form (Attachment 5).
  - iii. Proposer must include the Conflict of Interest Certification Form in its proposal. Proposer has no interest that would constitute a conflict of interest under California Public Contract Code sections 10365.5, 10410 or 10411; Government Code sections 1090 et seq. or 87100 et seq., or rule 10.103 or rule 10.104 of the California Rules of Court, which restrict employees and former employees from contracting with judicial branch entities. (Attachment 6).
  - iv. Proposer must include the Conflict Minerals Certification Form in its proposal. Proposer certifies that either: (i) it is not a "scrutinized company" as defined in PCC 10490(b) or (ii) the goods or services the Contractor will provide to the AOC are not related to products or services that are the reason the Contractor must comply with Section 13(p) of the Securities Exchange Act of 1934. (Attachment 7)
  - ii. Proposer must submit with its proposal, for itself and each of its affiliates that make sales for delivery into California, a copy of either (i) a California

seller's permit issued under Revenue and Taxation Code section 6066 et seq. or (ii) a certificate of registration issued under Revenue and Taxation Code section 6226.

- iii. If Proposer is a corporation, proof that Proposer is in good standing and qualified to conduct business in California.
- iv. Copies of current business licenses, professional certifications, or other credentials.
- v. Proof of financial solvency or stability (e.g., balance sheets and income statements).

## 6.2 Cost Portion.

The following information must be included in the cost portion of the proposal (Attachment 9).

### A. IT Goods:

- i. CMS Application Software Licensing – Supply any and all estimated software application licensing costs. (Attachment 2)

### B. IT Services:

- i. Professional Services – Supply any and all estimated Professional Services costs by implementation phase and activity in Attachment 9, Tab 3, section 1, as well as any and all assumed AOC participation in Attachment 9, Tab 3, Section 2.
- ii. Maintenance and Support – Supply seven years of costs for Maintenance and Support. (Attachment 2)

**NOTE:** It is unlawful for any person engaged in business within this state to sell or use any article or product as a “loss leader” as defined in Section 17030 of the Business and Professions Code.

## 7.0 **OFFER PERIOD**

A Proposer's proposal is an irrevocable offer for ninety (90) days following the proposal due date. In the event a final contract has not been awarded within this period, the AOC reserves the right to negotiate extensions to this period.

## 8.0 **EVALUATION OF PROPOSALS**

The cost portion of proposals will be publicly opened on the date, time and location set forth in the Notice posted to the Court's Website (see Section 3.1). At the time proposals are opened, each proposal will be checked for the presence or absence of the required proposal contents.

- Proposals that contain false or misleading statements may be rejected if, in the opinion of the AOC, the information was intended to mislead the state regarding a requirement of the solicitation document.
- If a proposal fails to meet a material solicitation document requirement, the proposal may be rejected. A deviation is material to the extent that a response is not in substantial accord with solicitation document requirements. Material deviations cannot be waived. Immaterial deviations may also cause a proposal to be rejected.
- Cost sheets will be checked only if a proposal is determined to be otherwise qualified. All figures entered on the cost sheets must be clearly legible.
- During the evaluation process, the AOC may require a Proposer's representative to answer questions with regard to the Proposer's proposal. Failure of a Proposer to respond and demonstrate in a timely manner that the claims made in its proposal are, in fact, true may be sufficient cause for deeming a proposal nonresponsive.
- A Proposer is eligible for a total of 100 points for the written proposal.
- Written proposals will be evaluated by the AOC per the following selection criteria and weighting:

<b>Category</b>	<b>Factors</b>	<b>Possible Points</b>
Contract Terms	Degree to which the Proposer accepts contract terms including compliance with regulatory and statutory requirements (Attachment 2)	<b>10</b>
Meeting Business Requirements and Deployment Services deliverables	Degree to which the Proposer's proposed solution meets the functional requirements. Ability to manage and execute a successful implementation and smooth migration from any existing platforms	<b>20</b>
Deployment Services Proposal	Ability to manage and execute a successful implementation and smooth migration from any existing platforms	<b>20</b>
Purchase Price	Overall Cost, including any ongoing support and maintenance that may be required by the AOC or its agents	<b>50</b>
<b>Total Points</b>		<b>100</b>

**9.0 PRESENTATIONS (SOLUTIONS DEMONSTRATIONS AND INTERVIEWS)**

The AOC may conduct interviews with Proposers to clarify aspects set forth in their proposals or to assist in finalizing the ranking of proposals. The interview process may require a demonstration. The interview may also require a demonstration of equivalence if a brand name is included in the specifications. The interviews may be conducted in person or by phone. If conducted in person, interviews will likely be held at the AOC's offices. The AOC will not

reimburse Proposers for any costs incurred in traveling to or from the interview location. The AOC will notify eligible Proposers regarding interview arrangements.

#### **10.0 CONFIDENTIAL OR PROPRIETARY INFORMATION**

One copy of each proposal will be retained by the AOC for official files and will become a public record. California judicial branch entities are subject to rule 10.500 of the California Rule of Court, which governs public access to judicial administrative records (see [www.courtinfo.ca.gov/cms/rules/index.cfm?title=ten&linkid=rule10\\_500](http://www.courtinfo.ca.gov/cms/rules/index.cfm?title=ten&linkid=rule10_500)).

If information submitted in a proposal contains material noted or marked as confidential and/or proprietary that, in the AOC's sole opinion, meets the disclosure exemption requirements of Rule 10.500, then that information will not be disclosed upon a request for access to such records. If the AOC finds or reasonably believes that the material so marked is **not** exempt from disclosure, the AOC will disclose the information regardless of the marking or notation seeking confidential treatment.

#### **11.0 DISABLED VETERAN BUSINESS ENTERPRISE PARTICIPATION GOALS**

The AOC has waived the inclusion of DVBE participation in this solicitation.

#### **12.0 PROTESTS**

Any protests will be handled in accordance with Chapter 7 of the Judicial Branch Contract Manual (see [www.courts.ca.gov/documents/jbcl-manual.pdf](http://www.courts.ca.gov/documents/jbcl-manual.pdf)). Failure of a Proposer to comply with the protest procedures set forth in that chapter will render a protest inadequate and nonresponsive, and will result in rejection of the protest. The deadline for the AOC to receive a solicitation specifications protest is listed in the RFP timeline in this document. Protests should be sent to:

Administrative Office of the Courts  
Fiscal Services Office - Business Services  
Attn: Nadine McFadden, RFP #CFCC 09-12-LM  
455 Golden Gate Avenue  
San Francisco, CA 94102-3688

***END OF RFP***