

Administrative Office of the Courts of California

ATTACHMENT 5

E-Filing Document Capture and Management Project Statement of Work

1.0 Project Description

- 1.1 This Statement of Work document serves as the basis for the contractual agreement between the State and **VENDOR**, hereafter referred to as “the Vendor”. It defines tasks to be performed and Deliverables to be produced during the life of the contract. The Vendor will manage their staff and create Deliverables using management tools and technical methods as described in the Project Definition Document (or other approved documentation provided to the State for review and approval), but must produce, as a minimum, the Deliverables to the specifications included in this Statement of Work.
- 1.2 The Vendor shall assist with implementation of the selected document management software solution for the Appellate Courts of California. The Vendor shall develop the Deliverables outlined in this statement of work.

2.0 Project Scope

- 2.1 This Statement of Work delineates the minimum activities, tasks, and methods required to deploy a document management (DM) solution. Detailed scope of this solution is outlined in Section 4.0 of this document, Scope of Services.
- 2.2 The combined Vendor and AOC project team (hereafter referred to as the combined project team, or CPT) will deliver focused services that facilitate rapid deployment of a document management solution, satisfying the following objectives:
 - 2.2.1 To provide a secure repository for case documents associated with the Appellate Court Case Management system, and enable electronic filing of case documents within the Courts of Appeal and California Supreme Court by integrating with and supporting the ACCMS system. Additionally, the project will enable the appellate courts to capture, associate and manage additional case documents not received via the E-Filing mechanism.;

3.0 Scope of Services

- 3.1 The combined project team shall implement a document management solution integrated with the Appellate Court Case Management system in support of E-Filing for a single, pilot court.
- 3.2 Project activities are expected to commence in June of 2008. Upon the Initiation phase of the project, the Parties will mutually modify and agree to the project schedule.
- 3.3 Project phases include Project Initiation, Requirements Definition, Solution Design, Solution Installation and Configuration, Content Migration, Knowledge transfer and Project Closure.
- 3.4 A brief description of each phase and its associated Deliverables is provided in the table below. Each of the Deliverables identified in the table below are further described in Section 5.0 of this SOW.

Phase	Description and Deliverables
Project Initiation	NO VENDOR DELIVERABLES
Requirements Definition	The Requirements Definition will set the stage for subsequent installation, development, configuration

	<p>and integration of the document capture and management solution.</p> <p>Requirements definition includes the analysis of the ACCMS integration and E-Filing requirements in order to determine and document the optimal architecture for the solution.</p> <p>During this phase, document types, metadata and security requirements will be identified and documented by the Vendor.</p> <p>Processes will also be defined for document capture and import.</p> <p>The results of this phase will be fully documented by the Vendor in the Solution Architecture and Design documents, which, when accepted by the State, will validate the scope and configuration parameters for the solution deployment in the development and production environments.</p> <p>Vendor Deliverables for this phase:</p> <ul style="list-style-type: none"> • Solution Architecture Document • Solution Design Document
<p>Installation and Configuration of Development Environment</p>	<p>In this phase, the development environment will be installed and configured in accordance with the solution architecture and design documents.</p> <p>Vendor activities during this phase will include:</p> <ul style="list-style-type: none"> • Setup of development environment hardware • Setup of capture station(s) at pilot site (single capture location) • Installation of document management and capture software • Configuration of document management and capture software • Configuration of document types, metadata, workflows, security profiles and other settings as outlined in the solution architecture and design documents • Test scripts development for unit testing cycles • Unit testing cycles <p>Vendor Deliverables for this phase:</p> <ul style="list-style-type: none"> • Configured Document Management Development Environment

	<ul style="list-style-type: none"> • Configured Capture and Imaging Development Environment • Successful Unit Testing of vendor configured environments
Installation and Configuration of Production Environment	NO VENDOR DELIVERABLES
Knowledge Transfer	NO VENDOR DELIVERABLES (See section 4.7 of Attachment 2, Minimum Terms and Conditions and related exhibits for more detail on requirements for these activities)
Project Evaluation and Closure	NO VENDOR DELIVERABLES

4.0 Detailed Vendor Deliverable Descriptions by Phase

4.1 Requirements Definition and Solution Design

4.1.1 Solution Architecture Document

4.1.1.1 The logical architecture of the system in terms of its major classes, processes, and functions. The logical architecture consists of the major functions of the system and how they relate to each other.

4.1.1.2 The physical architecture of the system in terms of its major components, their responsibilities, and the relationships between them. The components may include: hardware, software, user interfaces, integration points and personnel.

4.1.2 Solution Design Document

4.1.2.1 The solution design document shall capture detailed functional requirements for all components of the capture and document management solution. This shall include required data elements, workflows, security roles and profiles, reports and use case scenarios.

4.2 Installation and Configuration of Development Environment

4.2.1 Configured Document Management Development Environment

4.2.1.1 The Vendor shall fully configure the document management software in the development environment to the specifications outlined in the Solution Design Document.

4.2.2 Configured Capture and Imaging Development Environment

4.2.2.1 The Vendor shall fully configure the capture and imaging software in the development environment to the specifications outlined in the Solution Design Document

4.2.3 Successful Unit Testing of vendor configured environments

4.2.3.1 The Vendor shall conduct unit testing to validate that the configured solution and corresponding processes function in an integrated manner according to Solution Design Document. This testing will also validate fulfillment of the

functional requirements in scope for the solution and determine the readiness of the solution for migration to the production environment.

5.0 Vendor Deliverable Dates Table

5.1 The Vendor shall complete Deliverables by the estimated completion dates set forth in Table 6.1, below:

Phase	Vendor Deliverables (* Critical Deliverables)	Estimated Completion Date
Requirements Definition and Solution Design	<ul style="list-style-type: none"> • Solution Architecture Document* • Solution Design Document* 	<p>July 31, 2008</p> <p>July 31, 2008</p>
Installation and Configuration of Development Environment	<ul style="list-style-type: none"> • Configured Document Management Development Environment • Configured Capture and Imaging Development Environment • Successful Unit Testing of vendor configured environments* 	<p>August 22, 2008</p> <p>August 22, 2008</p> <p>September 1, 2008</p>

6.0 The Project Management Process

- 6.1 The Vendor shall staff an upper-level relationship manager for this account, providing strategic support, a senior interface with AOC leadership, and a point of escalation for any and all needs.
- 6.2 The Vendor shall use Microsoft Project to manage the project timeline and Deliverables, offering a documented manner in which to monitor project progress and identify critical path Deliverables.
- 6.3 The AOC will provide a secure project site which can serve as a central workspace for project documents (statements of work, Deliverable documents, project plans, etc.) and team contact information.
- 6.4 The AOC and Vendor will assemble a Project Management Team (PMT), consisting of no more than three (2) representatives from each party. This team shall include the Vendor and AOC Project or relationship Managers.

7.0 Deliverable Acceptance

- 7.1 The Vendor shall coordinate Deliverable review and acceptance in accordance with the process agreed upon with the AOC in section 4.2 of the Minimum Terms and Conditions.
- 7.2 The Vendor shall develop Project Deliverables in the form and format agreed to by the AOC and Vendor using the Deliverables Expectations Document (DED), and approved by the AOC. No work will be performed on any deliverable associated with a payment milestone until the DED has been approved in writing by the AOC. As each Project Deliverable is submitted, the Vendor must include a copy of the Project Deliverable's Expectation

Document as the cover sheet. See Figure A-1 below for a template to be used for Deliverable Expectations Document during projects.

Figure A - 1. Template of Project Deliverable Expectation Document (Vendor to Repeat for Each Required Deliverable in Table 6.1 of this document.)

Project Deliverable Expectations Document	
Project Deliverable Number:	Title of Deliverable: <Insert>
Proposal Reference: <Insert>	Contract Reference:
Frequency: <Insert>	Draft Submission Due: <Insert>
State's Draft Review and Comment Period: XX Days	Final Submission Due: XX Days after receipt of draft comments
Approval Required: Yes/No	Distribution: AOC PM – one hard copy and one soft copy
Vendor: Complete shaded area below	
Prepared by (please print):	Date Submitted:
Date Submitted 2:	Date Submitted 3:
Phone Number:	FAX:
E-mail:	
<p>Deliverable Acceptance Criteria (include SOW requirements (and or requirement modifications agreed to by AOC through operational change processes), format and content description provided by Vendor related to deliverable as agreed to by AOC). Note that these criteria must be in accordance with the process agreed upon with the AOC in section 4.2 of the Minimum Terms and Conditions.</p> <p style="text-align: center;"><Insert Proposed Format and Content Description for Each Required Deliverable></p>	
AOC Approval/Comments	
Approved by:	Date:
Signature:	
Comments:	

8.0 Progress Reports

8.1 The Vendor shall submit weekly progress reports to the AOC Project Manager describing Work performed, Work status, Work progress difficulties encountered, remedial actions, and statement of Deliverable(s) anticipated subsequent to the reporting period for approval prior to payment of invoices.

8.2 Each progress report shall include, but is not limited to, the following sections:

8.2.1 Narrative summary: This section shall be a thorough statement of the Project activities and progress during the previous two weeks. It should include a discussion of any problems encountered, and any proposed changes to the Work set forth in this Statement of Work.

8.2.2 Schedule status: This section shall State whether the Project is progressing according to the target Deliverable dates outlined in the Deliverable Dates Table in this statement of work. If delays have been experienced, the section shall include a discussion of how the Project will be brought back on schedule or any necessary revision to the schedule.

8.2.3 Activities planned for next period: This section shall include a discussion of the work and associated Deliverables anticipated in the next period.

8.2.4 Open Issues: When appropriate, this section shall include a discussion of open issues and methods proposed for issue resolution. This section shall assign specific sources (Vendor or AOC staff) to issues in an effort to obtain timely resolution.

8.2.5 AOC's documented requirements as defined in the solution design document.

9.0 Vendor Key Personnel

9.1 In this section, the Vendor is instructed to insert profiles of staff proposed to work on the project.