

TO: POTENTIAL PROPOSERS

FROM: Administrative Office of the Courts
Information Services Division

DATE: Wednesday, April 2, 2008

SUBJECT/PURPOSE OF MEMO: Request for proposals
The AOC, California Supreme Court and Courts of Appeal seek a document management solution capable automating document management in support of E-Filing for the Appellate Courts. The solution will integrate seamlessly to the Appellate Court Case Management System and provide a back-end repository for document storage and retrieval.

ACTION REQUIRED: You are invited to review and respond to the attached Request for Proposal (“RFP”) as posted at <http://www.courtinfo.ca.gov/reference/rfp/>:
Project Title: Document Management for Appellate E-Filing
RFP Number: ISD2008DM-CT

SOLICITATIONS MAILBOX: solicitations@jud.ca.gov

DUE DATE & TIME FOR SUBMITTAL OF QUESTIONS: Deadline for submittal of questions pertaining to solicitation document is:
1:00 p.m. (PDT) on April 11, 2008

PROPOSAL DUE DATE AND TIME: Proposals must be received by **1:00 p.m. (PDT) on April 30, 2008**

SUBMISSION OF PROPOSAL: Proposals should be sent to:
**Judicial Council of California
Administrative Office of the Courts
Attn: Nadine McFadden, RFP No. ISD2008DM-CT
455 Golden Gate Avenue
San Francisco, CA 94102**

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1.0 **GENERAL INFORMATION**

1.1 General and ACCMS Background

- 1.1.1 The Judicial Council of California, 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.
- 1.1.2 The Appellate Court Case Management System (ACCMS) streamlines the tracking and maintenance of cases by providing Web-based centralized support for case management, administration, updates, backups, and security. ACCMS replaces two systems—one used by the Courts of Appeal, the other by the Supreme Court—that are no longer supported by the vendors.
- 1.1.3 ACCMS was developed by the AOC Information Services Division, working closely with staff in the Courts of Appeal and the Supreme Court. Ongoing maintenance and support is provided by the AOC. The application is hosted at the California Courts Technology Center, which is the branch data center, allowing the courts to leverage the center's hosting infrastructure, 24/7 operational support, and automated monitoring capabilities.
- 1.1.4 By creating a single repository for data across all appellate courts, ACCMS creates a platform for exchanging data between the Courts of Appeal and the Supreme Court. The system also uses standards-based technologies, which will facilitate communication between trial court and appellate court systems and integration between the courts and other justice partners using the judicial branch's new Integration Services Backbone (ISB).
- 1.1.5 Currently, ACCMS has been deployed to all of the Courts of Appeal, with rollout to the Supreme Court to be completed later this year. When the rollout is complete, approximately 1,000 court staff will be using the new system.

1.2 Enterprise Technology Architecture and E-Filing Background

- 1.2.1 The Enterprise Technology Architecture is a statewide framework for administering judicial branch technology. It is designed in such a way to allow core applications to be centrally housed and managed while giving local jurisdictions the foundation for providing additional local services. Through this architecture, the judicial branch can begin to launch statewide services for the courts and the public, such as user-friendly electronic filing into the courts and electronic access to case records.
- 1.2.2 The hub of the Enterprise Technology Architecture is the California Courts Technology Center, which houses all of the branch-wide applications in use today. These applications include the Appellate Court Case Management System, the California Case Management System, and the Phoenix Financial and Human Resources System. The Technology Center also houses the Integration Services Backbone, a suite of tools and services that allow the courts to integrate these applications to receive and share data with each other, state and local justice partners, and the public.
- 1.2.3 Through the Enterprise Technology Architecture, an electronic filing environment can be developed for use by all of the appellate courts. It is important that any electronic filing solution be designed so filers across the state have a uniform and user-friendly experience. To accomplish this, electronic filing requires significant enhancement of branch-wide systems, including:
 - 1.2.3.1 The Appellate Court Case Management System, which will need to have functionality added to enable clerks to electronically view, review, stamp, accept or reject documents and upload the associated case data in the case management system;
 - 1.2.3.2 The California Case Management System, which will need functionality developed to allow trial courts to build and transmit an electronic record on appeal;
 - 1.2.3.3 The Integration Services Backbone, which will need to be configured to validate and properly transmit information received by electronic filing parties to the court, and may potentially be used for the authorization of credit cards if the appellate courts choose to use this service with electronic filing; and
 - 1.2.3.4 The Document Management system, which will need to be deployed and available to the appellate courts so they may store both filed and court generated documents in an electronic format.
- 1.2.4 Through the use of these branch-wide tools, appellate electronic filing can be implemented so that it is standardized across the state and user-friendly to practitioners, many of whom file in multiple jurisdictions.
- 1.2.5 The AOC seeks a document management solution capable automating document management in support of E-Filing for the Appellate Courts as

outlined above. The solution will integrate seamlessly to the Appellate Court Case Management System and provide a back-end repository for document storage and retrieval.

1.3 Project Objective:

The document management project will deliver focused services that facilitate rapid deployment of a document capture and management solution, satisfying the following objective:

- 1.3.1 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.

2.0 **PURPOSE OF THIS RFP**

- 2.1 The State of California Administrative Office of the Courts (AOC) invites, from all interested software and implementation software vendors (hereinafter “vendor,” “proposer” or “service provider”) with proven experience, proposals to license (or) license and provide expert staff to assist in the implementation of a document management (DM) solution for use by the AOC, California Supreme Court and California Courts of Appeal.
- 2.2 The purpose of this RFP is to present proposers the AOC’s requirements for a document management solution and consulting services to support the solution’s implementation for Appellate Court E-Filing and related case management document capture and management requirements.
- 2.3 This RFP is intended to provide the AOC with vendor proposals that will include comprehensive technical support and ongoing maintenance with projected costs for a total cost of ownership over an initial term of five (5) years, as well as consulting services with the selected tool(s) at a competitive price. The AOC will reserve the option to renew licenses and concurrent maintenance and support agreements on a yearly basis thereafter.
- 2.4 Scope of Project Deliverables. AOC seeks proposals for Document Capture and Management inclusive of:
- 2.4.1 Application Software
 - 2.4.2 Solution Architecture and Design
 - 2.4.3 Sub-Contractor Management Services
 - 2.4.4 Implementation Consulting Professional Services
 - 2.4.5 Knowledge Transfer to AOC and Hosting Personnel

2.4.6 Post Implementation Maintenance and Support Services

2.5 The AOC anticipates investing an estimated total of between \$300,000 and \$500,000 to procure, implement and maintain a document capture and management solution, not inclusive of hardware, through June 30, 2009.

3.0 **PROCUREMENT SCHEDULE**

3.1 The AOC has developed the following list of key events and dates, subject to change at the discretion of the AOC.

3.2 Key Events Table

| No. | Key Event | Key Date |
|-----|--|----------------------------------|
| 1 | AOC issues RFP | April 2, 2008 |
| 2 | Deadline for proposers to submit questions, requests for clarifications or modifications to solicitations@jud.ca.gov | April 11, 2008, 1:00 p.m. (PDT) |
| 3 | Answers to questions posted on the California Courts Website | By April 16, 2008 (estimated) |
| 4 | Proposal due date and time | April 30, 2008, 1:00 PM PST |
| 5 | Invitations for Finalists' Presentations | May 8, 2008 (estimated) |
| 6 | Finalist Presentation and Team Interviews | Week of May 19, 2008 (estimated) |
| 7 | Final evaluation | May 23, 2008 (estimated) |
| 8 | Notice of intent to award | May 28, 2008 (estimated) |
| 9 | Completed negotiation | June 16, 2008 (estimated) |
| 10 | Notice of Contract Award | June 16, 2008 (estimated) |
| 11 | Execution of contract | June 18, 2008 (estimated) |
| 12 | Project commences | June 23, 2008 (estimated) |

3.3 Request for Clarifications or Modifications

3.3.1 Vendors interested in responding to the solicitation may submit questions

by e-mail only on procedural matters related to the RFP or requests for clarification or modification of this solicitation document, including questions regarding the General Conditions in Attachment A, to the Solicitations mailbox referenced below. If the vendor is requesting a change, the request must state the recommended change and the vendor's reasons for proposing the change.

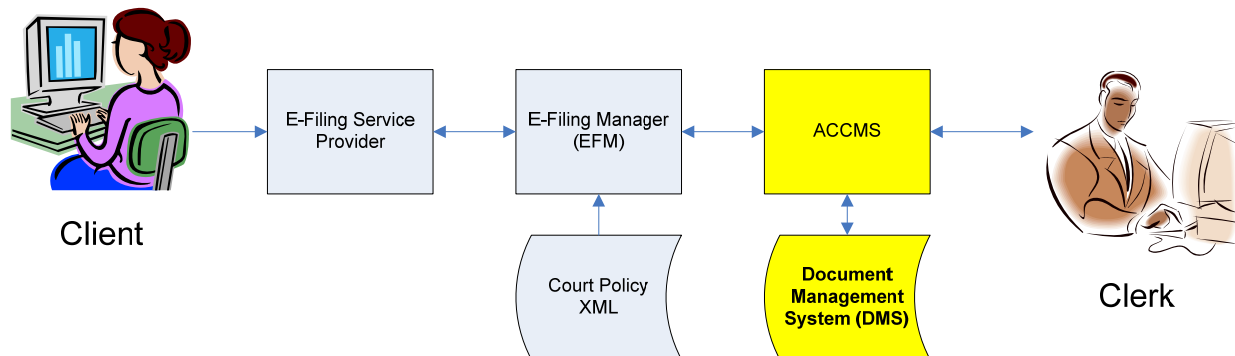
- 3.3.2 **Solicitations mailbox:** solicitations@jud.ca.gov
- 3.3.3 All questions and requests must be submitted by e-mail to the Solicitations mailbox and received no later than the date and time specified in Section 3.2. Questions or requests submitted after the due date will not be answered.
- 3.3.4 All e-mail submissions sent to the Solicitations mailbox **MUST** contain the RFP number and other appropriate identifying information in the e-mail subject line. In the body of the e-mail message, always include paragraph numbers whenever references are made to content of this RFP. Failure to include the RFP number as well as other sufficient identifying information in the e-mail subject line may result in the AOC's taking no action on a vendor's e-mail submission.
- 3.3.5 Without disclosing the source of the question or request, the AOC Contracting Officer will post a copy of both the questions and the AOC's responses on the California Courts Web site. The AOC reserves the right to edit questions for clarity and relevance.
- 3.3.6 If a vendor's question relates to a proprietary aspect of its proposal and the vendor believes that the question would expose proprietary information if disclosed to competitors, the vendor may submit the question in writing, conspicuously marking it as "CONFIDENTIAL." With the question, the vendor must submit a statement explaining why the question is sensitive. If the AOC concurs that the disclosure of the question or answer would expose proprietary information, the question will be answered, and both the question and answer will be kept in confidence. If the AOC does not concur regarding the proprietary nature of the question, the question will not be answered in this manner and the vendor will be so notified, at which time the vendor may withdraw the question or restate the question so as to make it non-proprietary or non-confidential.

4.0 **RFP ATTACHMENTS**

- 4.1 Attachment 1, Administrative Rules Governing Request for Proposals. Proposers shall follow the rules, set forth in Attachment 1, in preparation of their proposals.

- 4.2 Attachment 2, Minimum Contract Terms. Contracts with successful firms will be signed by the parties on a State of California Standard Agreement form and will include terms appropriate for this project. Terms and conditions typical for the requested services are attached as Attachment 2.
- 4.3 Attachment 3, Vendor's Acceptance of the RFP's Minimum Contract Terms. Proposers must either indicate acceptance of the Minimum Contract Terms, as set forth in Attachment 2, or **clearly identify** exceptions to the Minimum Contract Terms, as set forth in Attachment 2. If exceptions are identified, then proposers must also submit (i) a red-lined version of Attachment 2, that clearly tracks proposed changes to this attachment, and (ii) written documentation to substantiate each such proposed change.
- 4.4 Attachment 4, Payee Data Record Form. The AOC is required to obtain and keep on file, a completed Payee Data Record for each vendor prior to entering into a contract with that vendor. Therefore, vendor's proposal must include a completed and signed Payee Data Record Form, set forth as Attachment 4.
- 4.5 Attachment 5, Statement of Work. The project's Statement of Work is set forth as Attachment 5. Should a vendor suggest or propose changes to the SOW in the vendor's proposal, the proposer **must provide** a markup/redline reflective of any such changes to the SOW as part of their proposal. See Section 9.12 of this RFP for more details.
- 4.6 Attachment 6, Cost Submission Matrix. Proposers must propose all pricing necessary to accomplish the work requirements of the eventual contract. It is expected that all proposers responding to this RFP will offer the proposer's government or comparable favorable rates and will be inclusive of all pricing necessary to provide the contracted work.
- 4.7 Attachment 7, Customer Reference Form. References supplied per Section 9.15 must be provided using the form attached as Attachment 7.
- 4.8 Attachment 8, Vendor Certification Form, certifying neither proposer nor any proposed subcontractors are currently under suspension or debarment by any state or federal government agency, and that neither proposer nor any proposed subcontractors are tax delinquent with the State of California.
- 4.9 Attachment 9, Functional Requirements. Proposers must provide detailed responses to narrative questions and numeric responses accompanied by comments to individual requirements as outlined in Section 9.7 of this document.
- 4.10 Attachment 10, Technical Requirements. Proposers must provide detailed responses to narrative questions and numeric responses accompanied by comments to individual requirements as outlined in Section 9.8 of this document.

5.0 E-FILING OVERVIEW



- 5.1 Implementation of E-Filing will allow court personnel to conduct previously manual activities in an automated, electronic environment.
- 5.2 To enable Appellate Court E-Filing, the AOC IS team will need to enable each component of the above process. **This RFP addresses the software and services required for the document management system for all of the Appellate Courts.** An interface will be built between the document management system and the Appellate Court Case Management System, prior to implementation of E-Filing. Once the DMS is in place, courts will proceed with individual implementations of E-Filing solutions.
- 5.3 Following product selection and contract negotiations, the AOC targets delivery of a document capture and management solution to the at least one court of appeal in support of the E-Filing pilot project by September of 2008.

6.0 SOFTWARE SCOPE AND LICENSING REQUIREMENTS

- 6.1 The solution licenses shall address three components: document capture, document management and document delivery.
- 6.2 **In-House Document Capture:** AOC estimates that document capture will be enabled for ten (10) court capture stations. This will allow for a single capture station at each Court of Appeal facility and one at the Supreme Court. The AOC anticipates a minimum of 1.8 million scanned images per year. Approximately twenty (20) end users and four (4) developers will be licensed to use the capture software. This will support the capture of case documents not received via the E-Filing mechanism. Optical Character Recognition (OCR) software is required to minimize the need for manual tagging and indexing of scanned content. Note that the Appellate Courts do not have scanners in place and will require scanners to be purchased as part of this implementation. Vendors should include pricing for ten

(10) scanners in their cost estimate.

- 6.3 **Document Management:** Document management will serve a primarily back end function. AOC estimates that thirty (30) individuals will be licensed, inclusive of two administrators, to directly interface with the DMS. These licenses will allow the AOC and courts to conduct necessary manipulation of metadata, indexes, workflow, system integration points, etc.
- 6.4 **Document Intake and Delivery:** The ACCMS system and client-facing websites will be the primary conduits for document intake and delivery. These sites will need to send documents to the DMS repository and call documents from the repository. If the solution requires additional licensing to support this, the vendor should identify the product and pricing in their proposal.
- 6.5 If the proposer's solution components and/or pricing structure differs from the breakout described in Sections 6.2, 6.3 and 6.4, the proposer should explain their approach in Section 9.4, Executive Summary, and detail associated costs by component in Attachment 6, Cost Submission Matrix.
- 6.6 **Consulting Services**
- 6.6.1 The AOC anticipates a dedicated pool of internal resources will be supplemented by consulting staff for the implementation of the E-Filing solution. Internal resources for the project include Project Management staff, Systems and Process Analysts, Developers and internal subject matter experts.
- 6.6.2 The AOC describes specific roles (Solution Architect, Solution Developer and Capture and Imaging Consultant) in this RFP that have been identified as necessary consulting roles for the project. However, the proposer is invited to present additional staff in their proposal to represent their best combined team to support successful implementation of the DM solution.
- 6.6.3 Based on this approach, the AOC invites vendors to submit resumes for the following targeted resources to supplement the internal team.
- 6.6.3.1 Solution Architect
- 6.6.3.1.1 Role: The Solution Architect will be tasked with the review of AOC's procedures, fit gap analysis against the Vendor solution, and definition of the final solution architecture and foundation requirements. This individual will be the subject matter expert and solution lead from the Vendor team. They will be the focal point for all solution knowledge transfer to the AOC group during the course of the engagement.

6.6.3.1.2 Responsibilities: The Solution Architect(s) will have the responsibility to complete all the process review, solution definition and documentation, test plans and standards, direction and management of the solution development, and review of the final solution for presentation to the AOC group. The Solution Architect will work closely with AOC personnel assigned to the project to ensure the establishment and transference of a knowledge base from the beginning of the project onward.

6.6.3.2 Solution Developer

6.6.3.2.1 Role: The Solution Developer will lead all necessary configuration of the Vendor application, and will lead initial testing of the configured application against design criteria.

6.6.3.2.2 Responsibilities: The Solution Developer is responsible for tailoring the Vendor application to meet the AOC's documented requirements as defined in the solution design document.

6.6.3.3 Capture and Imaging Consultant

6.6.3.3.1 Role: The Capture and Imaging Consultant will lead implementation of document capture and imaging hardware and software.

6.6.3.3.2 Responsibilities: The Capture and Imaging consultant is responsible for tailoring the capture and imaging hardware and applications to meet the AOC's documented requirements as defined in the solution design document.

7.0 **CURRENT NETWORKING AND COMPUTING ENVIRONMENTS**

7.1 The AOC and appellate courts seek a document capture and management solution that will integrate well with the existing technical architecture. Additionally, the solution should be scalable to support continued growth of the branch throughout the state.

7.2 The solution will serve the ten (10) California Appellate Court locations located throughout the state.

7.3 The AOC and appellate courts use Exchange 2003 as well as the Microsoft Office professional suite of applications (Word, Excel, etc) for office automation. The AOC offices have migrated to Microsoft file/print services, and the IS Department

is currently migrating the appellate courts away from Novell file and print services to Microsoft.

- 7.4 The AOC has developed a centrally hosted shared services model with an outsourced co-location facility where all servers are to be hosted in a highly available and secure manner. This also means that standard operational procedures and operational training must be part of the overall documentation of the solution.
- 7.5 The preferred solution will be highly available with a redundant infrastructure that supports automated failover in case of component failure. Load sharing based solutions will be ranked higher than hot standbys.
- 7.6 The network connecting different the business units (AOC, appellate courts and others) is an IP network implemented based hub and spoke model with leased lines between the co-location facility and the offices. The AOC has standardized on a Cisco Network infrastructure.
- 7.7 The current identity management solution implemented within the co-location facility is based on a CA (former Netegrity) eTrust® SiteMinder® and Microsoft Active Directory to provide a standard solution for user authentication. It is important that all new solutions being implemented are fully integrated to work with industry standard frameworks such as that at the current co-location facility.
- 7.8 The AOC, California Supreme Court and Courts of Appeal are trying to standardize on Microsoft and Sun Solaris Unix based solutions with off the shelf or OEM products customized to the AOC environment.
- 7.9 Oracle is the preferred choice of the AOC for relational database management. The preferred version of Oracle is 10G R2 RAC. Other database solutions are currently used as part of the core AOC hosted service offering, but in an effort to standardize, any solution that supports the preferred version of Oracle in a multi-host real application clustering implementation will be preferred.
- 7.10 The solution needs to be capable of seamlessly integrating into our Integrated Service Backbone (ISB) for exchanging data to and from any other systems hosted either within the co-location facility or externally such as a local Court document management system. The AOC has implemented the Integrated Services Backbone based on the product suite from TIBCO. A solution that exposes its functionality with web-services will be preferred.
- 7.11 The AOC utilizes an enterprise level EMC solution for centralized storage (storage attached network) that should be used for any storage of live data. The Managed Service Provider is utilizing Veritas Netbackup for backups.

- 7.12 The AOC will seek a solution that can be implemented in an n-tier environment with a thin client front-end and will prefer a solution capable of being integrated into a portal based on standard specifications like JSR-168.

8.0 **SUBMISSION GUIDELINES**

- 8.1 Proposers will submit one (1) original and five (5) copies of the technical proposal signed by an authorized representative of the company, including name, title, address, e-mail address, and telephone number of one (1) individual who is the responder's designated representative.
- 8.2 In addition to submittal of the originals and copies of the proposals, as set forth in Section 8.1, above, proposers are also required to submit a non-copy protected electronic version of the entire proposal, including the cost matrix, requested samples and financial information, on CD-ROM or DVD. If financial information cannot be provided in an electronic format, hard copy submittal will be accepted.
- 8.3 Proposers will submit one (1) original and five (5) copies of the cost proposal in a separate envelope. Include software licensing and professional services required to design, configure and deploy the DM solution. The cost proposal must be presented in the format provided in Attachment 6, Cost Submission Matrix of this RFP. The AOC reserves the right to contact proposers on cost and scope clarification at any time throughout the selection process and negotiation process. Finally, it is important that proposers 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 requesting proposers to estimate costs for all categories with the understanding that they may have to make supported assumptions. Significant assumptions should be identified and elaborated.
- 8.4 Proposals must be delivered to the individual listed under Submission of Proposals, as set forth on the cover memo of this RFP. Only written responses will be accepted. Responses should be sent by registered or certified mail or by hand delivery.
- 8.5 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.

9.0 **SPECIFICS OF A RESPONSIVE PROPOSAL**

The proposal must include the following major sections:

- 9.1 Title Page
- 9.2 Letter of Transmittal. The vendor must prepare a cover letter on the prime vendor's 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 cover letter must state who the proposed prime contractor is, and name the participating vendors.
- 9.3 Table of Contents
- 9.4 Executive Summary. Limit this RFP section 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 and, telephone number.
- 9.5 Scope of Services. In this section, include a general discussion of the vendor's understanding of the "overall" project and the scope of work proposed.
- 9.6 Company /Team Background and Resource Capabilities
 - 9.6.1 Include a narrative description of the company, the company's place in the marketplace and strengths and weaknesses of the proposed ECM solution.
 - 9.6.2 If multiple firms are represented in the proposal, this section needs to include this information for each firm. Include here, the provided Vendor Certification Form, Attachment 8, on behalf of each firm represented in the proposal.
 - 9.6.3 The AOC needs to evaluate the vendors' stability and ability to support the commitments set forth in response to the RFP. The AOC, at its option, may require a vendor to provide additional support and/or clarify requested information. The AOC will conduct typical business reference checks on all of the vendors participating in the proposal process. Vendors must provide the following information about the company or companies included in the proposed solution. The software vendor(s) and the professional services firm must outline the company's background, including:
 - 9.6.3.1 The tax ID number of the proposed prime and sub-contractors (provide via Attachment 4, Payee Data Record Form).
 - 9.6.3.2 How long the company has been in business.
 - 9.6.3.3 A brief description of the company size and organizational structure.

- 9.6.3.4 If applicable, how long the company has been selling the proposed solution to public sector clients.
- 9.6.3.5 Provide an audited or reviewed profit and loss statement and balance sheet, in accordance with reporting requirement of the American Institute of Certified Public Accountants (AICPA), for the last three (3) years. Additionally, provide a statement of any bankruptcies filed by the proposer and any law suits filed against the proposer for malfeasance and a detailed listing of the adverse action, cause, number, jurisdiction in which filed and current status. The AOC requires a description of the outcome of any such legal action where there was a finding against the respondent or a settlement. The statement shall address all present and prior business relationships of those concerned. Identify any significant mergers, acquisitions, and initial public offerings. History must cover at minimum the last three (3) years.
- 9.6.3.6 Listing of software installs of similar size and scope over the past three (3) years by name. Please list government customers first. If possible, also include the number of users, modules implemented and system integrations.
- 9.6.3.7 Any material (including letters of support or endorsement from clients) indicative of the vendor's capabilities.
- 9.6.3.8 Disclosure of any judgments, pending litigation, known or planned sale, merger or acquisition of vendors' company/ies or other real or potential financial reversals that might materially affect the viability of the vendor(s) organization or public safety products, or the warranty that no such condition is known to exist.
- 9.6.3.9 In the case of partnered or combined responses, the nature of the relationship among the parties must be described. Include whether the parties collaborated previously and the intended relationship and reporting structure for the proposed project.
- 9.6.3.10 The State of California Information Practices Act of 1977 requires the AOC to notify all vendors of the following:
 - 9.6.3.10.1 The principal purpose for requesting the above information about your company is to provide financial information to determine financial qualification. State policy and state and federal statutes authorize maintenance of this information.

9.6.4 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.

9.7 Responses to Detailed Functional Requirements

9.7.1 Responses to the Functional Requirements contained in Attachment 9 of this RFP must be provided in the vendor's proposal. Proposers must use

the format provided and add explanatory details as necessary in a separate document using the requirement number as a reference.

9.7.2 The requirements document contains two (2) types of items requiring response.

9.7.2.1 Type One: Narrative Short Answer

For each short answer item, the respondent is asked to provide a concise narrative response in less than one (1) page, if possible.

9.7.2.2 Type Two: Itemized Requirements

Use the key found in Attachment 9 to indicate a single response for each itemized requirement. For each item, you are also welcome to comment for purposes of clarification. Please do not use multiple numeric responses.

9.7.3 Vendors must use one (1) code only per requirement. Any requirement that is answered in any other way will be treated as a negative/non-response

9.7.4 Vendors must include a brief narrative explanation of their numeric response. This narrative explanation can be reused, as appropriate, for multiple requirements.

9.7.5 An answer of 1 (one) (Item not addressed by solution) for any single requirement **will not** preclude a vendor from consideration.

9.7.6 Third-Party Products/Optional Software. 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.

9.8 Responses to Detailed Technical Requirements

9.8.1 Responses to the Technical Requirements contained in Attachment 10 of this RFP must be provided in the vendor's proposal. Proposers must use the format provided and add explanatory details as necessary in a separate document using the requirement number as a reference.

9.8.2 The requirements document contains two (2) types of questions.

9.8.2.1 Question Type One: Narrative Short Answer

For each short answer question, the respondent is asked to provide a concise narrative response in less than one (1) page, if possible.

9.8.2.2 Question Type Two: Itemized Requirements

Use the key found in Attachment 10 to indicate a single response

for each itemized requirement. For each item, you are also welcome to comment for purposes of clarification. Please do not use multiple numeric responses.

- 9.8.3 Vendors must use one (1) code only per requirement. Any requirement that is answered in any other way will be treated as a negative/non-response.
 - 9.8.4 Vendors must include a brief narrative explanation of their numeric response. This narrative explanation can be reused, as appropriate, for multiple requirements.
 - 9.8.5 An answer of 1 (one) (Item not addressed by solution) for any single requirement **will not** preclude a vendor from consideration.
 - 9.8.6 Third-Party Products/Optional Software. 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.
- 9.9 System Security
- 9.9.1 The vendor must include a detailed description of the proposed solution's security features. A description of how to secure transactions in a distributed network, over LAN, WAN and VPN connections must also be included.
 - 9.9.2 The vendor must also explain in-detail, the security model of the application, and describe generally the tasks required to configure and maintain application security. Please state if and how system security or user validation can be integrated with industry standard tools such as Netegrity Site Minder or MS Active Directory.
- 9.10 Recommended Hardware & Software. The vendor in this section should include detailed specifications for the Development, Staging and Production Environment hardware. Note that the development environment will be hosted at the AOC Data Center while Staging and Production environments will be hosted at the CA Courts Technology Center. Please also address requirements for the ten (10) capture stations planned for installation at the Appellate Courts.
- 9.11 Implementation Methodology. The Vendor must include a description of their consulting services approach and the proposed project methodology that will be used to guide development and rollout of the solution. The vendor should also provide answers to the following questions:

- 9.11.1 Describe your change control processes during and post implementation for version releases, patches and upgrades.
- 9.11.2 Discuss options for training technical staff, project team members and end users. Also address availability of train the trainer courses, documentation, online training and user help. Do user groups exist for your software package? How do you educate customers on new features and functions?
- 9.11.3 Please describe your levels of technical support, both during and post-implementation. If 3rd party software/partnerships will be leveraged to meet some of the agency's requirements, will the technical support extend to cover those areas?
- 9.11.4 What tools or methodologies do you employ to facilitate transition and ease of use amongst users of varied technical ability and knowledge? Do you provide wizards or development tools? Please provide details.
- 9.12 Markup of AOC Draft Statement of Work (SOW). The AOC has provided a draft SOW, (Attachment 5). The Vendor is welcome to suggest changes to the draft document based on their past successes implementing the proposed solution. Should the vendor suggest changes to the SOW, the vendor must provide a markup/redline reflective of any such changes to the SOW as part of their proposal.
- 9.13 Training Plan
 - 9.13.1 This section should outline the vendor's recommendations and plans for assisting the AOC and the AOC contractors to become self sufficient in supporting, maintaining, managing, and utilizing the proposed solution. AOC employees or agents must become able to manage, operate and troubleshoot the infrastructure components of the solution. Various parties of the AOC, Supreme Court and Courts of Appeal must also become proficient in developing and deploying the required interfaces in their respective environments. The vendor must provide a options for project team, training and end user training. Please note that the project team members will require training prior to implementation in order to play an active roll in the system design, development, testing and roll-out. The proposer's training plan must include:
 - 9.13.1.1 Clear identification of the proposed training methods (classroom, lab, mentoring, etc.) and assumptions regarding prerequisite skills of the employees receiving the training.
 - 9.13.1.2 Use of third-party training resources. Vendor should identify third party partners that provide training on the use of their application.

9.13.1.3 Pricing for the proposed training (to be outlined in Attachment 6, Cost Submission Matrix.

9.14 Staff Resumes

- 9.14.1 Provide a resume of vendor's proposed Solution Architect and describe their approach to architecting a DM solution. Indicate the Solution Architect's tenure with the vendor, number of projects delivered in similar size and complexity to the proposed tool, a summary of the product(s) installed for each project, and experience in the public or government sectors. Information should include name, address, physical location, telephone number, email address, office hours for Pacific Daylight Time of the designated individual. If the Solution Architect is a subcontractor, briefly describe the relationship and reporting structure for this role.
- 9.14.2 Provide resumes for vendor's proposed Solution Developer(s). Indicate each Solution Developer's tenure with the vendor, number of projects delivered in similar size and complexity to the proposed tool, a summary of the product(s) installed for each project, and experience in the public or government sectors. Information should include name, address, physical location, telephone number, email address, office hours for Pacific Daylight Time of the designated individual. If the Solution Developer is a subcontractor, briefly describe the relationship and reporting structure for this role.
- 9.14.3 Provide resumes of vendor's proposed Capture and Imaging Consultant. Indicate the consultant's tenure with the vendor. Information should include name, address, physical location, telephone number, email address, office hours for Pacific Daylight Time of the designated individual. If the consultant is a subcontractor, briefly describe the relationship and reporting structure for this role.
- 9.14.4 Provide resumes for any other proposed project staff. Detail the role of any additional proposed consultants. For each individual, information should include name, address, physical location, telephone number, email address, office hours for Pacific Daylight Time of the designated individual. If the individual is a subcontractor, briefly describe the relationship and reporting structure for this role.

9.15 Customer References

- 9.15.1 The AOC considers references 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 the AOC with reference information as part of their proposals using the reference form included in this RFP (Attachment 7). Vendors must provide at least three (3) client

references for software and services that are similar in size and complexity to this procurement and have utilized a solution similar to that proposed in a comparable computing environment. Vendors should submit references for fully completed (live) installations. Please inform references that they may be called by the AOC during early May 2008.

- 9.15.2 The AOC will not call proposers to tell them that their references will be contacted because all references provided will be contacted by the AOC during the selection process. Similarly, AOC will not work through a proposer's Reference Manager to complete a reference check. The names and phone numbers of the project manager/customer contact must be listed. Failure to provide this information may result in the vendor not being elevated to the Finalist Presentation.

9.16 Maintenance and Support Program

Specify the prime contractor and software vendor(s) plans to carry out post-implementation and on-going support including:

- 9.16.1 Post-Implementation support (e.g., three (3) months of on-site support after go-live).
- 9.16.2 Telephone support (include toll-free support hotline, hours of operation, availability of 12 x 7 hotline, etc.).
- 9.16.3 Special plans defining "levels" of customer support (e.g., gold, silver, etc.).
- 9.16.4 Availability and locality of user groups.

9.17 Cost Proposal

- 9.17.1 Submit cost proposal separately from the rest of the technical proposal and in sealed envelope(s).
- 9.17.2 Use Attachment 6, Cost Submission Matrix, to propose all costs, fees, expenses, and pricing for this project.

9.18 Exceptions to the RFP

- 9.18.1 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.
- 9.18.2 Submit Attachment 3, Vendor's Acceptance of the RFP's Minimum Contract Terms and the proposer's markup of Attachment 2, Minimum

Contract Terms, if applicable, as part of this section.

9.19 Reference Documents

9.19.1 To establish a complete and competitive proposal, vendors must include copies of the following documents:

9.19.1.1 Three (3) case studies focusing on document capture and management for past implementations of similar scope.

9.19.1.2 Sample interface specifications and API documentation, if included in proposal.

9.19.1.3 Document capture and management software user documentation (CD-ROMs would be preferred)

9.19.1.4 Project Plan detailing a typical timeline and activities associated with an implementation of the proposed document management solution.

9.19.2 The AOC prefers non-proprietary documents to fulfill the requirements outlined in Section 9.19.1. Proposers should submit any questions related to this requirement by the deadline for submission of questions, requests for clarifications or modifications in the Key Events Table (Section 3.2).

10.0 **EVALUATION PROCESS**

10.1 Written Proposal Review

10.1.1 The written review will begin with a check for the responsiveness of a proposal to the RFP requirements outlined in Section 9.0, Specifics of a Responsive Proposal. A proposal can be eliminated if it does not contain all proposal elements outlined in Section 9.0.

10.2 Finalist Selection

10.2.1 The selection team will compile scores for each vendor based on weighted evaluation criteria and functional requirements outlined in Section 11.0 of this document. These scores will be presented in a matrix format and the highest ranking will be identified and recommended to the project sponsors for review and approval.

10.2.2 Scores from the written proposal will be used to advance the proposer to Finalist Presentations. Finalists will then be solely evaluated on Finalist Presentations. Written scores will not be factored into the Selection Team Finalist Review process (see Section 10.4).

10.3 Finalist Presentations

10.3.1 Following sponsor approval, the highest ranked proposers (hereinafter “finalists”) will be invited to present their solution to the selection team. At this time, finalists will be provided specific AOC use cases to inform their presentation.

10.3.1.1 Finalist Presentation

Finalists will be invited to present their solution to the AOC team on a single day. During the finalist presentation, the Vendor will be asked to provide both a “vanilla” product overview and detailed solution demonstration. The objective of the product overview will be to orient the team to the product and company prior to the detailed demonstration of the solution based on AOC use cases. The AOC team will also interview proposed consulting candidates (as detailed in Section 10.3.1.2). The demonstration and interviews can be conducted via conference call and online or in person. The finalist presentation will include the following agenda items, subject to change by the AOC:

- 10.3.1.1.1 Product Overview/Orientation (75 minutes)
- 10.3.1.1.2 Question and Answer session (45 minutes)
- 10.3.1.1.3 Break (60 minutes)
- 10.3.1.1.4 Scenario-Based Product Demonstration (90 minutes)
- 10.3.1.1.5 Question and Answer session (30 minutes)
- 10.3.1.1.6 Break (15 minutes)
- 10.3.1.1.7 Staff Interviews (60 minutes)
- 10.3.1.1.8 Wrap-Up (15 minutes)

*Note that the AOC selection team will not be available to interact with proposer representatives during breaks.

10.3.1.2 Staff Interviews. Staff interviews will be conducted on the same day as the finalist presentation. The vendor must make proposed staff available via conference call or in person for interviews on the scheduled presentation day. If proposed staff are unavailable for interviews at that time, the vendor may work with the AOC Project Manager to schedule separate times for staff interviews.

10.3.1.3 Finalists will be informed of possible dates for their Finalist Presentation and interviews upon invitation to present.

10.4 Selection Team Finalist Review

10.4.1 Following completion of all Finalist Presentations and staff interviews, the selection team will determine scores for each vendor finalist and present

these scores to the project sponsors.

10.4.2 The top vendors (e.g. one (1) leader and one (1) runner up) from the finalist group will be identified and recommended for consideration by the project sponsors.

10.5 Project Sponsor Finalist Review

10.5.1 The top vendors will be presented to the project sponsors. The decision to move forward with contract negotiations will be ultimately decided in this forum.

10.6 Parallel Negotiation Option

10.6.1 If deemed necessary by the project sponsors, the AOC reserves the right to commence negotiations with multiple vendors in the interest of reaching a deal in a timely fashion with greatest benefit to the AOC.

11.0 **SELECTION CRITERIA AND WEIGHTING**

11.1 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.

11.2 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. Immaterial deviations may be waived, however, material deviations cannot be waived and may cause a proposal to be rejected.

11.3 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.

11.4 During the evaluation process, the AOC may require a vendor's representative to answer questions with regard to the vendor's proposal. Failure of a vendor 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 non-responsive.

11.5 A vendor is eligible for a total of 100 points for the written proposal and 100 points for the Finalist Presentations.

11.6 Written Proposal Evaluation. Written proposals will be evaluated by the AOC per the following selection criteria and weighting:

| Criteria | Total Possible Points | Corresponding RFP Section or Attachment Document(s) |
|---|------------------------------|--|
| Solution Functionality and Technical Compliance | 45 | Responses to Functional Requirements (9.7) Maintenance and Support (9.16) Responses to Technical Requirements (9.8) System Security (9.9) Recommended Hardware and Software (9.10) |
| Implementation Plan, Markup of SOW, Proposed Staff and Training | 15 | Implementation Methodology (9.11) Markup of AOC Draft SOW (9.12) Training Plan (9.13) Staff Resumes (9.14) |
| Customer References and Reference Documents | 10 | Customer References (9.15) Reference Document (9.19) |
| Total Cost of Ownership | 20 | Cost Proposal (Attachment 6) (9.17) |
| Exceptions to the RFP/Minimum Terms and Conditions | 10 | Exceptions to the RFP (9.18) |

11.7 Finalist Evaluation. Finalists will be evaluated by the AOC per the following selection criteria and weighting:

| Criteria | Total Possible Points | Explanation of Criteria |
|--|------------------------------|---|
| Presented Solution to Use Cases and Technical Capability | 65 | How well does the vendor address each use case? Are the solutions presented viable for the AOC? Does the software functionality address stated concerns and challenges within the Use Case Scenarios? |

| Criteria | Total Possible Points | Explanation of Criteria |
|----------------------|-----------------------|---|
| | | <p>How well do the vendor's representative(s) respond to in-depth questions or challenges raised by AOC staff?</p> <p>Consideration will be given to the content, quality and relevancy of the vendor's team response.</p> |
| Software Ease of Use | 15 | <p>Is the solution: Effective? Efficient? Engaging? Error tolerant? Easy to learn?</p> |
| Staff Interviews | 20 | <p>How well do the vendor's proposed implementation team members respond to in-depth questions or challenges raised by AOC staff?</p> <p>Consideration will be given to the content, quality and relevancy of the vendor team skill set and team responses.</p> |

12.0 **RIGHTS**

- 12.1 The AOC may reject any or all proposals and may or may not waive an immaterial deviation or defect in a bid. The AOC's waiver of an immaterial deviation or defect shall in no way modify the solicitation document or excuse a vendor from full compliance with solicitation document specifications. The AOC reserves the right to accept or reject any or all of the items in the proposal, 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 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 interest of the State of California.
- 12.2 In addition to the right to reject any and all proposals, in whole or in part, the AOC also reserves the right to issue similar RFPs in the future. This RFP is in no

way an agreement, obligation, or contract and in no way is the AOC or the State of California responsible for the cost of preparing the proposal. One copy of a submitted proposal will be retained for official files and becomes a public record.

- 12.3 The AOC may choose to implement the selected tools using its existing services and resources, and retains the option to solicit all consulting services per separate RFP.

13.0 **ADDITIONAL REQUIREMENTS**

- 13.1 It may be necessary to interview prospective service providers to clarify aspects of their submittal. If conducted, interviews will likely be conducted by telephone conference call. The AOC will notify prospective service providers regarding the interview arrangements.
- 13.2 It may also be necessary for the AOC to request additional documentation or information in order to clarify aspects of a proposal or a vendor's ability to perform the required services. Should the AOC request such documentation or information, proposer shall provide the requested documentation or information no later than the date specified by such request.
- 13.3 Failure of a proposer to participate in an interview, or provide requested documentation or information by the AOC's specified date may result in the vendor's proposal being disqualified for further evaluation.

14.0 **CONFIDENTIAL OR PROPRIETARY INFORMATION**

- 14.1.1 The Administrative Office of the Courts policy is to follow the intent of the California Public Records Act (PRA). If a vendor's proposal contains material noted or marked as confidential and/or proprietary that, in the sole opinion of the AOC, meets the disclosure exemption requirements of the PRA, then that information will not be disclosed pursuant to a request for public documents. If the AOC does not consider such material to be exempt from disclosure under the PRA, the material will be made available to the public, regardless of the notation or markings. If a vendor is unsure if its confidential and/or proprietary material meets the disclosure exemption requirements of the PRA, then it should not include such information in its proposal.
- 14.1.2 If any information submitted in a vendor's proposal 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."
- 14.1.3 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:

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 the right of the AOC to use the information contained herein if obtained from another source.

- 14.2 PROPOSALS WILL BE MAINTAINED IN CONFIDENCE BY THE AOC UNTIL ISSUANCE OF A NOTICE OF CONTRACT AWARD. UPON ISSUANCE OF A NOTICE OF CONTRACT AWARD, ALL PROPOSALS, INCLUDING PROPOSAL INFORMATION LABELED AS CONFIDENTIAL BY A VENDOR, WILL BECOME PART OF THE PUBLIC RECORD AND SUBJECT TO DISCLOSURE UNDER THE CALIFORNIA PUBLIC RECORDS ACT, EXCEPT TO THE EXTENT INFORMATION IS PROTECTED FROM DISCLOSURE BY LAW.

END OF FORM