III. PROPOSED CURRENT AND FUTURE ENVIRONMENT

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1.0 INTRODUCTION

This section describes the vision for the DMS and addresses how the Judicial Council envisions the DMS program implementation for the Appellate Courts (AC) and the individual departments within the Judicial Council of California (JCC).

The information presented in this section is for the Bidder's understanding of the vision for the future system and does not convey requirements for the DMS program Implementation. All Proposed Solution requirements are provided in RFP Section VI, Proposed Solution.

Appellate Courts Users

JCC Application – CAFM Users
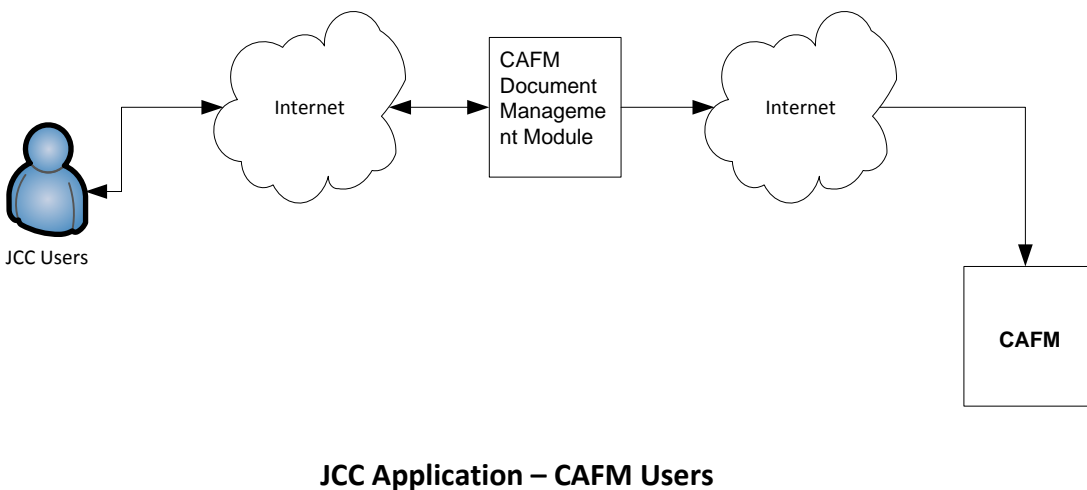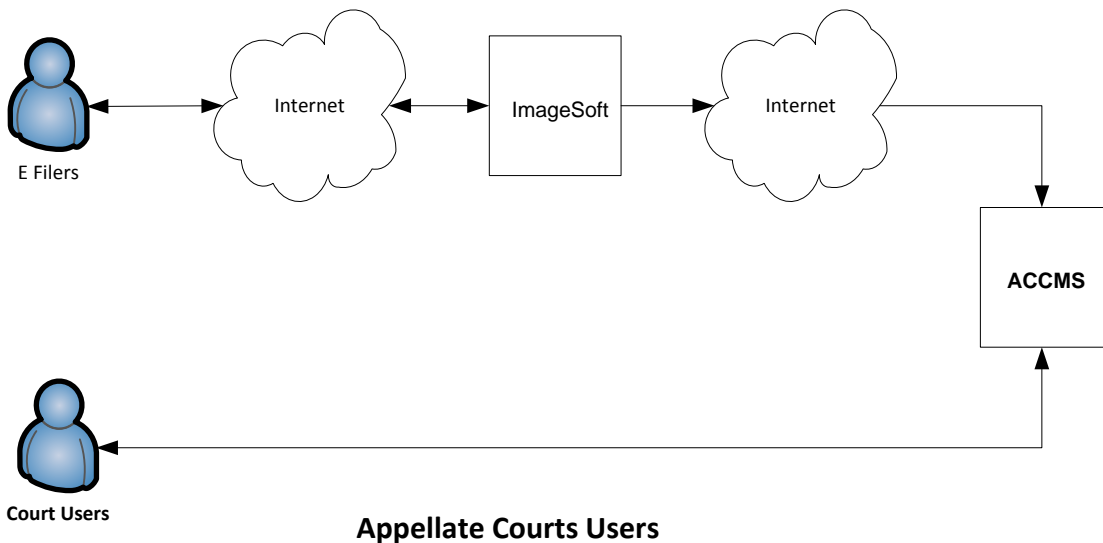
2.0   CURRENT STATE

All of the Appellate Courts and the Supreme Court are using an Appellate Court Case Management System (ACCMS) as their operational case management tool. Almost all, and by mid-2017 all, of the Appellate Courts in the State of California will be using e-filing. Documents are loaded into ACCMS by various means:

1. Electronic loading from Superior Court CCMS systems

2. Manual scanning and loading of case documents received by the Clerks

3. E-filing of documents from the Parties to the Court

4. Creation of orders/notices/opinions by the Appellate Courts and attached to ACCMS by the Clerks

Currently, only the published document is attached to the ACCMS Case file. There is no revision history capture, work notes captured, or emails regarding the case captured.

Separately within the Judicial Council department users file documents on the shared network drives or manually upload and link the scanned documents into the application module such as Computer Aided Facilities Management (CAFM) system's document repository. The document management functions for the Judicial Council departments are very limited in search, check in/out, and reporting capabilities.

3.0   APPELLATE COURTS AND JCC CURRENT PROGRAM VISION

The vision of the DMS Program is twofold, the first, is to implement a document management system basic core configuration for all Appellate Courts (for reference purposes the Supreme Court will be considered part of Appellate Courts) that would provide the Appellate Courts with a standard for document management support that also supports the Appellate Courts unique processing. The second, is to provide a document management system for individual Judicial Council departments that will provide the document management support for these various business units for their unique respective programs.

The DMS deployments for AC and JCC are independent of each other. However, it is desirable to have the same approach for efficient project management and program support.

The Appellate Courts deployment would be considered a single project but one of many phases, each separate court deployment identified as a phase. Vendors are expected to provide products and services for the design, procurement of software licensing, installation and configuration of system components, Testing Services, Deployment Services, Staff Training and operational turnover of the Document Management system for the capture, storage, collaboration, management, preservation and delivery of electronic documents for any or all of the nine (9) appellate (and Supreme)courts sites.

The Judicial Council deployment would be executed individually and by department specific to that organization's requirements. Vendors are expected to implement DMS Integration solutions with Phoenix SAP, CAFM, and Oracle Financials and other custom and off the shelf products.

The three (3) Judicial Council departments providing requirements data for this RFP are:

- Real Estate & Facilities Management (REFM)
- Capital Program (CP)
- Branch Accounting & Procurement (BAP)

The expectation is that any future department within Judicial Council could be identified as a deployment project so the above is just a sample of the Judicial Council subset. Judicial Council Projects will be funded separately.
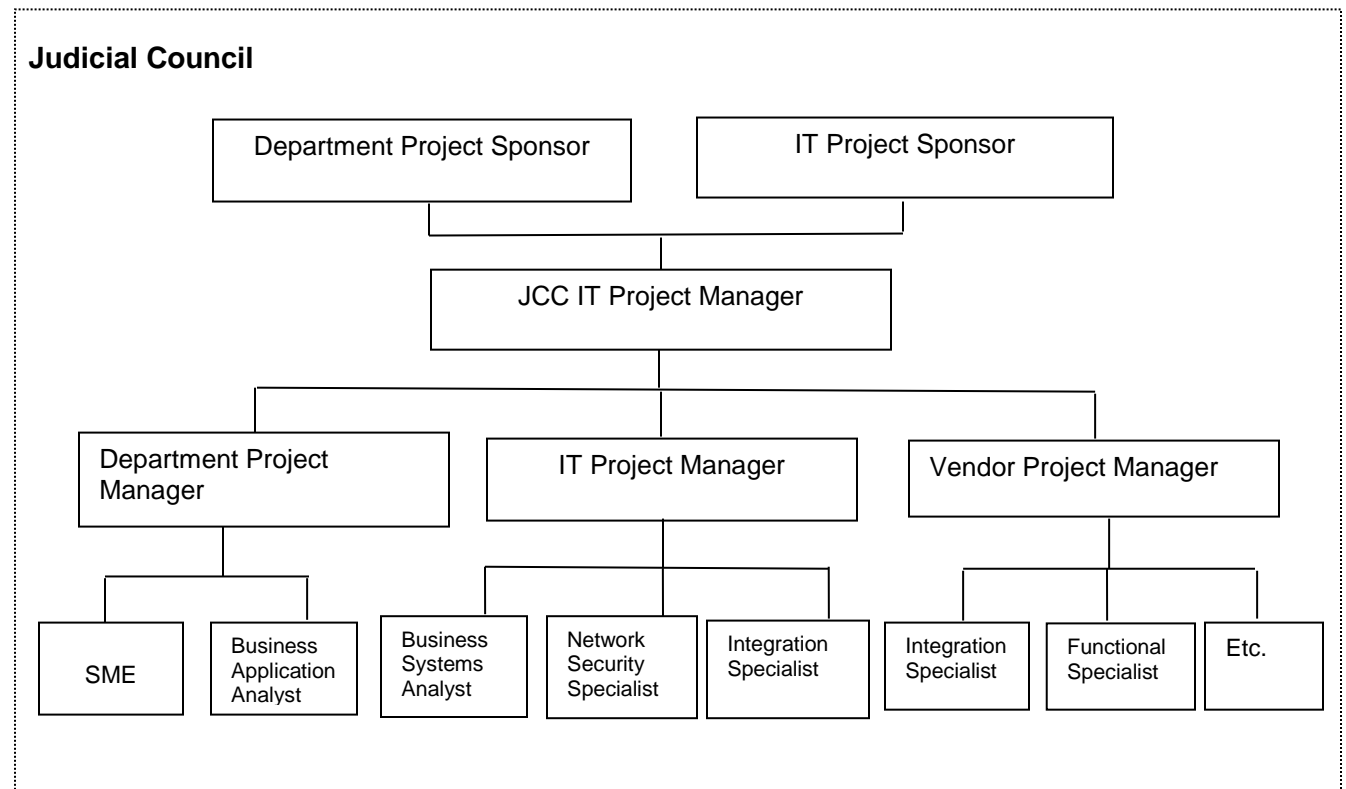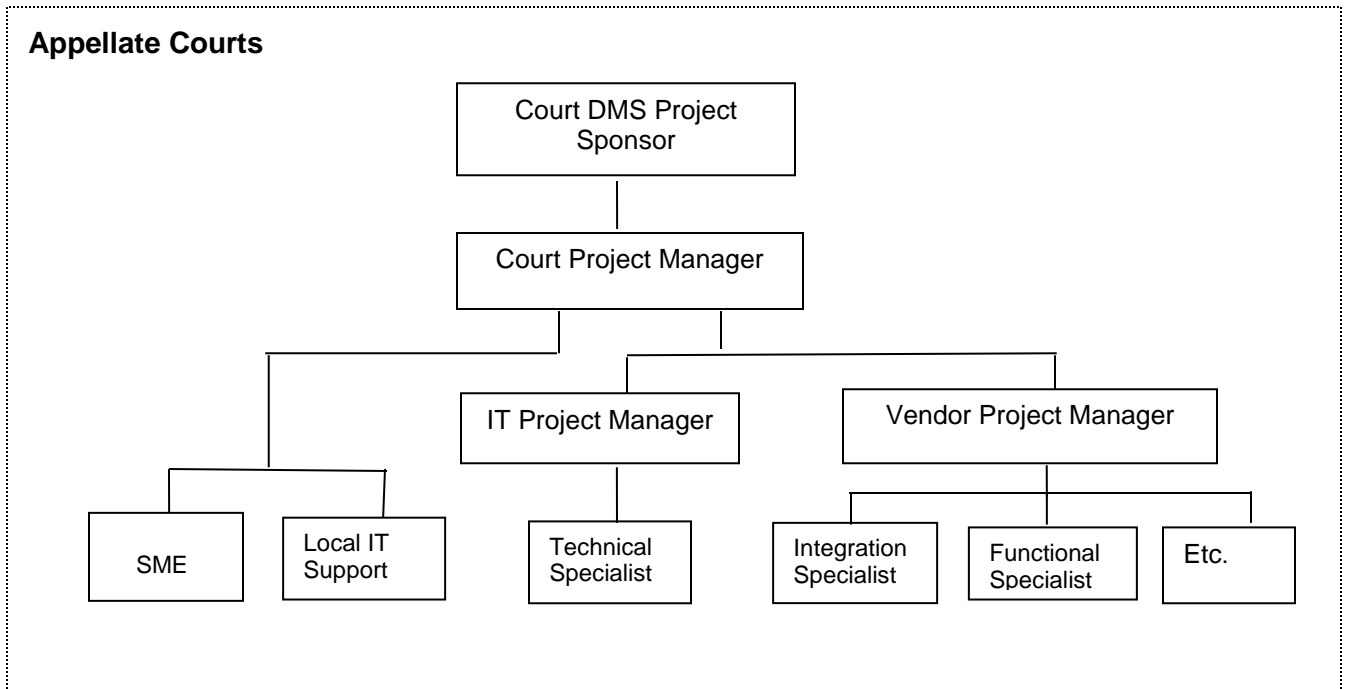
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        │  Appellate Courts  │          │
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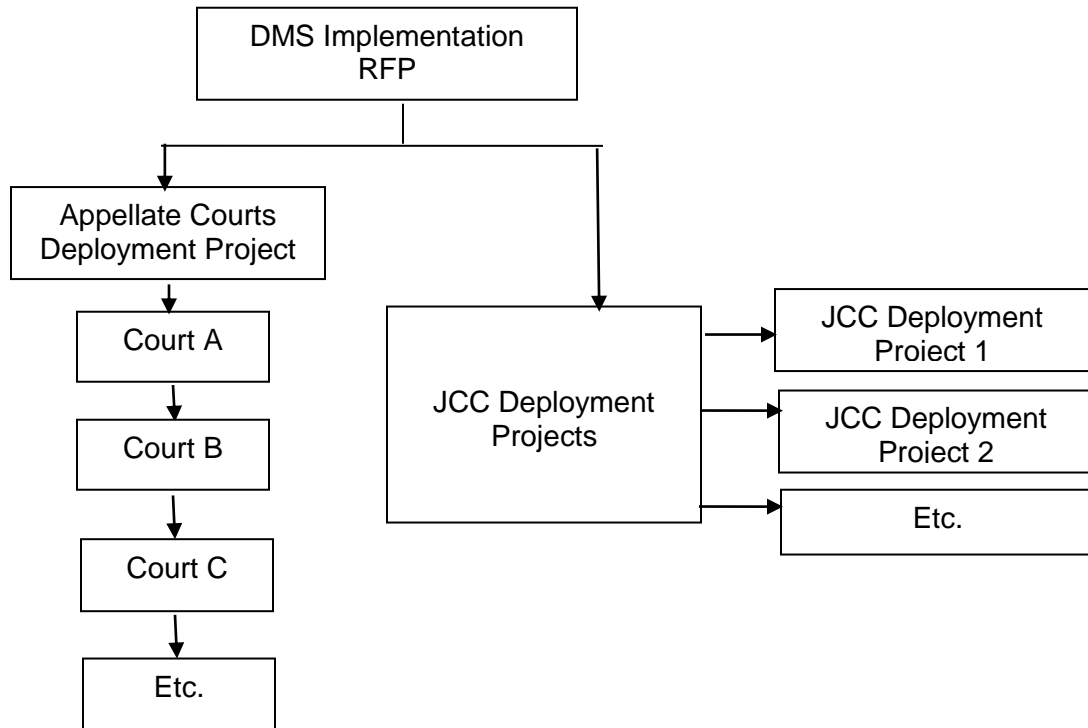
4.0   PROPOSED PROGRAM ORGANIZATION

Tables below illustrate the proposed organizational structure of the AC and JCC.

Appellate Court DMS Program		
Court	**JCC IT**	**Vendor**
Project Sponsor	Project Manager	Project manager
Project Manager	Technical Specialist	Integration Specialist
SMEs		Functional Specialist
Local IT Support		Technical Specialist
		Interface Specialist
		Conversion/Migration Specialist
		QA/Testing Specialist
		Training & Support Specialist

JCC DMS Program		
Department	**JCC IT**	**Vendor**
Project Sponsor	Project Sponsor	Project manager
Project Manager	Project Manager	Functional Specialist
SMEs	Business Systems Analyst	Integration Specialist
Business Application Analyst	Network & Security Specialist	Technical Specialist
	Integration Specialist	Interface Specialist
		Conversion/Migration Specialist
		QA/Testing Specialist
		Training & Support Specialist

Figure III – 1 Proposed Document Management Program Chart

Appellate Courts

```
                    Court DMS Project
                         Sponsor
                            |
                  Court Project Manager
           _____|_____
          |                    |                        |
          |            IT Project Manager       Vendor Project Manager
    _____|_____              |              _____|_____
   |            |              |             |           |           |
  SME      Local IT       Technical    Integration  Functional    Etc.
           Support        Specialist   Specialist   Specialist
```

Judicial Council

```
   Department Project Sponsor            IT Project Sponsor
              |_____|
                            |
                   JCC IT Project Manager
        _____|_____
       |                    |                    |
  Department Project   IT Project Manager   Vendor Project Manager
     Manager
    ___|___          _____|_____      _____|_____
   |       |        |       |        |     |       |        |
  SME  Business  Business Network Integration Integration Functional Etc.
       Application Systems Security Specialist Specialist Specialist
       Analyst    Analyst  Specialist
```

5.0 FUTURE FUNCTIONAL ENVIRONMENT

This section provides a description of the proposed future functional environment for the Document Management Program.

5.1 Document Management System Program Functionality

The Judicial Council has identified the high-level functionality as shown in Table III - 1 below that the DMS program implementation must provide to meet the end-state objectives. For a detailed overview of the Judicial Council program implementation functionality, please refer to RFP Section VI, Proposed Solution Requirements and RFP Appendix B, Requirements Response Matrices.

Table III – 1 DMS Program Functionality

Functionality	High-Level Requirements
AC/Judicial Council	
Annotations	■ Allow notes, redaction, highlight, markup of documents and images without modifying the source document
Audit Traceability	■ Provide audit log and access to system events, read/modify access to documents
Authentication	■ ACCMS and DMS Login ■ Active Directory, SSO
Batch Upload	■ Import processing unattended and on schedule ■ Mass uploads ■ Multiple import processes managed as a single job ■ Support document import from URLs
Collaboration	■ Select and send documents from DMS web client
Confidentiality	■ Assurance in confidentiality
Customer Support	■ Customer support by phone, email, web access
Data Migration and Protection	■ Backups and Recovery ■ Data Integrity
Deployment	■ System Administrator ID for software installation ■ Thin Client
Document Grouping	■ Document Grouping - Use of folders ■ Logically group documents
Documentation	■ Operations Training and Procedures ■ Privacy policies
Download	■ Document Repository - Retain a read-only checked-out copy on local workstations
Dynamic Help	■ Configurations and use of hot keys ■ Customizable end user instructions
e-Sign	■ Signing from desktop ■ Signing from mobile
Electronic Seals	■ Electronic seals
File Types	■ Add non ACCMs documents to the DMS case folder
Group Security	■ Creation of Workgroups ■ Workgroup file actions
Import Automation	■ Adding external e-mails to the DMS Case folder ■ Document import indexing based on bar coded or OCR values on batch header sheet ■ Document Repositories - Drag and drop import of multiple files simultaneously

Indexing	■ Business information specific indexing ■ Document import indexing based on accompanying text file ■ Fill multiple index values based on primary index lookup ■ Index documents based on Metadata, document ID ■ Print to import and index a document ■ Provide a unique DMS identifying code at capture
Infrastructure Security	■ IP Filter ■ Network Security ■ Network IDS/IPS Security ■ Private Networking
Integration	■ Document Reconciliation with SAP, ACCMS, CAFM etc. ■ Scheduled transfers between repositories ■ SMTP Relay ■ Systems and services Integration
Metadata	■ Maintain Document Metadata ■ Metadata Maintenance - Updated from an external ■ Metadata Retrieval - Automatics configurable document naming structure ■ Search results shall display metadata used in search ■ Support retention defined by metadata fields
Migration Services	■ Migration of documents ■ Migration Of Legacy Content
Mobile Support	■ Mobile web access
Monitoring	■ Automatic visual notification when threshold reached ■ Bandwidth measurement ■ Performance SLA ■ Visible auditable log of workflow actions
Multimedia	■ Compress Images (loss-less) ■ Digital Asset Management Component Integration ■ Import authored digital content
Notification	■ e-Mail notification CC and BCC additions ■ e-Mail notification modification by Authorized user ■ e-Mail notifications with attached documents ■ e-Mail notifications with embedded URL link ■ Email notification of workflow events
Operational Maturity	■ Change Control Process Capabilities ■ Issue Management Capabilities ■ Operational integrity ■ Outage Scheduling
Personalization	■ Web Access
Printing	■ Print functionality - Option to suppress annotations ■ Print functionality - Restrict printing certain documents ■ Select multiple documents in a single print request

Product Direction	■ Product Roadmap ■ Technology stack to remain current
Public Portal	■ Collection of Fees for printed/downloaded documents to the Public ■ Public Access to Published Court Documents
Publishing	■ Document staging ■ Publication Levels
Records Management	■ Records Management - Auto destruction after user review at reaching retention period ■ Records Management - Centralized administration over records
Reporting	■ Business process workflow simulation reports ■ Import process run report ■ Reporting on migration and usage etc.
Role Based Access Control	■ Administration of users by assigning rights to user groups ■ User Creation ■ Workgroup and Role Based Folder access
Scanning	■ 2-D bar code recognition capabilities ■ Automated quality assurance of scanned images ■ Methods to consolidate newly scanned pages into an existing document ■ Mid-batch scanner setting changes ■ Multiple scan station setup tool ■ One step scanning script
Searching	■ Ad-hoc queries ■ Analytics (search) ■ Document Repository - Display number of revisions in search result ■ Retrieval - Various search options ■ Search by metadata ■ Search results shall display metadata used in search
Security	■ Encryption at rest ■ Encryption in transit ■ Password security
Service Availability	■ Availability 24/7/365 ■ Availability SLA ■ Business Continuity /Disaster Recoverability
Standards and Regulation	■ AICPA/SOC compliance ■ FedRAMP certify ■ HIPAA compliance ■ ISO 270001 certify ■ PCI DSS compliance ■ SB1386 ■ Section 508 Compliance
Storage Classification	■ Storage class, classification

|	
Storage Management	■ Workgroup file retention ■ Archive retrieval ■ Retention automation, policy
Systems Administration	■ Log Analysis ■ Metrics Dashboard
Training	■ Training via WebEx ■ Training Methodology for Project Team members ■ Training Methodology for Technical Staff ■ User Training
US Based Operation	■ Custodian Personnel ■ US Based Hosting Facilities
Usability	■ Usability - single interface, UI consistency
Version Control	■ Check In/Check Out ■ Unlock locked content by abandoning changes ■ Versioning - Allow users to track document history ■ Versioning - View prior document revisions ■ Versioning - Track document revisions
Watermarking	■ Watermarks
Workflow	■ Alerts and Notifications ■ Business process modeling tool ■ e-Mail notifications with embedded URL link ■ Log of workflow actions ■ Logically group workflow documents ■ Workflow support of a state diagram

5.2   Number of System End Users and Cases

Appellate Courts	1,300
JCC Departments	
Real Estate & Facilities Management	980
Capital Program	50
Branch Accounting & Procurement	70
Total	2,400*

Note: This is the total user count for the three departments identified only. It does not include other departments with DMS needs yet to be identified.
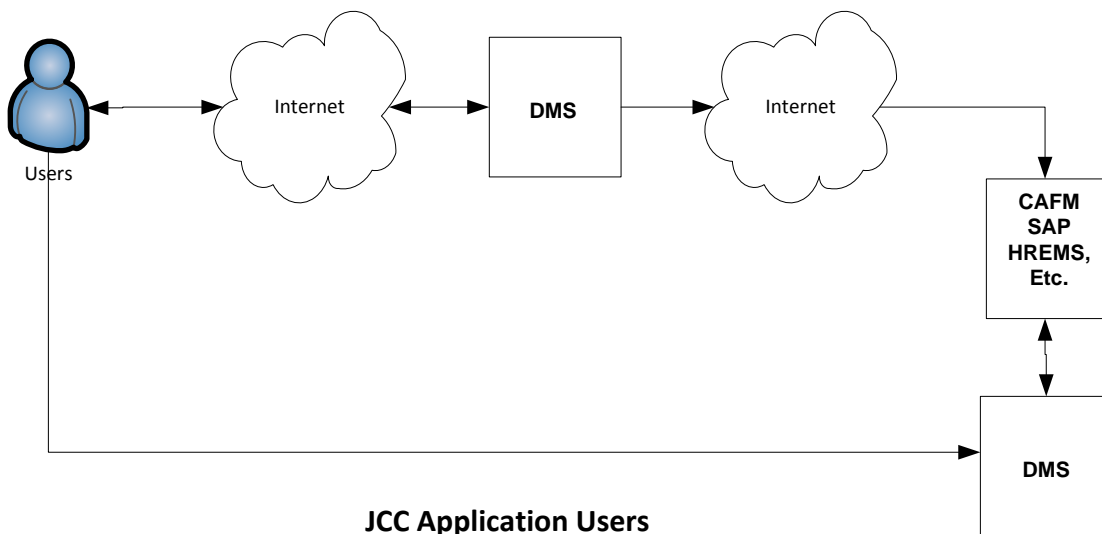
Table IV-1. Estimated System Users of 1,300 and Cases for Each Court

Court	Number of Cases
1st DC	100,460
2nd DC	272,066
3rd DC	82,228
4th DC Division 1	68,692
4th DC Division 2	66,162
4th DC Division 3	48,215
5th DC	62,333
6th DC	43,842
Supreme Court	23,504
Totals	**767,502**

6.0 CONCEPTUAL MODEL

Appellate Courts users
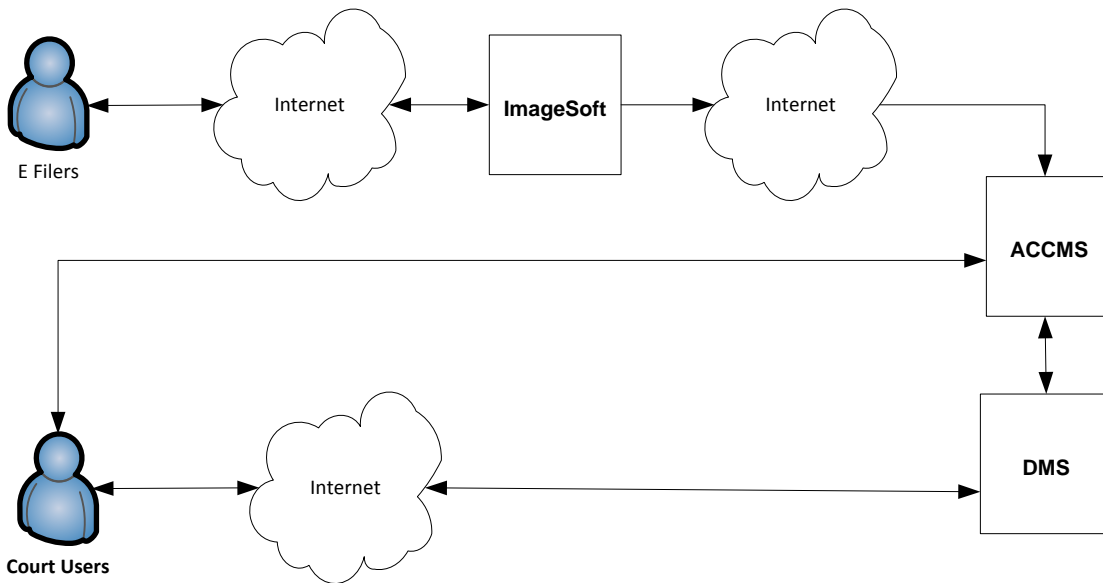
JCC Application Users

6.1 Appellate Courts

Additional notes to augment the details of the conceptual model illustrated above for the Appellate Courts with ACCMs.

6.1.1 Security

Authentication – using ACCMS credentials integrated with Siteminder and Active Directory. Authorization – managed by DMS administration

6.1.2 Notifications

Integrate with JCC SMTP relay server/services.

6.1.3 Integration with ACCMs.

The Appellate Court Case Management System (ACCMS) enables appellate courts to track and manage case information, court calendars and document filings. ACCMS is in nine court locations with more than 1,300 court users and approximately 24,000 active cases. The program also supports the Appellate Case Information site on the California Courts public website, which enables the public to conduct case searches with online registration for case action notifications. ACCMS is integrated with the appellate e-filing solution. When a document is attached to the ACCMS case file, ACCMS will save the document into the appropriate DMS Case Folder and place a link in the ACCMS screen.

6.2 Judicial Council

Additional notes to augment the details of the conceptual model illustrated above for Judicial Council applications.

6.2.1 Security

Authentication – using ACCMS credentials integrated with Siteminder and Active Directory. Authorization – managed by DMS administration

6.2.2 Notifications

Integrate with Judicial Council SMTP relay server/services.

6.2.3 Integration with applications such as CAFM, SAP, HREMS, etc.

Detailed integration requirements with Judicial Council applications will be discovered and documented during the project preparation phase. However, the expected user interface will be similar to the Appellate Courts. When a document is attached to the record(s) of the application, it will be saved into the appropriate DMS Folder and place a link in the application/record screen.

7.0   PROPOSED IMPLEMENTATION SCHEDULE

The implementation schedule is dependent on the start date of the Appellate Court project and any Judicial Council identified departmental deployment. The primary guideline is that all Appellate Courts will be deployed together yet, sequentially. The Judicial Council departments could be deployed simultaneously, that is, while the Appellate Courts are being deployed or subsequent to the Appellate Court deployment.

Figure 7-1 Proposed Implementation Schedule for the DMS Program

This implementation schedule will allow for sequential deployment of the Appellate Courts DMS. The order of the deployments is to be determined. Steps of the process are as follows.

Signed Leveraged Procurement Agreement (with Courts)

➔ **Project Planning (tasks, resources, duration and order of court deployment)**

➔ **Project Kickoff**

The Judicial Council deployments will be according to the execution of a work order. Deployment projects could be sequential or parallel. Steps of the process are as follows.

Project Planning

➔ Discovery (review and discover special needs such as customized workflows,

   interfaces, and/or document conversion/migration)

➔ Project Scope & Plan (tasks, resources, and duration, and deliverables)

➔ Cost Estimate for Project Cost (provide cost estimates)

Work Order Approval - see process description below.

Project Kickoff

A **Work Order** is used to document the scope, cost and schedule of the planned work and provides contractual approval for vendor to perform or participate in a design, engineering and/or implementation project.

Responsible	Work Order Process Description
Vendor	Create the Work Order from a Master Service Agreement, based on the scoping exercise, requirements, current practices, and any implementation or design details shared during the review of the documentation.
Judicial Council	Review the Work Order for accuracy and approve for delivery. A Work Order is required when a change in service(s) is requested which affects: • Cost or financial aspects • Add or remove new equipment, software or other goods and services • Action words "add", "buy", "new", "remove/delete/decommission" in the project description • Existing architecture, operational processes, or introduces new functionality or processes • Coordinate multiple vendor groups or technical teams

Please note:

1. The Work Order has a defined validity period, which begins when xxx submits the Work Order and extends to the Expiration Date that is explicitly stated in the Work Order. The validity period is normally XXX business days.

2. If a Work Order is approved, and additional scope is required, then a Change Request can be created to address the additional scope. It has the same content as the Work Order.

3. If a Work Order is approved, and previously agreed upon scope is reduced or modified, then an Amended and Restated Work Order is created, which documents the changes, and completely replaces the previously approved Work Order.

The table below provides a summary of the waves to be deployed following the proposed Implementation Schedule above.

Figure 7-2   Waves for the Proposed Implementation Schedule

Project	Functionality
Appellate Court Project	Onboard user, basic core DMS, workflows, document conversion/migration. Format includes but not limited to hard

	copies, MS Office files, PDF, CAD, audio/video, and the next generation CAD etc. on the local drives or FTP sites.
Future Judicial Council Department Projects	Department requirements, customized workflows and interfaces, onboard users, document conversion/migration. Format includes but not limited to hard copies, MS Office files, PDF, CAD, audio/video, and the next generation CAD etc. on the local drives or FTP sites.

8.0   IMPLEMENTATION CONSIDERATIONS

8.1   Business Process Re-engineering

In selecting DMS, it was the goal to adopt best practices in order to maximize the benefits. This includes:

- Eliminating duplicative effort
- Minimizing manual intervention
- Expediting document submission and approval through workflow
- Increasing accountability
- Improving opportunities to realize cost savings
- Implementing control costs
- Evaluating performance
- Securing confidential court working documents in a central location

The activities related to business process re-engineering are on-going in the courts and the Judicial Council. A key component to the success of this phase of the implementation will be the development and training related to these new business processes.

8.2   Organizational Change Management

For the benefits of DMS program to be fully achieved, staff must understand what is changing and be ready, willing, and able to adapt to the new business processes. This requires careful planning and execution of activities to manage and deploy change. These activities need to focus on understanding how new processes and organizational change will result from the implementation of the various components of this project. Clear communication is needed to demonstrate that this is a positive change for the Appellate Courts and the Judicial Council.

8.3   Knowledge Transfer Program

A key consideration of the current RFP activities is the knowledge transfer from the Contractor to court and Judicial Council staff. Maintenance and Operations Support knowledge transfer is expected to occur such that courts and JC can continue to support the business teams accordingly.

9.0   FUTURE TECHNICAL LANDSCAPE

This section provides information regarding the future technical landscape of the DMS. Additional details are provided in the RFP Section VI, and Proposed Solution Requirements.

9.1   Future State Application Landscape Architecture

9.1.1   Required Environments Landscape

The following diagram shows the Future State Landscape for all components required to meet identified future state requirements.

Figure 9-1 Future State Landscape
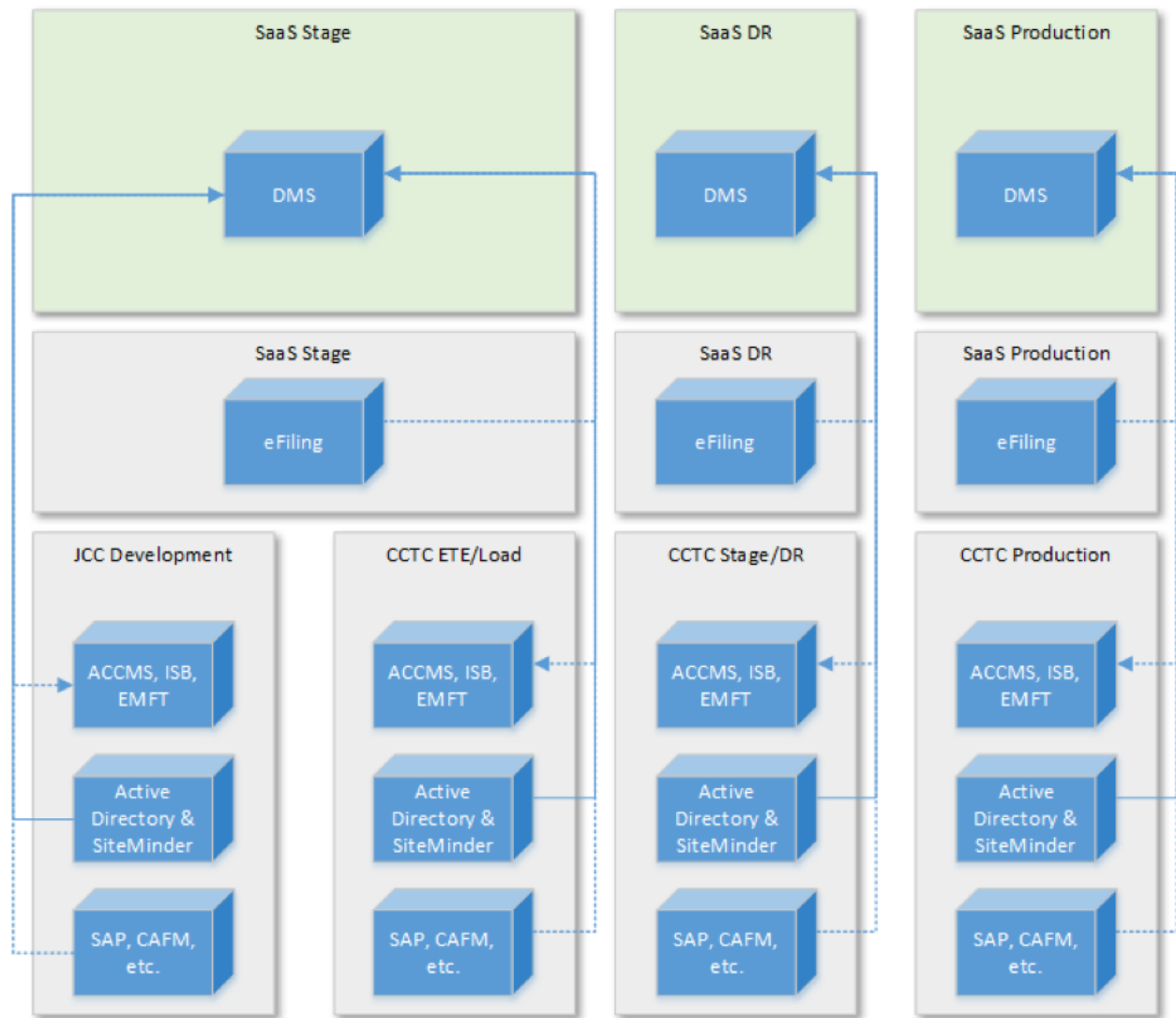
9.1.2 Optional Tool Environments

N/A

9.2 Future State Technical Application Architecture

Same as the above Figure 9-1 above.

10.0 PROPOSED MAINTENANCE AND OPERATIONS SUPPORT

The DMS will be a hosted SaaS environment. The maintenance support is expected to be provided by vendors. Including import/export data, configuration, and administration. On-going support for account management will be provided by the courts and Judicial Council IT.

10.1 SaaS System Support

The awarded Vendor is responsible for Level 1 Help Desk support and logging/tracking calls for the DMS system like user logins (account and password). The courts and Judicial Council are responsible for the Level 2 above support that involves the application interface and integration.

1. Account Management
2. Help Desk Level 2 & 3 including JCC Business application Analyst, Business Systems Analyst, and or IT Technical Specialists
3. Knowledge transfer for the Level 2 & 3 staff

There will be a requirement to augment the current Judicial Council support staff by the Bidder. The Bidder may be responsible for providing additional resources to support application interfaces and integration in the following areas:

- Development such as custom workflow configuration
- Testing of enhancements
- Troubleshooting workflows, interfaces, and/or document conversion/migration

See RFP Section VI, Proposed Solution Requirements, for additional information regarding roles and responsibilities of the Bidder and the Judicial Council.