REQUEST FOR PROPOSALS

SAN LUIS OBISPO

REGARDING:

ADDENDUM #1 TO RFP #ISD-06192012-SLO; SAN LUIS OBISPO CASE

MANAGEMENT SYSTEM REPLACEMENT

PROPOSALS DUE:
7/24/2012 NO LATER THAN 4:30 P.M. PACIFIC TIME

This Addendum 1 hereby modifies the RFP as follow:

I. ***Revised Attachments:*** Since attachments are to be used in submitting responses to this RFP, any changes to attachments are reflected in revised versions and posted on the RFP website (http://www.courts.ca.gov/18454.htm), and the prior versions of these attachments are no longer posted for usage. The following attachments are revised per this addendum:

    I.A. Attachment 7, Business and Function Requirements, has been replaced in its entirety with Attachment 7, Business and Functional Requirements, Revision 1;

    I.B. Attachment 16, SLO CMS RFP Costing Matrix, has been replaced in its entirety with Attachment 16, SLO CMS RFP Costing Matrix, Revision 1; and

    I.C. Attachment 17, Response Template, has been replaced in its entirety with Attachment 17, Response Template, Revision 1.

II. ***Revised RFP Sections:*** For changes to sections of the RFP document, any deletions in the RFP are shown in strikeout font (~~strikeout font~~) and any insertions are shown in underlined font (**bold underlined font**), and paragraph numbers refer to the numbers in the original RFP, as set forth below.

    II.A. ***Section 2.4 is modified as follows:***

        2.4 **Scope**
        The scope of the RFP is to obtain case management software, licensing, implementation services, network and infrastructure recommendations, and a hosting solution for the CMS/DMS applications. Data conversion services are outside of the scope of this RFP. The hosting proposals being sought are for a San Luis Obispo Superior Court locally-hosted solution only.

Component	Essential Technology or Service
Case Management System Application	• Compliant with functional requirements (*Attachment 7*) • Current with state laws, federal regulations, rules of court, calculations of fees & fines distribution, and administrative requirements (*Attachment 1*) • Responsive to changes in state laws, federal regulations, rules of court, and administrative requirements (*Attachment 1*) • Scalable system to accommodate court size, court users, data

Component	Essential Technology or Service
	volume, and public web users • Data security • Database agnostic • Document Management System (DMS) compatible • E-filing capable • Web-based public-facing portal • Standard desktop configuration requirements (*Attachment 9*) • State and local data exchange compliant • Configurable workflow to actively process cases using automated and manual work queues
Local Hosting Solution Design	• Proposed CMS/DMS application, all sub-components, and associated hardware and software are in compliance with infrastructure, application, and security requirements (*Attachment 13*) • Hardware requirements specifications for efficiently handling the processing needs of San Luis Obispo Superior Court, state and local Justice Partners, and the public • Third Party Software requirements • Network security and bandwidth specifications • Systems management (administration, change management, security, data recovery, and disaster recovery)

Deployment Services	• Deployment project plan with schedule depicting deployment timeline
	• Deployment approach that includes:
	  o Project management
	    – Work break-down by resources
	    – Resource plan loading
	    – Project management tools
	  o CMS environments design, acquisition specifications, and build instructions providing technical assistance to the Court technical staff
	  o Functional Requirements Gap Analysis
	  o Deployment Plan
	  o Training Plan
	  o Integration Plan
	  o Cutover Plan
	• Vendor resources for implementation, testing, training and cutover activities:
	  o Environment Specifications
	  o Infrastructure build, CMS and DMS software load, and global configuration setup services
	  o Implementation Services
	  o Baseline Configuration

Component	Essential Technology or Service
	o Setup and Administration o Documentation o Testing of Business Functionality and Validation using valid business cases with known and expected results o Integration testing o End-User Training/Knowledge Transfer o User Acceptance planning, coordination, testing (end-to-end integration testing) and court acceptance o Go-Live Support o Post-implementation support and project closeout
Maintenance and Support	• Maintenance and support that complies with the Court's Minimum Terms and Conditions (*Exhibit ~~XX~~ I of Attachment 2*) which shall include but not be limited to: o Application Software Licensing o Application Support and Technical Support for local hosted solution o End-user and technical support o Provision of periodic maintenance, legislative updates, and security upgrades per service-level standards and support agreements o Global configuration changes necessary to support business changes o Emergency support for break-fix situations
Warranty	• Service Warranty that complies with the Court's Minimum Terms and Conditions *(Attachment 2)* • Licensed Software Warranty that complies with the Court's Minimum Terms and Conditions *(Attachment 2)*

The implementation of CMS and DMS applications includes:
- Providing CMS and DMS application software that meet the functional requirements for San Luis Obispo Superior Court (*Attachment 7*)
- Analyzing trial court operations to effectively use the CMS and DMS applications
- Installing, configuring, and testing the CMS and DMS applications according to the business rules of the Court
- Maintaining the CMS application for changes in regulatory requirements, application enhancements, common configuration changes, and fixing program defects
- Training technical staff on the administration and support of CMS and DMS applications and the infrastructure equipment to ensure reliable service
- Cutover and post go-live services
- Working in cooperation with the San Luis Obispo Superior Court, the AOC, state and local Justice Partners and any other necessary vendors in order to make the CMS available in a manner that ensures a high quality of service to users

The recommendation for a trial court network infrastructure includes:

- Desktop assessment with hardware and software recommendations
- Network assessment and design specifications
- Server specifications and design, with build instructions providing technical expertise to the Court's IT for the CMS/DMS solution
- Integration support for the network infrastructure to function with the CMS and DMS
- Data Integration support ensuring connectivity for all required state and local Justice Partners.

Local Hosting Solution includes:

- Providing the design specifications and acquisition details for locally hosted CMS and DMS applications, including production and non-production environments to run the CMS and to support DMS applications, using modern proven technology that is in compliance with the infrastructure requirements (*Attachment 13*)
- Providing a network assessment with recommendations to adequately handle anticipated networking loads and access for the CMS/DMS proposed solution
- Providing a desktop workstation assessment and providing the necessary software, hardware and operating system requirements for the Court's desktop images
- Integrating the CMS and DMS servers and network servers with the network infrastructure and desktop workstations
- Working in cooperation with the San Luis Obispo Superior Court, the AOC, state and local Justice Partners and any other necessary vendors, in making the CMS available in a manner that assures a high quality of service to users.
- Document Management Services including any additional hardware and third party software recommendations
- Providing CMS and DMS configurations
- Assisting in DMS scanners setup, configuration, training, and business use

II.B. **S*ection 2.5.2 is modified as follows.***

2.5.2. Vendor Resources and Implementation Activities:

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

- Set-Up and Administration
  The vendor will work with the Court to have the appropriate hardware required for the CMS/DMS solution installed. Vendor will install and configure the CMS solution into the Court environment. Vendor will train the Court staff in the installation, administration, system updating, tuning, and troubleshooting procedures.

- Application Configuration
  With guidance from designated Court staff, vendor will work with the Court to build the application configuration that will serve as the foundation of the CMS and DMS.

- Reports and Forms
  The vendor will work with the Court to identify reports and forms required as well as codified values that should be included in the new CMS and DMS configuration.

- Documentation
  The vendor is responsible for creating the standard operational documentation. The vendor working with the Court will create user and system administration manuals that are required by the Court.

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

- End User Training/Knowledge Transfer
  The vendor will train the Court trainers through court acceptance. The Court trainers utilizing vendor-provided core documentation will create, with vendor's assistance, the training program, including documentation as desired. Training programs should include but not be limited to:
  o Baseline End-User Training
  o Specific Case Processing by Functional Area
  o System Administrator Training

- Technical Support & Operations Knowledge Transfer
  The vendor will train the Court technical staff and provide the necessary documentation and procedures. Training programs should include but not be limited to:

- System Operations training and documentation

- User Acceptance Activities
  The vendor will provide resources to coordinate and support all UAT activities utilizing the Court and vendor SMEs.

- Go-Live Support
  The vendor will provide resources for go-live activities ensuring a seamless business transition utilizing the new CMS/DMS solution. Two distinct cutovers are to be included in the implementation plan:
  - Criminal and Traffic
  - Civil, Juvenile and Juvenile dependency
  - Each cutover should be separated by a minimum of four to six weeks

- Post Implementation Support and Project Closeout
  The vendor will provide business and technical support of the CMS and DMS solutions to ensure a successful implementation by the user community. The vendor will provide application support, track and resolve issues that are uncovered, assist the Court in performing any necessary system tuning to maintain acceptable system performance *(as per service levels detailed in Exhibit ~~XX~~ I of attachment 2)*, finalize technical documentation, and finalize knowledge transfer to the Court. The vendor will perform project closeout tasks to transfer project roles to Court for ongoing operational support of the new system and document lessons learned.

II.C. ***Section 4.1 is modified as follows.***

4.1 **Proposed Procurement Schedule**

Proposals are due by July~~, 18~~24, 2012. Application demonstrations are to be held starting two weeks after the RFP submission deadline. It is the Court's intention to have a signed contract within sixty (60) days of the RFP submission deadline.

No.	Key Events	Key Dates
1	AOC issues RFP on behalf of San Luis Obispo Superior Court	6/19/12
2	Deadline for proposers to register for Pre-Proposal {Q&A} Conference	6/27/12
3	Pre-Proposal Conference (**2:00 PM – 5:00 PM PDT via Conference Call**)	7/9/12
4	Deadline for proposers to submit questions, requests for clarifications or modifications to Solicitations@jud.ca.gov	7/10/12
5	Post Vendor Questions and Court/AOC Answers	7/12/12
6	Vendor Solicitation Specifications Protest Deadline	7/13/12
7	Proposal due date and time (**4:30 PM, PDT**)	~~7/18/12~~

No.	Key Events	Key Dates
		7/24/12
8	Invitations for Demonstrations	~~7/26~~ 8/1/12**-8/7/12**
9	Presentations (solution demonstrations and interviews)	~~8/2~~ 8/8/12**-8/14/12**
10	Pre-Pricing evaluation	~~8/9-8/13/12~~ **8/15/12-8/20/12**
11	Cost Portion of Proposals Public opening	~~08/14/12~~ **8/21/12**
12	Notice of intent to award	~~8/21/12~~ **8/29/12**
13	Execution of contract between vendor and San Luis Obispo Superior Court	~~9/14/12~~ **9/24/12**

II.D. *Section 5.2 is modified as follows.*

5.2 **CMS Requirements and Court Informational Attachments**

ATTACHMENT	DESCRIPTION
Attachment 7**, Revision 1**	Business and Functional requirements
Attachment 8	Testing Requirements
Attachment 9	Configuration Requirements
Attachment 10	Training Requirements
Attachment 11	Integration Requirements
Attachment 12	Network-Desktop Requirements
Attachment 13	Application/Architecture/Security Requirements
Attachment 14	DMS Requirements
Attachment 15	San Luis Obispo Court Information
Attachment 16**, Revision 1**	SLO CMS RFP Costing Matrix
Attachment 17**, Revision 1**	RFP Response Template

II.E. *Section 6.0 is modified as follows.*

6.0 PAYMENT INFORMATION

6.1 Milestone payments for services.
6.2 Retention of 10 % of the total cost of services payable upon final acceptance and go-live.
6.3 Payment for vendor and third-party software upon productive use.
6.4 Reimbursable expenses will be allowed per exhibit ~~XX~~ **H** of attachment 2.

II.F. *Section 8.1 is modified as follows.*

8.1 <u>Non-Cost Portion</u>. The following information must be included in the non-cost portion of the proposal (*Attachment 2, 3, 4, 5, 6 &17*). A proposal lacking any of the following information may be deemed non-responsive.

A.   Proposer's name, address, telephone and fax numbers, and federal tax identification number. Note that if Proposer is a sole proprietor using his or her social security number, the social security number will be required before finalizing a contract.

B.   Name, title, address, telephone number, and email address of the individual who will act as Proposer's designated representative for purposes of this RFP.

C.   Names, addresses, and telephone numbers of a minimum of ~~3~~ **5** clients for whom the Proposer has provided similar goods. The Court may check references listed by Proposer.

D.   For each key staff member: a resume describing the individual's background and experience, as well as the individual's ability and experience in conducting the proposed activities.

F.   Proposed approach and methodology employed to complete the work.

G.   Acceptance of the Terms and Conditions (*Attachment 3*)

i.   The Proposer must either indicate acceptance of the Terms and Conditions or clearly identify exceptions to the Terms and Conditions. An "exception" includes any addition, deletion, qualification, limitation, or other change.

ii.   If exceptions are identified, the Proposer must also submit a red-lined version of the Terms and Conditions (*Attachment 2)* that clearly tracks proposed changes, and a written explanation or rationale for each exception and/or proposed change.

H.   Certifications, Attachments, and other requirements

i.   Proposer must include the following certification in its proposal (*Attachment 6).* Proposer has no interest that would constitute a conflict of interest under California Public Contract Code sections 10365.5, 10410 or 10411; Government Code sections 1090 et seq. or 87100 et seq., or rule 10.103 or rule 10.104 of the California Rules of Court, which restrict employees and former employees from contracting with judicial branch entities.

ii.   Proposer must submit with its proposal, for itself and each of its affiliates that make sales for delivery into California, a copy of either (i) a California seller's permit issued under Revenue and Taxation Code section 6066 et seq. or (ii) a certificate of registration issued under Revenue and Taxation Code section 6226.

iii.   If Proposer is a corporation, proof that Proposer is in good standing and qualified to conduct business in California.

iv.   Copies of current business licenses, professional certifications, or other credentials.

v.   Proof of financial solvency or stability (e.g., balance sheets and income statements).

II.G. *Section 8.2 is modified as follows.*

8.2 <u>Cost Portion</u>. The following information must be included in the cost portion of the proposal (*Attachment 16*).

A.   IT Goods:

  i.   CMS/DMS (Schedule 1) Application Software licensing – Supply any and all estimated software application licensing costs.

B.   IT Services:

  i.   Professional Services (Schedule 2) – Supply any and all estimated Professional Services costs by implementation phase and activity in section 1, as well as any and all assumed Court participation in section 2.

  ii.   Maintenance and Support (Schedule 3) – Supply ~~three~~ **five** years of costs for M&S.

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

II.H. *Section 10.0 is modified as follows.*

10.0   EVALUATION OF PROPOSALS

The cost portion of proposals will be publicly opened on ~~08/14/12~~ **08/21/12** at the AOC in San Francisco, California. At the time proposals are opened, each proposal will be checked for the presence or absence of the required proposal contents.

- Proposals that contain false or misleading statements may be rejected if, in the opinion of the Court or the AOC, the information was intended to mislead the state regarding a requirement of the solicitation document.
- If a proposal fails to meet a material solicitation document requirement, the proposal may be rejected. A deviation is material to the extent that a response is not in substantial accord with solicitation document requirements. Material deviations cannot be waived. Immaterial deviations may also cause a proposal to be rejected.
- Cost sheets will be checked only if a proposal is determined to be otherwise qualified. All figures entered on the cost sheets must be clearly legible.
- During the evaluation process, the Court or 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 nonresponsive.
- A vendor is eligible for a total of 100 points for the written proposal.

- Written proposals will be evaluated by the Court and the AOC per the following selection criteria and weighting:

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

END OF ADDENDUM