



**Judicial Council of California**  
ADMINISTRATIVE OFFICE OF THE COURTS

FINANCE DIVISION

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**TO:** **POTENTIAL PROPOSERS**

**FROM:** Administrative Office of the Courts  
Center for Families, Children & the Courts Division

**DATE:** May 1, 2007

**SUBJECT/  
PURPOSE OF  
MEMO:** REQUEST FOR PROPOSALS  
The Center for Families, Children & the Courts (CFCC), a division of the Administrative Office of the Courts, seeks the services of a consultant to collect and analyze quantitative and qualitative data regarding the functioning of Court Appointed Special Advocates (CASAs) in the juvenile dependency system.

**ACTION  
REQUIRED:** You are invited to review and respond to the attached Request for Proposals (“RFP”), as posted at [www.courtinfo.ca.gov/reference/rfp](http://www.courtinfo.ca.gov/reference/rfp):  
Project Title: CASA Needs Assessment  
RFP Number: CFCC-070501-RB

**QUESTIONS:** Questions regarding this RFP must be directed to [solicitations@jud.ca.gov](mailto:solicitations@jud.ca.gov) by 1:00 pm, **Friday May 9, 2007**.

**DATE AND TIME  
PROPOSAL DUE:** There will not be a pre-proposal conference for this RFP.  
Proposals must be received by 1:00 pm, **Friday, May 30, 2007**.

**SUBMISSION OF  
PROPOSAL:** Proposals must be sent to:  
Judicial Council of California  
Administrative Office of the Courts  
Attn: Nadine McFadden, RFP No. CFCC 070501-RB  
455 Golden Gate Avenue, 7th Floor  
San Francisco, CA 94102-3688

## **1.0 GENERAL INFORMATION**

### **1.1 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.

### **1.2 THE CENTER FOR FAMILIES, CHILDREN & THE COURTS**

1.2.1 The Center for Families, Children & the Courts (CFCC), a division of the AOC, provides a range of services to Courts in California, including research and technical assistance for juvenile and family Courts, collaborative justice Courts, cases involving self-represented litigants, and cases involving family violence.

### **1.3 THE CASA NEEDS ASSESMENT**

The CFCC is conducting a needs assessment of the Court Appointed Special Advocates (CASA) program in California. The purpose of this assessment is to provide information to help improve and expand the existing CASA system. The resulting information may be used to make recommendations for changes in the CASA system; changes in laws and rules of court; improvements in court operations; and improvements in court services for youth, families, the community, and other parties. The ultimate goal of this process is to improve both the administration of justice and the lives of youth and everyone affected by the dependency system. Components of the assessment currently underway are: review of studies of CASA programs already conducted, and compilation and analysis of AOC data on CASA programs statewide.

The components of the assessment that are the subject of this RFP are quantitative and qualitative indicators of CASA performance. The Needs Assessment study design calls for a statewide survey of CASA volunteers; focus groups with CASA volunteers and youth; interviews with CASA directors, parents, or other interested parties; and meetings with community partners and statewide stakeholders.

## 2.0 TIMELINE FOR THIS RFP

- 2.1 The AOC has developed the following list of key events from the time of the issuance of this RFP through the intent to award contract. All dates are subject to change at the discretion of the AOC.

EVENT	KEY DATE
RFP issued to <a href="http://www.courtinfo.ca.gov/reference/rfp/">http://www.courtinfo.ca.gov/reference/rfp/</a> :	<b>May 1, 2007</b>
Deadline for questions to <a href="mailto:solicitations@jud.ca.gov">solicitations@jud.ca.gov</a>	<b>May 9, 2007, 1:00 pm</b>
Latest date and time proposal may be submitted	<b>May 30, 2007, 1:00 pm</b>
Evaluation of proposals ( <i>estimate only</i> )	<b>May 30, 2007 through June 13, 2007</b>
Notice of Intent to Award ( <i>estimate only</i> )	<b>June 14, 2007</b>
Negotiations and execution of contract ( <i>estimate only</i> )	<b>June 21, 2007</b>

## 3.0 PURPOSE OF THIS REQUEST FOR PROPOSALS (RFP)

- 3.1 The AOC seeks the services of a consultant with expertise in qualitative and quantitative research, preferably in a court setting. The overall task of the consultant is to assist AOC research and legal staff in the collection of quantitative and qualitative data regarding the functioning of Court Appointed Special Advocates (CASAs) in the juvenile dependency system. The data collected by the consultant will be used by AOC staff to document the needs of CASA programs in California, the means by which these needs can be addressed and programs strengthened, effective practices in individual programs that can be used as models, and the effectiveness of the AOC's on-going program evaluation process.
- 3.2 The contractor will be asked to conduct research between June 21, 2007 and January 12, 2008. The contractor must conduct 1 statewide survey of CASA volunteers (using a statistically representative sample of the approximately 3,500 volunteers). The contractor must also conduct at least 10 in-person focus groups of 8 – 12 persons each, lasting approximately 1.5 hours, from the following populations: youth in the dependency system who have been assigned a CASA volunteer for at least 2 months, one group from each of 5 study counties; CASA volunteers who have had an assignment for at least 2 months, one group from each of the 5 study counties. At least 15 interviews must also be conducted, no fewer than five of which will be in-person with the local CASA directors in the study counties. The remaining interviews may be conducted with directors in

other counties (these can be via phone), or in-person interviews in the selected counties with parents, youth, or volunteers depending on the final study design. Five in-person town-hall style meetings with interested community members and groups must also be conducted in each of the selected counties. Finally, a statewide meeting of reviewers must be attended at which the data and preliminary results will be presented and discussed.

- 3.3 The Work of this RFP is provided in *Attachment 2 Contract Terms, Exhibit D - Work to be Performed*.

#### **4.0 RFP ATTACHMENTS**

- 4.1 Included as part of this RFP are the following attachments:

- 4.1.1 Attachment 1 - Administrative Rules Governing Request for Proposals. Proposers shall follow the rules, set forth in *Attachment 1, in preparation and submittal of their proposals*.
- 4.1.2 Attachment 2 - 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 - Contract Terms* and include: *Exhibits A through E*.
- 4.1.3 Attachment 3 - Vendor's Acceptance of the RFP's Contract Terms. Proposers must either indicate acceptance of Contract Terms, as set forth in *Attachment 2 – Contract Terms*, or clearly identify exceptions to the Contract Terms, as set forth in this *Attachment 3*.
- 4.1.3.1 If exceptions are identified, then proposers must also submit (i) a red-lined version of *Attachment 2 – Contract Terms*, that clearly tracks proposed changes to this attachment, and (ii) written documentation to substantiate each such proposed change.
- 4.1.4 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*.

## **5.0 EVALUATION OF PROPOSALS**

Proposals will be evaluated by the AOC using the following criteria, in order of descending priority:

- 5.1 Quality of work plan submitted.
- 5.2 Credentials of staff to be assigned to the Project.
- 5.3 Experiences on similar quantitative data collection assignments, particularly those involving mixed-mode surveys and requiring high response rates from community members.
- 5.4 Experiences on similar qualitative data collection assignments, including focus groups with youth and community members involved in juvenile court.
- 5.5 Reasonableness of cost projections.
- 5.6 Ability to meet timing requirements to complete the Project.

## **6.0 SPECIFICS OF A RESPONSIVE TECHNICAL PROPOSAL**

The following information shall be included as the technical portion of the proposal:

- 6.1 Quality of work plan submitted.
  - 6.1.1 Approach.
    - 6.1.1.1 Proposed process necessary to address the project objectives.
    - 6.1.1.2 Proposed project and team organization.
    - 6.1.1.3 Proposed methodology. For the volunteer survey, specify how the sample will be calculated and drawn, the projected response rate and level of confidence. For the focus groups, interviews, and community meetings, describe the methods for recruiting participants, ensuring adequate participation, and the method employed to lead groups, as well as record and transcribe all proceedings.
    - 6.1.1.4 Proposed data collection methods. For the volunteer survey, include methods of follow up and address verification to ensure an adequate response rate, data entry, data cleaning and editing. For qualitative data collection and group meetings, include methods to ensure adequate participation, recording of focus groups, interviews, and meetings, transcribing of recordings, and ensuring the accuracy of the transcripts.

- 6.1.1.5 Proposed methods for ensuring confidentiality of survey respondents, and focus group, interview, and group participants.
  - 6.1.2 Contact information. Provide proposer's point of contact, including name, physical and electronic addresses, and telephone and facsimile numbers.
  - 6.1.3 Tax recording information. Complete and submit *Attachment 4 - Payee Data Record Form*. Note that if an individual or sole proprietorship, using a social security number for tax recording purposes, is awarded a contract, the social security number will be required prior to finalizing a contract.
  - 6.1.4 Compliance with Contract Terms. Complete and submit *Attachment 3 - Vendor's Acceptance of the RFP's Contract Terms*. If changes to *Attachment 3* are proposed, then also submit red-lined version of *Attachment 3- Vendor's Acceptance of the RFP's Contract Terms* as well as written justification supporting any such proposed changes.
- 6.2 Credentials of staff to be assigned to the Project. Describe key staff's knowledge of the requirements necessary to complete this project. Provide professional qualifications and experience of key staff, as well as each individual's ability and experience in conducting the proposed activities. Submit hardcopy of key staff's information in proposal as well as electronically. (*See RFP: 8.0 Submissions of Proposals*)
- 6.3 Experiences on similar assignments.
- 6.3.1 Provide the names, physical and electronic addresses, and telephone numbers of a minimum of three (3) clients for whom the proposer has conducted similar services. The AOC may check references listed by the proposer.
  - 6.3.2 Proposal includes examples of other quantitative and qualitative research projects.
  - 6.3.3 Proposer has demonstrated experience with quantitative and qualitative research related to the functioning of juvenile courts, and services for juveniles in the dependency system.
  - 6.3.4 References are provided for similar types of prior work, including data collection, data entry, and database management.

- 6.3.5 Proposer has experience working in a Court or related setting [desirable but not necessary].
- 6.4 Reasonableness of cost projections. See below, *RFP: 7.0 Specifics of a Responsive Cost Proposal*.
- 6.5 Ability to meet timing requirements to complete the Project. Overall plan with time estimates for completion of all work required.

## **7.0 SPECIFICS OF A RESPONSIVE COST PROPOSAL**

The following information shall be included as the cost portion of the proposal:

- 7.1 Reasonableness of Cost Projections.
  - 7.1.1 As a separate document, submit a detailed line item budget showing total cost of the services for each of the four Deliverables specified in *Attachment 2 Contract Terms, Exhibit D - Work to be Performed*. This budget should identify unique hourly rates, titles, and responsibilities for each “Key Personnel,” but can group this information for other personnel in a more general manner. Staff rates should be fully burdened, including indirect costs, overhead and profit. The cost proposal should also include separate line items for postage/ mailing costs and travel and lodging. Fully explain and justify all budget line items in a narrative entitled “Budget Justification.”
  - 7.1.2 The total cost for consultant services will not exceed \$50,000.00, inclusive of personnel, materials, overhead rates, travel and profit. The method of payment to the consultant will be by cost reimbursement for each of the four deliverables specified in *Attachment 2 Contract Terms, Exhibit D - Work to be Performed*.

## **8.0 SUBMISSIONS OF PROPOSALS**

- 8.1 Responsive proposals should provide straightforward, concise information that satisfies the requirements noted in items *RFP: 6.0 Specifics of a Responsive Technical Proposal* and *RFP: 7.0 Specifics of a Responsive Cost Proposal*, above. Expensive bindings, color displays, and the like are not necessary or desired. Emphasis should be placed on conformity to the state’s instructions, requirements of this RFP, and completeness and clarity of content.
- 8.2 Proposers will submit one (1) original and three (3) copies of the technical proposal and cost proposal signed by an authorized representative of the

company, including name, title, address, and telephone number of one individual who is the responder's designated representative.

- 8.3 Proposals must be delivered to the individual listed under Submission of Proposals, as set forth on the cover memo of this RFP.
- 8.4 Only written responses will be accepted. Responses should be sent by registered or certified mail or by hand delivery.
- 8.5 In addition to submittal of the original and three copies of the proposals, as set forth in items 8.2, above, proposers are also required to submit an electronic version of the entire proposal on CD-ROM.

## **9.0 RIGHTS**

The AOC reserves the right to reject any and all proposals, in whole or in part, as well as 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.

## **10.0 ADDITIONAL REQUIREMENTS**

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.

## **11.0 CONFIDENTIAL OR PROPRIETARY INFORMATION**

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 AOC's sole opinion, 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.



## **LIST OF ATTACHMENTS**

- |                     |                                                                                                                                                                                                                                                                                  |
|---------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Attachment 1</b> | <b>Administrative Rules Governing Requests for Proposals</b>                                                                                                                                                                                                                     |
| <b>Attachment 2</b> | <b>Contract Terms</b><br><b>Exhibit A – Standard Provisions</b><br><b>Exhibit B – Special Provisions</b><br><b>Exhibit C – Payment Provisions</b><br><b>Exhibit D – Work to be Performed</b><br><b>Exhibit E – Acceptance of the Work and Sign-off Form for Deliverables 1-4</b> |
| <b>Attachment 3</b> | <b>Vendor’s Acceptance of the RFP’s Contract Terms</b>                                                                                                                                                                                                                           |
| <b>Attachment 4</b> | <b>Payee Data Record Form</b>                                                                                                                                                                                                                                                    |

**ATTACHMENT 1**  
**ADMINISTRATIVE RULES GOVERNING REQUESTS FOR PROPOSALS**

**A. GENERAL**

1. This solicitation document, the evaluation of proposals, and the award of any contract shall conform with current competitive bidding procedures as they relate to the procurement of goods and services. A vendor's proposal is an irrevocable offer for forty-five (45) days following the deadline for its submission.
2. In addition to explaining the Administrative Office of the Courts' requirements, the solicitation document includes instructions which prescribe the format and content of proposals.

**B. COMMUNICATIONS WITH AOC REGARDING THE RFP**

1. Except as specifically addressed elsewhere in this RFP, including directions pertaining to the submittal of Proposals, vendors shall use the "Solicitations Mailbox," identified on the cover memo of this RFP, for any communications with the AOC regarding the RFP and award. Vendors must include the RFP Number in subject line of any communication.

**C. QUESTIONS REGARDING THE RFP**

1. If a vendor's question relates to a proprietary aspect of its proposal and the question would expose proprietary information if disclosed to competitors, the vendor may submit the question via email to the Solicitations Mailbox, identified on the cover memo of this RFP, 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 notified.
2. Vendors interested in responding to the solicitation may submit questions via email to the Solicitations Mailbox, identified on the cover memo of this RFP, on procedural matters related to the RFP or requests for clarification or modification of this solicitation no later than the due date and time, as set forth on the RFP cover memo. If the vendor is requesting a change, the request must set forth the recommended change and the vendor's reasons for proposing the change. Questions or requests submitted after the due date and time will not be answered. Without disclosing the source of the question or request, a copy of the questions and the AOC's responses will be posted on the Courtinfo website (<http://www.courtinfo.ca.gov/reference/rfp/>).

**D. ERRORS IN THE RFP**

1. If, prior to the date fixed for submission of proposals, a vendor discovers any ambiguity, conflict, discrepancy, omission, or error in this solicitation document, the vendor shall immediately notify the AOC via email to the Solicitations Mailbox, identified on the cover memo of this RFP and request modification or clarification of the RFP. Without disclosing the source of the request, the AOC may modify the solicitation document prior to the date fixed for submission of proposals by posting an addendum to the solicitation on the AOC's web site "Courtinfo" (<http://www.courtinfo.ca.gov/reference/rfp/>)
2. If a vendor fails to notify the AOC of an error in the RFP known to vendor, or an error that reasonably should have been known to vendor, prior to the date fixed for submission of proposals, vendor shall propose at its own risk. Furthermore, if vendor is awarded the TPA agreement, vendor shall not be entitled to additional compensation or time by reason of the error or its later correction.

**E. ADDENDA**

1. The AOC may modify the solicitation document prior to the due date and time for submission of proposals, as set forth in the RFP cover memo, by posting an addendum on the Courtinfo website (<http://www.courtinfo.ca.gov/reference/rfp/>).
2. If any vendor determines that an addendum unnecessarily restricts its ability to propose, the vendor shall immediately notify the AOC via email to the Solicitations Mailbox, identified on the cover memo of this RFP, no later than one day following issuance of the addendum.

**F. WITHDRAWAL AND RESUBMISSION/MODIFICATION OF PROPOSALS**

1. A vendor may withdraw its proposal at any time prior to the deadline for submitting proposals by notifying the AOC in writing of its withdrawal. The notice must be signed by the vendor. The vendor may thereafter submit a new or modified proposal, provided that it is received at the AOC no later than the proposal due date and time listed on the cover letter of this RFP. Modifications offered in any other manner, oral or written, will not be considered. Proposals cannot be changed or withdrawn after the proposal due date and time listed on the coversheet of this RFP.

**G. ERRORS IN THE PROPOSAL**

1. If errors are found in a proposal, the AOC may reject the proposal; however, AOC may, at its sole option, correct arithmetic or transposition errors or both on the basis that the lowest level of detail will prevail in any discrepancy. If these corrections result in significant changes in the amount of money to be paid to the vendor (if selected for the award of the agreement), the vendor will be informed of the errors and corrections thereof and will be given the option to abide by the corrected amount or withdraw the proposal.

## **H. RIGHTS TO REJECT OR AWARD PROPOSALS**

1. The AOC may reject any or all proposals and may or may not waive an immaterial deviation or defect in a proposal. 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.
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.
3. Vendors are specifically directed NOT to contact any AOC or its personnel or consultants for meetings, conferences, or discussions that are specifically related to this RFP at any time prior to any award and execution of a contract. Unauthorized contact with any AOC or its personnel or consultants may be cause for rejection of the vendor's proposal.

## **I. EVALUATION PROCESS**

1. An evaluation team will review in detail all proposals that are received to determine the extent to which they comply with solicitation document requirements.
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. Material deviations cannot be waived. Immaterial deviations may cause a proposal to be rejected.
3. Proposals that contain false or misleading statements may be rejected if in the AOC's opinion the information was intended to mislead the state regarding a requirement of the solicitation document.
4. 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.
5. 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 demonstrate that the claims made in its proposal are in fact true may be sufficient cause for deeming a proposal non-responsive.

## **J. PROTEST PROCEDURE**

### 1. General.

Failure of a vendor to comply with the protest procedures set forth in this *Section J- Protest Procedures*, will render a protest inadequate and non-responsive, and will result in rejection of the protest.

### 2. Prior to Submission of Proposal.

An interested party that is an actual or prospective proposer with a direct economic interest in the procurement may file a protest based on allegedly restrictive or defective specifications or other improprieties in the solicitation process that are apparent, or should have been reasonably discovered prior to the submission of a proposal. Such protest must be received prior to the due date and time for submittal of proposals, as set forth on the RFP cover memo. The protestor shall have exhausted all administrative remedies discussed in this *Attachment 1* prior to submitting the protest. Failure to do so may be grounds for denying the protest.

### 3. After Notice of Intent to Award/Not to Award.

A vendor submitting a proposal may protest the AOC's intent to award based upon allegations of improprieties occurring during the proposal evaluation or selection period if it meets all of the following conditions:

- a. The vendor has submitted a proposal that it believes to be responsive to the solicitation document;
- b. The vendor believes that its proposal meets the administrative and technical requirements of the solicitation, proposes services of proven quality and performance, and offers a competitive cost; and,
- c. The vendor believes that the AOC has incorrectly selected another vendor submitting a proposal for an award.

Protests must be received no later than five (5) business days after the protesting party receives a notice of intent not to award.

### 4. Form of Protest.

A vendor who is qualified to protest should submit the protest to the individual addressed under Submission of Proposals, as set forth in the RFP cover memo, who will forward the matter to the appropriate Contracting Officer.

- a. The protest must be in writing and sent by certified, or registered mail, or overnight delivery service (with proof of delivery), or delivered personally to the address noted on the RFP cover memo under Submission of Proposals. If the protest is hand-delivered, a receipt must be requested.

- b. The protest shall include the name, vendor, physical and electronic addresses, and telephone and facsimile numbers of the party protesting or their representative.
- c. The title and number of the solicitation document under which the protest is submitted shall be identified.
- d. A detailed description of the specific legal and factual grounds of protest and any supporting documentation shall be included.
- e. The specific ruling or relief requested must be stated.

The AOC, at its discretion, may make a decision regarding the protest without requesting further information or documents from the protestor. Therefore, the initial protest submittal must include all grounds for the protest and all evidence available at the time the protest is submitted. If the protestor later raises new grounds or evidence that was not included in the initial protest but which could have been raised at that time, the AOC will not consider such new grounds or new evidence.

5. Determination of Protest Submitted Prior to Submission of A Proposal.

Upon receipt of a timely and proper protest based on allegedly restrictive or defective specifications or other improprieties in the solicitation process that are apparent, or should have been reasonably discovered prior to the submission of a proposal, the AOC will provide a written determination to the protestor prior to the date and time for submittal of proposals, as set forth on the RFP cover memo. If required, the AOC may extend such proposal due date and time to allow for a reasonable time to review the protest. If the protesting party elects to appeal the decision, the protesting party will follow the appeals process outlined below and the AOC, at its sole discretion, may elect to withhold the contract award until the protest is resolved or denied or proceed with the award and implementation of the contract.

6. Determination of Protest Submitted After Submission of A Proposal.

Upon receipt of a timely and proper protest, the AOC will investigate the protest and will provide a written response to the vendor within a reasonable time. If the AOC requires additional time to review the protest and is not able to provide a response within ten (10) business days, the AOC will notify the vendor. If the protesting party elects to appeal the decision, the protesting party will follow the appeals process outlined below. The AOC, at its sole discretion, may elect to withhold the contract award until the protest is resolved or denied or proceed with the award and implementation of the agreement.

7. Appeals Process.

The Contracting Officer's decision shall be considered the final action by the AOC unless the protesting party thereafter seeks an appeal of the decision by filing a request for appeal with the AOC's Business Services Manager, at the same address set forth under Submission of Proposal on the RFP cover memo, within five (5) calendar days of the issuance of the Contracting Officer's decision.

The justification for appeal is specifically limited to:

- a. Facts and/or information related to the protest, as previously submitted, that were not available at the time the protest was originally submitted;
- b. Contracting Officer's decision contained errors of fact, and that such errors of fact were significant and material factors in the Contracting Officer's decision; or
- c. Decision of the Contracting Officer was in error of law or regulation.

The vendor's request for appeal shall include:

- a. Name, vendor, physical and electronic addresses, and telephone and facsimile numbers of the vendor filing the appeal or their representative;
- b. Copy of the Contracting Officer's decision;
- c. Legal and factual basis for the appeal; and
- d. Ruling or relief requested. Issues that could have been raised earlier will not be considered on appeal.

Upon receipt of a request for appeal, the AOC's Business Services Manager will review the request and the decision of the Contracting Officer and shall issue a final determination. The decision of the AOC's Business Services Manager shall constitute the final action of the AOC.

8. Protest Remedies.

If the protest is upheld, the AOC will consider all circumstances surrounding the procurement in its decision for a fair and reasonable remedy, including the seriousness of the procurement deficiency, the degree of prejudice to the protesting party or to the integrity of the competitive procurement system, the good faith efforts of the parties, the extent of performance, the cost to the AOC, the urgency of the procurement, and the impact of the recommendation(s) on the AOC. The AOC may recommend any combination of the following remedies:

- a. Terminate the contract for convenience;
- b. Re-solicit the requirement;
- c. Issue a new solicitation;
- d. Refrain from exercising options to extend the term under the contract, if applicable;
- e. Award a contract consistent with statute or regulation; or
- f. Other such remedies as may be required to promote compliance.

**K. DISPOSITION OF MATERIALS**

1. All materials submitted in response to this solicitation document will become the property of the State of California and will be returned only at the AOC's option and at the expense of the vendor submitting the proposal. One copy of a submitted proposal will be retained for official files and become a public record. Any material that a vendor considers as confidential but does not meet the disclosure exemption requirements of the California Public Records Act should not be included in the vendor's proposal as it may be made available to the public.

**L. PAYMENT**

1. Payment terms will be specified in any agreement that may ensue as a result of this solicitation document.
2. THE STATE DOES NOT MAKE ANY ADVANCE PAYMENT FOR SERVICES. Payment is normally made based upon completion of tasks as provide in the agreement between the AOC and the selected vendor. The AOC may withhold ten percent of each invoice until receipt and acceptance of the final product. The amount of the withhold may depend upon the length of the project and the payment schedule provide in the agreement between the AOC and the selected vendor.

**M. AWARD AND EXECUTION OF AGREEMENT**

1. Award of contract, if made, will be in accordance with the solicitation document to a responsible vendor submitting a proposal compliant with all the requirements of the solicitation document and any addenda thereto, except for such immaterial defects as may be waived by the AOC.
2. The AOC reserves the right to determine the suitability of proposals for contracts on the basis of a proposal's meeting administrative requirements, technical requirements, its assessment of the quality of service and performance of items proposed, and cost.
3. The AOC will make a reasonable effort to execute any contract based on this solicitation document within *forty-five (45) days* of selecting a proposal that best meets its requirements. However, exceptions taken by a vendor may delay execution of a contract.
4. A vendor submitting a proposal must be prepared to use a standard state contract form rather than its own contract form.
5. Upon award of the agreement, the agreement shall be signed by the vendor(s) in two original contract counterparts and returned, along with the required attachments, to the AOC no later than ten (10) calendar days of receipt of agreement form or prior to end of June if award is at fiscal year-end. The period for execution may be changed by mutual agreement of the parties. Agreements are not effective until executed by both parties and approved by the appropriate AOC officials. Any work performed prior to receipt of a fully executed agreement shall be at vendor(s)' own risk.



**N. FAILURE TO EXECUTE THE AGREEMENT**

1. Failure to execute the agreement within the time frame identified above shall be sufficient cause for voiding the award. Failure to comply with other requirements within the set time shall constitute failure to execute the agreement. If the successful vendor(s) refuse or fail to execute the agreement, the AOC may award the agreement to the next qualified vendor(s).

**O. DECISION**

1. Questions regarding the AOC's award of any business on the basis of proposals submitted in response to this solicitation document, or on any related matter, should be addressed to Solicitations Mailbox, set forth on the RFP cover memo.

**P. NEWS RELEASES**

1. News releases pertaining to the award of a contract may not be made without prior written approval of the AOC's Business Services Manager.

## **ATTACHMENT 2 CONTRACT TERMS**

### **EXHIBIT A - STANDARD PROVISIONS**

#### **1. INDEMNIFICATION**

The Contractor shall indemnify, defend (with counsel satisfactory to the State), and save harmless the State and its officers, agents, and employees from any and all claims and losses accruing or resulting to any and all other contractors, Subcontractors, suppliers, and laborers, and any other person, firm, or corporation furnishing or supplying Work, Materials, Data, or services in connection with the performance of this Agreement, and from any and all claims and losses accruing or resulting to any person, firm, or corporation who may be injured or damaged by the Contractor or its agents or employees in the performance of this Agreement.

#### **2. RELATIONSHIP OF PARTIES**

The Contractor and the agents and employees of the Contractor, in the performance of this Agreement, shall act in an independent capacity and not as officers or employees or agents of the State of California.

#### **3. TERMINATION FOR CAUSE**

- A. Pursuant to this provision, the State may terminate this Agreement in whole or in part under any one of the following circumstances, by issuing a written Notice of termination for default to the Contractor:
- i. If the Contractor (a) fails to perform the services within the time specified herein or any extension thereof, (b) fails to perform any requirements of this Agreement, or (c) so fails to make progress as to endanger performance of this Agreement in accordance with its terms, and, after receipt of a written Notice from the State specifying failure due to any of the preceding three (3) circumstances, the Contractor does not cure such failure within a period of five (5) business days or a longer period, if authorized in the Notice of failure; or,
  - ii. If the Contractor should cease conducting business in the normal course, become insolvent or bankrupt, make a general assignment for the benefit of creditors, admit in writing its inability to pay its debts as they mature, suffer or permit the appointment of the receiver for its business or assets, merge with or be purchased by another entity, or avail itself of or become subject for a period of thirty (30) Days to any proceeding under any statute of any State authority relating to insolvency or protection from the rights of creditors.

- B. In the event the State terminates this Agreement in whole or in part, due to the Contractor's failure to perform, the State may procure, upon such terms and in such manner as it may deem appropriate, supplies or services similar to those so terminated, and the Contractor shall be liable to the State for any excess costs for such similar supplies or services, subject to the limitations contained elsewhere herein; further, the Contractor shall continue the performance of this Agreement to the extent not terminated under this provision.
- C. The Contractor shall not be liable for any excess costs if the failure to perform the Agreement arises out of acts of Force Majeure; but in every case the failure to perform must be beyond the control and without the fault or negligence of the Contractor.
- D. If, after Notice of termination for default of this Agreement, it is determined for any reason that the Contractor was not in default under this provision, or that the default was excusable under this provision, the obligations of the State shall be to pay only for the services rendered at the rates set forth in the Agreement.
- E. The rights and remedies of either party provided in this provision shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Agreement.

**4. NO ASSIGNMENT**

Without the written consent of the State, the Contractor shall not assign this Agreement in whole or in part.

**5. TIME OF ESSENCE**

Time is of the essence in this Agreement.

**6. VALIDITY OF ALTERATIONS**

Alteration or variation of the terms of this Agreement shall not be valid unless made in writing and signed by the parties, and an oral understanding or agreement that is not incorporated shall not be binding on any of the parties.

**7. CONSIDERATION**

The consideration to be paid to the Contractor under this Agreement shall be compensation for all the Contractor's expenses incurred in the performance of this Agreement, including travel and per diem, unless otherwise expressly provided.

## **ATTACHMENT 2 CONTRACT TERMS**

### **EXHIBIT B - SPECIAL PROVISIONS**

#### **1. DEFINITIONS**

Terms defined below and elsewhere throughout the Contract Documents shall apply to the Agreement as defined.

- A. "Acceptance" means the written acceptance issued to the Contractor by the State after the Contractor has completed a Deliverable or other Contract requirement, in compliance with the Contract Documents, including without limitation, Attachment 2 Contract Terms, Exhibit D - Work to be Performed, and Attachment 2 Contract Terms, Exhibit E - Acceptance of the Work and Sign-off Form.
- B. "Administrative Director" refers to that individual or authorized designee, empowered by the State to make final and binding executive decisions on behalf of the State.
- C. "Amendment" means a written document issued by the State and signed by the Contractor which alters the Contract Documents and identifies the following: (i) a change in the Work (ii) a change in Contract Amount; (iii) a change in time allotted for performance; and/or an adjustment to the Agreement terms.
- D. "Confidential Information" means trade secrets, financial, statistical, personnel, technical, and other Data and information relating to the State's business or the business of its constituents. Confidential Information does not include: (i) information that is already known by the receiving party, free of obligation of confidentiality to the disclosing party; (ii) information that becomes generally available to the public, other than as a result of disclosure by the receiving party in breach of this Agreement; (iii) information that is independently developed by the receiving party without reference to the Confidential Information; and (iv) information that the receiving party rightfully obtains from a Third Party free of the obligation of confidentiality to the disclosing party.
- E. The "Contract" or "Contract Documents" constitute the entire integrated agreement between the State and the Contractor, as attached to and incorporated by a fully executed State Standard Agreement form. The terms "Contract" or "Contract Documents" may be used interchangeably with the term "Agreement."
- F. "Contract Amount" means the total amount encumbered under this Agreement for any payment by the State to the Contractor for performance of the Work, in accordance with the Contract Documents.
- G. The "Contractor" means the individual, association, partnership, firm, company, consultant, corporation, affiliates, or combination thereof, including joint ventures,

contracting with the State to do the Contract Work. The Contractor is one of the parties to this Agreement.

- H. “Court(s)” means one or more of the variety of Courts in the California Court system, including criminal, civil, family, domestic violence and probate Courts, where elders or their caregivers come to seek the Court’s protection through restraining orders or conservatorships.
- I. “Data” means all types of raw data, articles, papers, charts, records, reports, studies, research, memoranda, computation sheets, questionnaires, surveys, and other documentation.
- J. “Day” means calendar day, unless otherwise specified.
- K. “Deliverable(s)” or “Submittal(s)” means one or more items, if specified in the Contract Documents, that the Contractor shall complete and deliver or submit to the State for acceptance.
- L. “Force Majeure” means a delay which impacts the timely performance of Work which neither the Contractor nor the State are liable for because such delay or failure to perform was unforeseeable and beyond the control of the party. Acts of Force Majeure include, but are not limited to:
  - i. Acts of God or the public enemy;
  - ii. Acts or omissions of any government entity;
  - iii. Fire or other casualty for which a party is not responsible;
  - iv. Quarantine or epidemic;
  - v. Strike or defensive lockout; and,
  - vi. Unusually severe weather conditions.
- M. “Key Personnel” refers to the Contractor’s personnel identified in the resume set forth in Exhibit TBD - Contractor’s Key Personnel, whom the State has identified and approved to perform the Work of the Contract.
- N. “Material” means all types of tangible personal property, including but not limited to goods, supplies, equipment, commodities, and information and telecommunication technology.
- O. “Notice” means a written document initiated by the authorized representative of either party to this Agreement and given by:
  - i. Depositing in the U. S. Mail (or approved commercial express carrier) prepaid to the address of the appropriate authorized representative of the other party, which shall be effective upon date of receipt; or
  - ii. Hand-delivered to the other party’s authorized representative, which shall be effective on the date of service.

- P. "Project" refers to all activity relative to this Agreement including activity of the Contractor, its Subcontractors, the State and the State's representatives.
- Q. The "State" refers to the Judicial Council of California / Administrative Office of the Courts ("AOC"). The State is one of the parties to this Agreement.
- R. "State Standard Agreement" means the form used by the State to enter into agreements with other parties. Several originally signed, fully executed versions of the State Standard Agreement, together with the integrated Contract Documents, shall each represent the Agreement as an individual "Contract Counterpart."
- S. "Stop Work Order" means the written Notice, delivered in accordance with this Agreement, by which the State may require the Contractor to stop all, or any part, of the Work of this Agreement, for the period set forth in the Stop Work Order. The Stop Work Order shall be specifically identified as such and shall indicate that it is issued pursuant to the Stop Work provision in this Attachment 2 Contract Terms, Exhibit B - Special Provisions.
- T. "Subcontractor" shall mean an individual, firm, partnership, or corporation having a contract, purchase order, or agreement with the Contractor, or with any Subcontractor of any tier for the performance of any part of the Agreement. When the State refers to Subcontractor(s) in this document, for purposes of this Agreement and unless otherwise expressly stated, the term "Subcontractor" includes, at every level and/or tier, all subcontractors, sub-consultants, suppliers, and materialmen.
- U. "Task(s)" means one or more functions, if specified in the Contract Documents, to be performed by the Contractor for the State.
- V. "Third Party" refers to any individual, association, partnership, firm, company, corporation, consultant, Subcontractor, or combination thereof, including joint ventures, other than the State or the Contractor, which is not a party to this Agreement.
- W. "To Be Determined" or "TBD" is the item that is not yet identified. Any and all To Be Determined items, set forth herein, shall be determined prior to award or by mutual agreement between the Contractor and the State and incorporated into the Agreement via Amendment(s).
- X. "Work" or "Work to be Performed" or "Contract Work" may be used interchangeably to refer to the service, labor, Materials, Data, and other items necessary for the execution, completion and fulfillment of the Agreement by the Contractor to the satisfaction of the State. Work may be defined to include Tasks, Deliverables, and/or Submittals, as required by the Contract.

**2. MANNER OF PERFORMANCE OF WORK**

The Contractor shall complete all Work specified in these Contract Documents to the State's satisfaction and in compliance with the Nondiscrimination/No Harassment Clause, as set forth in this Attachment 2 Contract Terms, Exhibit B - Special Provisions.

**3. TERMINATION OTHER THAN FOR CAUSE**

- A. In addition to termination for cause under Attachment 2 Contract Terms, Exhibit A – Standard Provisions, paragraph 3, the State may terminate this Agreement at any time upon providing the Contractor written Notice at least ten (10) days before the effective date of termination. Upon receipt of the termination Notice, the Contractor shall promptly discontinue all services affected unless the Notice specifies otherwise.
- B. If the State terminates all or a portion of this Agreement other than for cause, the State shall pay the Contractor for the fair value of satisfactory services rendered before the termination, not to exceed the total Contract Amount.

**4. STATE'S OBLIGATION SUBJECT TO AVAILABILITY OF FUNDS**

- A. The State's obligation under this Agreement is subject to the availability of authorized funds. The State may terminate the Agreement or any part of the Contract Work, without prejudice to any right or remedy of the State, for lack of appropriation of funds. If expected or actual funding is withdrawn, reduced or limited in any way prior to the expiration date set forth in this Agreement, or in any Amendment hereto, the State may terminate this Agreement in whole or in part, upon written Notice to the Contractor. Such termination shall be in addition to the State's rights to terminate for convenience or default.
- B. Payment shall not exceed the amount allowable for appropriation by Legislature. If the Agreement is terminated for non-appropriation:
  - i. The State will be liable only for payment in accordance with the terms of this Agreement for services rendered prior to the effective date of termination; and
  - ii. The Contractor shall be released from any obligation to provide further services pursuant to the Agreement as are affected by the termination.
- C. Funding for this Agreement beyond the current appropriation year is conditional upon appropriation by the Legislature of sufficient funds to support the activities described in this Agreement. Should such an appropriation not be approved, the Agreement may terminate at the close of the current appropriation year. The appropriation year ends on June 30 of each year.

**5. STOP WORK**

- A. The State may, at any time, by written Notice to the Contractor, require the Contractor to stop all, or any part, of the Work of this Agreement, for a period up to ninety (90) Days after the Notice is delivered to the Contractor, and for any further period to which the parties may agree. The Stop Work Order shall be specifically identified as such and shall indicate it is issued under this provision. Upon receipt of the Stop Work Order, the Contractor shall immediately comply with its terms and take all reasonable steps to minimize the incurrence of costs allocable to the Work covered by the Stop Work Order during the period of Work stoppage. Within a period of ninety (90) Days after a Stop Work Order is delivered to the Contractor, or within any extension of that period to which the parties shall have agreed, the State shall either:
- i. Cancel the Stop Work Order; or
  - ii. Terminate the Work covered by the Stop Work Order as provided for in either of the termination provisions of this Agreement.
- B. If a Stop Work Order issued under this provision is canceled or the period of the Stop Work Order or any extension thereof expires, the Contractor shall resume Work. The State shall make an equitable adjustment in the delivery schedule, the Contract Amount, or both, and the Agreement shall be modified, in writing, accordingly, if:
- i. The Stop Work Order results in an increase in the time required for, or in the Contractor's cost properly allocable to the performance of any part of this Agreement; and
  - ii. The Contractor asserts its right to an equitable adjustment within thirty (30) Days after the end of the period of Work stoppage; however, if the State decides the facts justify the action, the State may receive and act upon a proposal submitted at any time before final payment under this Agreement.
- C. If a Stop Work Order is not canceled and the Work covered by the Stop Work Order is terminated in accordance with the Termination Other Than For Cause provision or the State's Obligation Subject to Availability of Funds provision, as set forth under this Attachment 2 Contract Terms, Exhibit B - Special Provisions, the State shall allow reasonable costs resulting from the Stop Work Order in arriving at the termination settlement.
- D. The State shall not be liable to the Contractor for loss of profits because of the Stop Work Order issued under this provision.

**6. AGREEMENT ADMINISTRATION/COMMUNICATION**

- A. Under this Agreement, the Project Manager, shall monitor and evaluate the Contractor's performance. All requests and communications about the Work to be Performed under this Agreement shall be made through the Project Manager. Any Notice from the



Contractor to the State shall be in writing and shall be delivered the Project Manager as follows:

TBD, Project Manager

Judicial Council of California

Administrative Office of the Courts  
455 Golden Gate Avenue  
San Francisco, CA 94102-3688

B. Notice to the Contractor shall be directed in writing to: TBD

## 7. ACCEPTANCE OF THE WORK

- A. The Project Manager shall be responsible for the sign-off Acceptance of all the Work required and submitted pursuant to this Agreement. Prior to approval of the Work and prior to approval for payment, the Project Manager will apply the Acceptance Criteria set forth in subparagraph B of this provision, as appropriate, to determine the acceptability of the Work provided by the Contractor. Unsatisfactory ratings will be resolved as set forth in this provision.
- B. Acceptance Criteria for Work (“Criteria”) provided by the Contractor pursuant to this Agreement:
- i. Timeliness: The Work was delivered on time;
  - ii. Completeness: The Work contained the Data, Materials, and features required in the Contract; and
  - iii. Technical accuracy: The Work is accurate as measured against commonly accepted standard (for instance, a statistical formula, an industry standard, or de facto marketplace standard).
- C. The Contractor shall provide the Work to the State, in accordance with direction from the Project Manager. The State shall accept the Work, provided the Contractor has delivered the Work in accordance with the Criteria. The Project Manager shall use the Acceptance and Signoff Form, provided as Attachment 2 Contract Terms, Exhibit E - Acceptance and Sign-off Form to this Agreement, to notify the Contractor of the Work’s acceptability.
- D. If the State rejects the Work provided, the Project Manager shall submit to the Contractor a written rejection using Attachment 2 Contract Terms, Exhibit E - Acceptance and Sign-off Form, describing in detail the failure of the Work as measured against the Criteria. If the State rejects the Work, then the Contractor shall have a period of ten (10) business days from receipt of the Notice of rejection to correct the stated failure(s) to conform to the Criteria.

- E. If the Project Manager requests further change, the Contractor shall meet with the Project Manager, within three (3) business days of such request, to discuss changes for the final submission of the Work. The Contractor shall provide the Work within three (3) business days after this meeting, at which time the Work will be accepted or the question of its acceptability referred to the Administrative Director of the AOC and a principal of the Contractor, as set forth in subparagraph F below.
- F. If agreement cannot be reached between the Project Manager and the Contractor on the Work's acceptability, a principal of the Contractor and the Administrative Director of the AOC, or its designee, shall meet to discuss the problem. If agreement cannot be reached, in the reasonable judgment of the Administrative Director of the AOC, or its designee, and/or the Contractor fails to cure such deficiencies that are perceived in the Work to the reasonable satisfaction of the Administrative Director, or its designee, in the reasonable time established by the Administrative Director, the State may reject the Work and will notify the Contractor in writing of such action and the reason(s) for so doing. Upon rejection of the Work, the State may terminate this Agreement pursuant to the terms of Standard Provisions paragraph 3, as set forth in Attachment 2 Contract Terms, Exhibit A - Standard Provisions.

**8. CONTRACTOR'S PERSONNEL AND REPLACEMENT OF PERSONNEL**

- A. Contractor's personnel will have the ability and authority to make decisions commensurate with his or her role and level of responsibility regarding the Work of this Agreement. The responsibilities of the Contractor's Key Personnel are set forth in Attachment 2 Contract Terms, Exhibit D - Work to be Performed.
- B. The State has the right to review resumes and interview the Contractor's proposed personnel prior to commencement of the Work of this Agreement. If, in the State's reasonable opinion, any of the proposed personnel is unsatisfactory or does not meet the State's requirements, the Contractor shall submit a different candidate for consideration.
- C. The individuals assigned as Key Personnel at the time of agreement, with qualifications supported by their resumes, are included in Exhibit TBD - Contractor's Key Personnel. Any revision to the individuals identified as Key Personnel must be approved in writing by the Project Manager.
- D. The State reserves the right to disapprove the continuing assignment of any of the Contractor's personnel provided to the State under this Agreement if in the State's opinion, the performance of the Contractor's personnel is unsatisfactory. The State agrees to provide Notice to the Contractor in the event it makes such a determination. If the State exercises this right, the Contractor shall immediately assign replacement personnel, possessing equivalent or greater experience and skills.
- E. If any of the Contractor's personnel become unavailable during the term of this Agreement, the Contractor shall immediately assign replacement personnel, possessing equivalent or greater experience and skills.
- F. If any of the Contractor's personnel become unavailable or are disapproved and the Contractor cannot furnish a replacement acceptable to the State, the State may terminate

this Agreement for cause pursuant to Attachment 2 Contract Terms, Exhibit A - Standard Provisions, paragraph 3.

**9. ASSIGNMENTS OR SUBCONTRACTING**

- A. This Agreement is based upon the unique expertise of the Contractor. Therefore, in addition to the prohibition against assignment under Attachment 2 Contract Terms, Exhibit A - Standard Provisions, paragraph 4, it is the policy of the State to withhold consent from proposed assignments, subcontracts, or novations when such transfer of responsibility would operate to decrease the State's likelihood of receiving performance under this Agreement. No performance of this Agreement or any portion thereof may be assigned or subcontracted by the Contractor without the express written consent of the State, and any attempt by the Contractor to assign or subcontract any performance of this Agreement without the express written consent of the State shall be void and shall constitute a breach of this Agreement. If the Contractor is authorized by the State to subcontract or assign, all the terms of this Agreement shall be included in such subcontract or assignment.
- B. Any substitution or prolonged absence of the personnel who were specifically identified in the original proposal, as accepted, must be approved. Failure to obtain acceptance shall constitute a major breach of this Agreement.

**10. EVALUATION OF CONTRACTOR**

The State shall evaluate the Contractor's performance under the Agreement.

**11. CONFIDENTIALITY**

- A. Both the State and the Contractor acknowledge and agree that in the course of performing the Work under this Agreement, the State may disclose Confidential Information to the Contractor.
- B. The Contractor agrees not to disclose the Confidential Information to any Third Party and to treat it with the same degree of care as it would its own confidential information. It is understood, however, that the Contractor may disclose the State's Confidential Information on a "need to know" basis to the Contractor's employees and Subcontractors and, as directed by the Project Manager, representatives of the State that are working on the Project. All such employees and Subcontractors of the Contractor shall have executed a confidentiality agreement with the Contractor requiring a promise of confidentiality concerning the Contractor's clients and business.
- C. The Contractor shall acquire no right or title to the Confidential Information. The Contractor agrees not to use the Confidential Information for any purpose except as contemplated pursuant to this Agreement. Notwithstanding the foregoing, the Contractor may disclose the Confidential Information (i) to the extent necessary to comply with any

law, rule, regulation or ruling applicable to it; (ii) as appropriate to respond to any summons or subpoena applicable to it; or (iii) to the extent necessary to enforce its rights under this Agreement.

## **12. SERVICES WARRANTY**

The Contractor warrants and represents that each of its employees, independent contractors or agents assigned to perform any services or provide any technical assistance in planning, development, training, consulting or related services under the terms of this Agreement shall have the skills, training, and background reasonably commensurate with his or her level of performance or responsibility, so as to be able to perform in a competent and professional manner. The Contractor further warrants that the services provided hereunder will conform to the requirements of this Agreement. All warranties, including any special warranties specified elsewhere herein, shall inure to the State, its successors, assigns, customer agencies, and any other recipients of the services provided hereunder.

## **13. CHANGES AND AMENDMENTS**

Changes or Amendments to any component of the Contract Documents can be made only with prior written approval from the Project Manager. Requests for changes or Amendments must be

submitted in writing and must be accompanied by a narrative description of the proposed change and the reasons for the change. Additional funds may not be encumbered under the Agreement due to an act of Force Majeure, although the performance period of the Agreement may be amended due to an act of Force Majeure. After the Project Manager reviews the request, a written decision shall be provided to the Contractor. Amendments to the Agreement shall be authorized via bilateral execution of a State Standard Agreement.

## **14. ACCOUNTING SYSTEM REQUIREMENT**

The Contractor shall maintain an adequate system of accounting and internal controls that meets Generally Accepted Accounting Principles or GAAP.

## **15. RETENTION OF RECORDS**

The Contractor shall maintain all financial Data, supporting documents, and all other records relating to performance and billing under this Agreement for a period in accordance with State and Federal law, a minimum retention period being no less than four (4) years. The retention period starts from the date of the submission of the final payment request. The Contractor is also obligated to protect Data adequately against fire or other damage.

## 16. AUDIT

The Contractor shall permit the authorized representative of the State or its designee or both at any reasonable time to inspect or audit all Data relating to performance and billing to the State under this Agreement. The Contractor further agrees to maintain such Data for a period of four (4) years after final payment under this Agreement.

## 17. COPYRIGHTS AND RIGHTS IN DATA

All copyrights and rights in the Data produced with funding from this Agreement that may presumptively vest in the Contractor shall be transferred to the State.

## 18. OWNERSHIP OF RESULTS

- A. Any interest of the Contractor in Data in any form, or other documents and/or recordings prepared by the Contractor for performance of services under this Agreement shall become the property of the State. Upon the State's written request, the Contractor shall provide the State with all this Data within thirty (30) Days of the request.
- B. The Contractor agrees not to assert any rights at common law, or in equity, or establish any claim to statutory copyright in such Data. The Contractor shall not publish or reproduce such Data in whole, or part, or any manner or form, or authorize others to do so without the written consent of the State.

## 19. TRADE SECRET, PATENT AND COPYRIGHT INDEMNIFICATION

- A. The Contractor shall hold the State, its officers, agents, and employees harmless from liability of any nature or kind, including costs and expenses, for infringement or use of any copyrighted or un-copyrighted composition, secret process, patented or un-patented invention, article, or appliance furnished or used in connection with the Agreement.
- B. The Contractor may be required to furnish a bond to the State against any and all loss, damage, costs, expenses, claims, and liability for patent, copyright, and trade secret infringement.
- C. Should the Data, Materials, or the operation thereof, become, or in the Contractor's opinion are likely to become, the subject of a claim of infringement of a United States patent or copyright or a trade secret, the State shall permit the Contractor at its option and expense either to procure for the State the right to continue using the Data or Materials, or to replace or modify the same so that they become non-infringing. If none of these options can reasonably be taken, or if the use of such Data or Materials by the State shall be prevented by injunction, the Contractor agrees to take back such Data or Materials and make every reasonable effort to assist the State in procuring substitute Data or Materials. If, in the sole option of the State, the return of such infringing Data or Materials makes the retention of other Data or Materials acquired from the Contractor under this Agreement

impractical, the State shall then have the option of terminating such contracts, or applicable portions thereof, without penalty or termination charge. The Contractor agrees to take back such Data or Materials and refund any sums that the State has paid the Contractor less any reasonable amount for use or damage.

- D. The Contractor shall have no liability to the State under any provision of this clause with respect to any claim of patent, copyright, or trade secret infringement which is based upon the following:
  - i. The combination or utilization of Data and/or Materials furnished hereunder with equipment or devices not made or furnished by the Contractor; or,
  - ii. The operation of equipment furnished by the Contractor under the control of any operating software other than, or in addition to, the current version of Contractor-supplied operating software; or,
  - iii. The modification by the State of the equipment furnished hereunder or of the software; or,
  - iv. The combination or utilization of software furnished hereunder with non-Contractor supplied software.
- E. The Contractor certifies that it has appropriate systems and controls in place to ensure that State funds will not be used in the performance of this Agreement for the acquisition, operation, or maintenance of computer software in violation of copyright laws.
- F. The foregoing states the entire liability of the Contractor to the State with respect to infringement of patents, copyrights, or trade secrets.

**20. PROTECTION OF PROPRIETARY SOFTWARE AND OTHER PROPRIETARY DATA**

- A. The State agrees that all Data and Materials appropriately marked or identified in writing as proprietary, and furnished hereunder, are provided for the State's exclusive use for the purposes of this Agreement only. All such proprietary Data and software shall remain the property of the Contractor. The State agrees to take all reasonable steps to insure that such proprietary Data are not disclosed to others, without prior written consent of the Contractor.
- B. The State will use reasonable efforts to insure, prior to disposing of any media, that any licensed Data and Materials contained thereon have been erased or otherwise destroyed.
- C. The State agrees that it will take appropriate action by instruction, agreement, or otherwise, with its employees, or other persons permitted access to licensed software and other proprietary Data, to satisfy its obligations under this Agreement with respect to use, copying, modification, protection, and security of proprietary software and other proprietary Data.

**21. OWNERSHIP OF INTELLECTUAL PROPERTY, ETC.**

- A. Unless the Contractor and the State reach a written agreement to the contrary, the Contractor agrees for itself and its personnel that pursuant to the State's requirement (i) all documents, deliverables, software, systems designs, disks, tapes, and any other Data or Materials created in whole or in part by the Contractor in the course of or related to providing services to the State shall be treated as if it were "work for hire" for the State, and (ii) the Contractor will immediately disclose to the State all discoveries, inventions, enhancements, improvements, and similar creations (collectively, "Creations") made, in whole or in part, by the Contractor in the course of or related to providing services to the State.
- B. All ownership and control of the above Data, Materials, and Creations, including any copyright, patent rights, and all other intellectual property rights therein, shall vest exclusively with the State, and the Contractor hereby assigns all right, title, and interest that the Contractor may have in such Data, Materials, and Creations to the State, without any additional compensation and free of all liens and encumbrances of any type. The Contractor affirms that the amount encumbered under this Agreement for the Work performed includes payment for assigning such rights to the State. The Contractor agrees to execute any documents required by the State to register its rights and to implement the provisions herein.

**22. LIMITATION ON PUBLICATION**

The Contractor shall not, without prior written consent of the State, directly or indirectly, make use of advertising or publicity containing any reference to the State or any of its employees.

**23. LIMITATION ON STATE'S LIABILITY**

The State shall not be responsible for loss of or damage to any non-State equipment arising from causes beyond the State's control.

**24. INSURANCE REQUIREMENTS**

- A. General. The Contractor shall obtain and maintain the minimum insurance set forth in subparagraph B, below. By requiring such minimum insurance, the State shall not be deemed or construed to have assessed the risks that may be applicable to the Contractor under this Agreement. The Contractor shall assess its own risks and if it deems appropriate and/or prudent, maintain greater limits and/or broader coverage. For full coverage, each insurance policy shall be written on an "occurrence" form; excepting that insurance for professional liability, when required, may be acceptable on a "claims made" form. If coverage is approved and purchased on a "claims made" basis, the Contractor warrants continuation of coverage, either through policy renewals or the purchase of an extended discovery period, if such extended coverage is available, for not less than three (3) years from the date of completion of the Work which is the subject of this Agreement.

- B. Minimum Scope and Limits of Insurance. The Contractor shall maintain coverage and limits no less than the following:
- i. In the event Contractor has employees: Workers' Compensation at statutory requirements of the State of residency.
  - ii. In the event Contractor has employees: Employers' Liability with limits not less than \$500,000.00 for each accident.
  - iii. Commercial General Liability Insurance with limits not less than \$500,000.00 for each occurrence, Combined Single Limit Bodily Injury and Property Damage.
  - iv. Business Automobile Liability Insurance with limits not less than \$500,000.00 for each occurrence, Combined Single Limit Bodily Injury and Property Damage, including owned and non-owned and hired automobile coverage, as applicable.
- C. Deductibles and Self-Insured Retentions. Any deductibles or self-insured retentions must be declared to, and approved by, the State. The deductible and/or self-insured retention of the policies shall not limit or apply to the Contractor's liability to the State and shall be the sole responsibility of the Contractor.
- D. Other Insurance Provisions. The General Liability policy required in this Agreement is to contain, or be endorsed to contain, the following provisions:
- i. The State, its officers, officials, employees and agents are to be covered as additional insureds as respects liability arising out of activities performed by or on behalf of the Contractor in connection with this Agreement.
  - ii. To the extent of the Contractor's negligence, the Contractor's insurance coverage shall be primary insurance as respects the State, its officers, officials, employees and agents. Any insurance and/or self-insurance maintained by the State, its officers, officials, employees or agents shall not contribute with the insurance or benefit the Contractor in any way.
  - iii. The Contractor's insurance shall apply separately to each insured against whom a claim is made and/or lawsuit is brought, except with respect to the limits of the insurer's liability.
- E. The Contractor shall provide the State certificates of insurance satisfactory to the State evidencing all required coverages before Contractor begins any Work under this Agreement, and complete copies of each policy upon the State's request.
- F. If at any time the foregoing policies shall be or become unsatisfactory to the State, as to form or substance, or if a company issuing any such policy shall be or become unsatisfactory to the State, the Contractor shall, upon Notice to that effect from the State,



promptly obtain a new policy, and shall submit the same to the State, with the appropriate certificates and endorsements, for approval.

- G. All of the Contractor's policies shall be endorsed to provide advanced written Notice to the State of cancellation, nonrenewal, and reduction in coverage, within fifteen (15) Days, mailed to the following address: Judicial Council, Administrative Office of the Courts, Business Services Manager, 455 Golden Gate Avenue, 7<sup>th</sup> Floor, San Francisco, CA 94102-3688.

## **25. PROHIBITED PROPOSALS CONCERNING END PRODUCT OF THIS AGREEMENT**

No person, firm, or subsidiary thereof, which has been awarded a consulting services agreement may submit a proposal for, nor be awarded an agreement for, the provision of services, procurement of Materials or Data, or any other related action which is required, suggested, or otherwise deemed appropriate in the end product of this Agreement. This provision shall not apply to any person, firm, or subsidiary thereof, which is awarded a subcontract to this Agreement in amounts no more than ten percent (10%) of the total monetary value of this Agreement.

## **26. CONFLICT OF INTEREST**

- A. The Contractor and employees of the Contractor shall not participate in proceedings that involve the use of State funds or that are sponsored by the State if the person's partner, family, or organization has a financial interest in the outcome of the proceedings. The Contractor and employees of the Contractor shall also avoid actions resulting in or creating the appearance of (i) use of an official position with the government for private gain; (ii) preferential treatment to any particular person associated with this Agreement or the Work of this Agreement; (iii) loss of independence or impartiality; (iv) a decision made outside official channels; or (v) adverse effects on the confidence of the public in the integrity of the government or this Agreement.

- B. The Contractor certifies and shall require any Subcontractor to certify to the following:

Former State employees will not be awarded a contract for two (2) years from the date of separation if that employee had any part of the decision making process relevant to the contract, or for one (1) year from the date of separation if that employee was in a policy making position in the same general subject area as the proposed contract within the twelve (12) month period of his or her separation from state service.

## **27. COVENANT AGAINST GRATUITIES**

The Contractor warrants by signing this Agreement that no gratuities, in the form of entertainment, gifts, or otherwise, were offered by the Contractor or any agent, director, or representative of the Contractor, to any officer, official, agent, or employee of the State with a view toward securing the Contract or securing favorable treatment with respect to any determinations concerning the performance of the Contract. For breach or violation of this warranty, the State will have the right to terminate the Contract, either in whole or in part, and any loss or damage sustained by the State in procuring, on the open market, any items which the Contractor agreed to supply, shall be borne

and paid for by the Contractor. The rights and remedies of the State provided in this provision shall not be exclusive and are in addition to any other rights and remedies provided by law or under the Contract.

**28. NATIONAL LABOR RELATIONS BOARD**

By executing this Agreement, the Contractor certifies under penalty of perjury under the laws of the State of California that no more than one (1) final, unappealable finding of contempt of court by a federal Court has been issued against the Contractor within the immediately preceding two (2) year period because of the Contractor's failure to comply with an order of the National Labor Relations Board.

**29. DRUG-FREE WORKPLACE**

The Contractor certifies that it will provide a drug-free workplace as required by California Government Code, § 8355 through § 8357.

**30. NONDISCRIMINATION/NO HARASSMENT CLAUSE**

- A. During the performance of this Agreement, the Contractor and its Subcontractors shall not unlawfully discriminate against any employee or proposer for employment because of race, religion, color, national origin, ancestry, physical or mental disability, medical condition, marital status, age (over 40), sex, or sexual orientation. The Contractor shall ensure that the evaluation and treatment of employees and proposers for employment are free of such discrimination.
- B. During the performance of this Agreement, the Contractor and its Subcontractors shall not engage in unlawful harassment, including sexual harassment, with respect to any persons with whom the Contractor or its Subcontractors interact in the performance of this Agreement. The Contractor and its Subcontractors shall take all reasonable steps to prevent harassment from occurring.
- C. The Contractor shall comply with applicable provisions of the Fair Employment and Housing Act, California Government Code, §§ 12990 et seq., and the applicable regulations promulgated under California Code of Regulations, title 2, §§ 7285 et seq. The applicable regulations of the Fair Employment and Housing Commission implementing California Government Code, § 12990, set forth in chapter 5 of division 4 of title 2 of the California Code of Regulations, are incorporated into this Agreement by reference and made a part of it as if set forth in full.
- D. The Contractor and any of its Subcontractors shall give written Notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other agreement.
- E. The Contractor shall include the nondiscrimination/no harassment and compliance provisions of this clause in any and all subcontracts issued to perform Work under the Agreement.

**31. AMERICANS WITH DISABILITIES ACT**

By signing this Agreement, Contractor assures the State that it complies with applicable provisions of the Americans with Disabilities Act (“ADA”) of 1990 (42 U.S.C. §§ 012101 et seq.), which prohibits discrimination on the basis of disability, as well as with all applicable regulations and guidelines issued pursuant to the ADA.

**32. PERMITS AND LICENSES**

The Contractor shall observe and comply with all federal, state, city, and county laws, rules, and regulations affecting services under this Agreement. The Contractor shall procure and keep in full force and effect during the term of this Agreement all permits and licenses necessary to accomplish the Work contemplated in this Agreement.

**33. CALIFORNIA LAW**

This Agreement shall be subject to and construed in accordance with the laws of the State of California.

**34. SEVERABILITY**

If any term or provision of this Agreement is found to be illegal or unenforceable, this Agreement shall remain in full force and effect and that term or provision shall be deemed stricken.

**35. WAIVER**

The omission by either party at any time to enforce any default or right, or to require performance of any of this Agreement's terms, covenants, or provisions by the other party at the time designated, shall not be a waiver of the default or right, nor shall it affect the right of the party to enforce those provisions later.

**36. SIGNATURE AUTHORITY**

The parties signing this Agreement certify that they have proper authorization to do so.

**37. SURVIVAL**

The termination or expiration of the Agreement shall not relieve either party of any obligation or liability accrued hereunder prior to or subsequent to such termination or expiration, nor affect or impair the rights of either party arising under the Agreement prior to or subsequent to such termination or expiration, except as expressly provided herein.

**38. ENTIRE AGREEMENT**

This Agreement, consisting of all documents as defined herein, constitutes the entire agreement between the parties with respect to the subject matter hereof and shall supersede all previous

proposals, both oral and written, negotiations, representations, commitments, writing and all other communications between the parties. No waiver, alteration, modification of, or addition to the terms and conditions contained herein shall be binding unless expressly agreed in writing by a duly authorized representative of the State.

**ATTACHMENT 2  
EXHIBIT C - PAYMENT PROVISIONS**

**1. CONTRACT AMOUNT**

- A. The total amount the State may pay to the Contractor under this Agreement for performing the Work set forth in *Attachment 2 Contract Terms, Exhibit D - Work to be Performed*, and allowable expenses, shall be the actual cost not to exceed the Contract Amount of **\$50,000.00**, as set forth in this *Attachment 2*.
- B. The Contractor has estimated the costs and expenses necessary to complete the Work. The State's acceptance of the Contractor's proposal and price does not (i) imply that the State approves of or adopts the Contractor's plan, means, methods, techniques, or procedures required to perform the Work, nor (ii) relieve the Contractor from the sole responsibility for the accuracy of its estimate and timely completion of the Work of this Agreement within the total amount for compensation set forth herein.

**2. COMPENSATION FOR CONTRACT WORK**

- A. For performing the Work of this Agreement, as set forth in *Attachment 2 Contract Terms, Exhibit D - Work to be Performed*, the State shall compensate the Contractor at the rate(s) set forth in Table 1, below, not to exceed the amount per Deliverable nor the due date per Deliverable, as set forth in Table, 2, below.

**Table 1: Contract Hourly Rates for Each of Contractor's Key Personnel and Other Personnel / Job Functions**

<b>1. Key Personnel</b>	<b>Hourly Rate</b>
1.A TBD	TBD
1.B TBD	
1.C TBD	
1.D TBD	
<b>2. Other Personnel / Job Functions</b>	<b>Hourly Rate</b>
2.A TBD	TBD
2.B TBD	
2.C TBD	

**Table 2: Not to Exceed Amount and Due Date per Each Deliverable**

<b>Deliverable(s) per Phase</b>	<b>Estimated Due Date</b>	<b>Not to Exceed Amount</b>
<p>First Deliverable:                      Collection of names and addresses of volunteers for survey, preparation of sample, production and mailing of survey, receipt of responses, telephone follow up completed, and deliverable tasks documented in written form.</p>	<p>August 16, 2007</p>	<p>TBD</p>
<p>Second Deliverable:                      Focus group and interview planning, scheduling, and guidelines completed, and deliverable tasks documented in written form.</p>	<p>September 21, 2007</p>	<p>TBD</p>
<p>Third Deliverable:                      Survey data collected, compiled and entered into database, database checked for accuracy and cleaned, cleaned database provided in electronic form.</p>	<p>October 19, 2007</p>	<p>TBD</p>
<p>Fourth Deliverable:                      Focus groups and interviews conducted according to guidelines, taping and transcribing completed, and tapes, transcripts, and notes provided in paper and electronic form.</p>	<p>November 16, 2007</p>	<p>TBD</p>
<p>Fifth Deliverable:                      Community meetings planned, arranged, held, taped, and transcribed, and tapes and transcriptions provided in paper and electronic form.</p>	<p>January 4, 2008</p>	<p>TBD</p>
<p>Sixth Deliverable:                      Statewide reviewers meeting attended.</p>	<p>January 12, 2008</p>	<p>TBD</p>

- B. Except for the allowable expenses, as further addressed in paragraph 3 of this *Attachment 2 Contract Terms, Exhibit C – Payment Provisions*, the rate(s) set forth in this provision shall be inclusive of all costs, benefits, expenses, fees, overhead, markups, and profits payable to the Contractor for services rendered to the State.
- C. The Contractor shall not charge nor shall the State pay any overtime rate.
- D. The Contractor shall not request nor shall the State consider any reimbursement for non-production work including but not limited to time spent traveling to and from the job site or any living expenses.
- E. The total actual cost which the State may reimburse the Contractor, pursuant to this paragraph, shall not exceed **\$TBD**.

### 3. COMPENSATION FOR ALLOWABLE EXPENSES

- A. The State shall reimburse the Contractor for the following transportation, meals, and lodging expenses.
  - i. The State shall reimburse the Contractor for actual expenses incurred for reasonable and necessary transportation, meals, lodging, and other travel-related expenses required performing the Work of this Agreement.
  - ii. The Contractor shall submit a written travel plan to the Project Manager *prior to incurring any travel expenses*, including the reason for the trip, number of persons traveling, types of expenses the Contractor expects to incur and the estimated costs. Prior approval of the travel plan is required.
  - iii. For necessary air transportation, the State will reimburse the Contractor for the actual cost incurred. All air transportation is limited to coach fares and must be booked a minimum of fourteen (14) days prior to travel, unless the Project Manager agrees otherwise in writing.
  - iv. For overnight travel, in accordance with the California Victim Compensation and Government Claims Board (formerly State Board of Control) guidelines, the State will reimburse the Contractor for meal and lodging expenses in an amount not to exceed **\$150.00** per day, plus sales tax. Meals shall be reimbursed at the actual cost not to exceed the following maximum amounts per person per Day: breakfast~**\$6.00**; lunch~**\$10.00**; dinner~**\$18.00**; and/or incidentals~**\$6.00**. Hotel room rental shall be reimbursed for the actual cost not to exceed **\$110.00** per Day plus tax and/or energy surcharge.
  - v. For necessary private vehicle ground transportation usage, the State will reimburse the Contractor up to **\$0.485** cents per mile.
  - vi. Upon the Project Manager's request, the Contractor shall provide copies of receipts for reimbursement of transportation, lodging, and meal expenses.

- vii. The total actual cost which the State may reimburse the Contractor, pursuant to this provision, shall not exceed **\$TBD**.

#### **4. DIRECT EXPENSES**

All fees and charges noted in this Agreement are inclusive of any and all anticipated travel, lodging, transportation, clerical support, Materials, fees, overhead, profits, and other costs and/or expenses incidental to the performance of the specified requirements under this Agreement.

#### **5. OTHER EXPENSES**

The State shall not consider reimbursement for costs not defined as allowable in this Agreement, including but not limited to any administrative, operating, travel, meals, and lodging expenses incurred during the performance of this Agreement.

#### **6. TAXES**

The State is exempt from federal excise taxes and no payment will be made for any taxes levied on the Contractor's or any Subcontractor's employees' wages. The State will pay for any applicable State of California or local sales or use taxes on the services rendered or equipment or parts supplied pursuant to this Agreement.

#### **7. METHOD OF PAYMENT**

- A. The Contractor shall submit an invoice for Work provided, as set forth in *Attachment 2 - Contract Terms, Exhibit D - Work to be Performed*. In no event shall the Contractor bill the State more often than once during any month. After receipt of invoice, the State will either approve the invoice for payment or give the Contractor specific written reasons why part or all of the payment is being withheld and what remedial actions the Contractor must take to receive the withheld amount.
- B. The State will make payment in arrears after receipt of the Contractor's properly completed invoice. Invoices shall clearly indicate the following:
  - i. The Contract number;
  - ii. An unique invoice number;
  - iii. The Contractor's name and address;
  - iv. The taxpayer identification number;
  - v. A description of the completed Work, including services rendered, Task(s) performed, and/or Deliverable(s) made, as appropriate;
  - vi. The dates and hours worked;
  - vii. The appropriate contractual billing rate(s), including rate(s) for allowable expenses, as set forth herein; and
  - viii. A preferred remittance address, if different from the mailing address.



- C. The Contractor shall submit one (1) original and two (2) copies of invoices to:

Judicial Council of California  
Administrative Office of the Courts  
c/o Finance Division, Accounts Payable  
455 Golden Gate Avenue, 7th Floor  
San Francisco, CA 94102-3688

- D. Please note that invoices or vouchers not on printed bill heads shall be signed by the *Contractor or the person furnishing the supplies or services.*

## **8. DISALLOWANCE**

If the Contractor claims or receives payment from the State for a service or reimbursement that is later disallowed by the State, the Contractor shall promptly refund the disallowed amount to the State upon the State's request. At its option, the State may offset the amount disallowed from any payment due or that may become due to the Contractor under this Agreement or any other agreement.

## **ATTACHMENT 2**

### **EXHIBIT D – WORK TO BE PERFORMED**

#### **1.0 SCOPE OF SERVICES**

- 1.1. TERM. Services are expected to be performed by the consultant from the date of the execution of the contract through January 12, 2007.
- 1.2. STATEWIDE CASA VOLUNTEER SURVEY: This RFP seeks a contractor to conduct a statewide survey of the approximately 3,500 CASA volunteers, using a representative sample of approximately one third of that population.
  - 1.2.1 Design sample. Contractor shall conduct a power analysis, determine a confidence interval, adequate response rate, and suitable sample size in conjunction with the AOC; and provide a description of the characteristics of the sample with reference to the total population.
  - 1.2.2 Contact subjects. Contractor will be responsible for obtaining CASA volunteer names from CASA, with assistance from AOC staff.
  - 1.2.3 Administer survey. Contractor will be responsible for picking a sample from among the volunteer names, formatting a survey written by AOC staff, reproducing that survey for mailing, mailing the survey, following up and re-mailing surveys as needed to achieve the designed response rate.
  - 1.2.4 Collect results. Contractor will collect the survey results and store them in a manner that adheres to the federal guidelines for protection of human subjects.
  - 1.2.5 Design database. Contractor will design a suitable database that captures the variables and responses from the survey.
  - 1.2.6 Enter data. Contractor will enter the data collected from the survey into the database, and check a sample no smaller than 10 percent of the total for accuracy.
  - 1.2.7 Clean data. In consultation with AOC staff, contractor will develop and execute a protocol for ‘cleaning’ the data of obvious mistakes and editing inconsistent entries.
  - 1.2.8 Transfer data to AOC. Contractor will deliver to AOC staff the raw data including all questionnaires and a cleaned database in an agreed upon standard electronic file format.
- 1.3 SITE VISITS: This RFP seeks a contractor to conduct qualitative research in each of five counties during a series of two night, three day site visits. The target counties are subject to further revision, but may include: San Diego, Los Angeles, Tulare, Contra Costa, and

Imperial. Each county site visit will consist of one focus group each of volunteers and youth in the dependency system, interviews with the CASA director, and a town-hall meeting with community partners. While the community partner meeting is listed as a separate deliverable, it may be conducted during the site visit or separately depending on subject availability.

- 1.3.1 Contacts and recruitment. With assistance from AOC staff, contractor will make contact with CASA in the five study counties, and obtain lists of potential group and interview participants. Using these lists, contractor will be responsible for contacting and recruiting group and interview participants
  - 1.3.2 Scheduling. Contractor will provide AOC with a schedule of sites visits, groups, and interviews and update it on an on-going basis.
  - 1.3.3 Preparation of scripts and consent. AOC will provide contractor with a detailed script for each group and interview category. AOC will provide contractor with draft informed consent forms and protocol. Contractor will provide appropriate informed consent information during recruiting, and again in written and verbal form before each group or interview.
  - 1.3.4 Logistics. Contractor will be responsible for ascertaining, making arrangements for, and providing all necessary arrangements and incentives needed to conduct successful groups and interviews.
  - 1.3.5 Facilitating. Contractor will travel with one or more AOC staff to the study counties to conduct groups and interviews. It is expected that the scheduling process will cluster groups and interviews in each county so as to minimize the number of visits to each site. Contractor will facilitate each focus group (1.5 – 2 hours), interview (30 – 60 minutes), and community meeting (2 hours), and ensure that a suitable recording (magnetic tape, digital recording, or court stenographer record) is made of each.
  - 1.3.6 Notes. Contractor will provide brief (1-5 pages) notes on the principal themes and findings of each focus group.
- 1.3 TRANSCRIPTIONS. Contractor will be responsible for transcribing each recorded group or session, and checking the transcripts for accuracy. Transcripts will be provided to the AOC in an agreed upon standard electronic file format.
- 1.4 INTERVIEWS IN PLACE OF FOCUS GROUPS. If contractor, in consultation with AOC staff, determines that it is not feasible to set up a focus group in a county, at least twelve one on one interviews may be conducted in this category. This decision will be made on a case by case basis. These interviews must be taped and transcribed as above.
- 1.5 CONFIDENTIALITY. The contractor must agree to observe rigorous measures for the protection of subject confidentiality and anonymity. Standard consent forms will be provided by the AOC. The attorneys, social workers, and CASAs will need to be informed about the youth's participation in focus groups, and some negotiation over permission for youth to participate is to be expected. All tapes, transcripts, participant lists and informed consent forms are confidential and must be returned with the final deliverables. The contractor is to retain no information about any participant's identity, location, or interview status.

1.6 DELIVERABLES AND DUE DATES: The contractor will be asked to do the following, by the dates listed to the right of each deliverable: (All dates subject to negotiation prior to execution of a contract.)

1.7.1 Phase 1: Organize Statewide CASA Volunteer Survey

<b>First Deliverable:</b>		Estimated Due Date
	Collect names and addresses of CASA volunteers, prepare sample, produce and mail survey, conduct telephone follow up.	
	Work with AOC staff to contact CASA personnel to identify participants and contact information.	June 21, 2007 through August 16, 2007.
	Review survey and format for mail, email, and telephone modes of delivery.	June 21, 2007 through August 16, 2007.
	Determine sample size, response rate, and survey strategy.	June 21, 2007 through August 16, 2007.
	In consultation with AOC staff, design suitable database in Microsoft Access for later data entry.	June 21, 2007 through August 16, 2007.
	Administer survey via mail and/or email and collect responses.	June 21, 2007 through August 16, 2007.
	On-going telephone follow-up and survey re-mailing based on surveys received and targeted response.	June 21, 2007 through August 16, 2007.
Phase 1 Deliverable is due	Survey reproduced and mailed to suitable sample, needed follow-up conducted, and deliverable tasks documented in written form. Upon completion and Acceptance of Deliverable 1, as defined in <i>this Attachment 2 Contract Terms, Exhibit D – Work to be Performed</i> , the Contractor shall submit an invoice for Deliverable 1.	August 16, 2007.

1.7.2 Phase 2: Organize Five County Site Visits

<b>Second Deliverable:</b>		Estimated Due Date
Schedule and prepare logistics for county site visits.		
	Work with AOC staff to determine study counties and appropriate CASA personnel in those counties to serve as contacts.	June 21, 2007 through September 21, 2007.
	Begin contacting a range of possible focus group hosts, interview venues, and recruiters in each county; begin scheduling focus groups	
	Review scripts for focus groups and interviews and suggest adjustments.	June 21, 2007 through September 21, 2007.
	Prepare any additional written materials such as study descriptions for participants and informed consent, based on templates provided by AOC staff.	June 21, 2007 through September 21, 2007.
	Finalize schedule for 5 site visits covering needed focus groups and interviews.	
Phase 2 Deliverable is due	Site visit, focus group, and interview planning, scheduling, and guidelines completed and provided in written form. Upon completion and Acceptance of Deliverable 2, as defined in <i>this Attachment 2 Contract Terms, Exhibit D – Work to be Performed</i> , the Contractor shall submit an invoice for Deliverable 2.	September 21, 2007

1.7.3 Phase 3: Conduct Statewide CASA Volunteer Survey and Compile Results

<b>Third Deliverable:</b>		Estimated Due Date
Collect and enter survey data; transfer data set to AOC.		
	Conduct any needed telephone follow-up to achieve desired response rate.	August 20, 2007 through October 19, 2007.
	Collect and compile all survey responses.	August 20, 2007 through October 19, 2007.

<b>Third Deliverable:</b>		Estimated Due Date
Collect and enter survey data; transfer data set to AOC.		
	Enter data into database.	August 20, 2007 through October 19, 2007.
	Perform quality control by proofing 10 percent of entries against hard copy surveys; provide AOC with statistics of error rates, and reenter any variables found to have unacceptable error rates.	August 20, 2007 through October 19, 2007.
Phase 3 Deliverable is due	Transmit electronic copy of cleaned database to AOC staff. Upon completion and Acceptance of Deliverable 3, as defined in <i>this Attachment 2 Contract Terms, Exhibit D – Work to be Performed</i> , the Contractor shall submit an invoice for Deliverable 3.	October 19, 2007

1.7.4 Phase 4: Conduct Focus Groups and Interviews

<b>Fourth Deliverable:</b>		Estimated Due Date
Hold focus groups and interviews in 5 study counties, transcribe proceedings and transfer transcriptions to AOC.		
	Conduct 5 site visits with at least two focus groups and three interviews at each site. The interview with the CASA director at each site must be in person and other interviews may be conducted in person or by telephone. Continue working with local contacts to revise or complete focus group scheduling and recruiting.	September 25, 2007 through November 16, 2007.
	Arrange for and complete transcribing of all focus groups and interviews. Check all transcripts for accuracy.	September 25, 2007 through November 16, 2007.

<b>Fourth Deliverable:</b>		Estimated Due Date
Hold focus groups and interviews in 5 study counties, transcribe proceedings and transfer transcriptions to AOC.		
Phase 4 Deliverable is due	Transmit one printed copy and one electronic copy of each focus group and interview transcript to AOC staff. Upon completion and Acceptance of Deliverable 4, as defined in <i>this Attachment 2 Contract Terms, Exhibit D – Work to be Performed</i> , the Contractor shall submit an invoice for Deliverable 4.	November 16, 2007

1.7.4 Phase 5: Conduct Meetings Of Community Leaders

<b>Fifth Deliverable:</b>		Estimated Due Date
Organize and hold meetings of community partners in five study counties.		
	Working with AOC staff and CASA contacts in each of the 5 study counties, identify and develop contact information for CASA community partners.	July 12, 2007 through January 4, 2008.
	Arrange for and hold community partner meetings in each of the 5 study counties, including arrangements for a suitable recording of the meetings.	July 12, 2007 through January 4, 2008.
	Transcribe the record of the community partners meetings	July 12, 2007 through January 4, 2008.
Phase 5 Deliverable is due.	Transmit one paper and one electronic copy of the transcripts to AOC staff. Upon completion and Acceptance of Deliverable 5, as defined in <i>this Attachment 2 Contract Terms, Exhibit D – Work to be Performed</i> , the Contractor shall submit an invoice for Deliverable 5.	January 4, 2008

1.7.4 Phase 6: Statewide Reviewers Meeting

<b>Sixth Deliverable:</b>	Attend one statewide reviewers meeting at which preliminary survey and qualitative results are presented <b>and discussed.</b>	Estimated Due Date
Phase 6 Deliverable is due	Attend statewide reviewers meeting. Upon completion and Acceptance of Deliverable 6, as defined in <i>this Attachment 2 Contract Terms, Exhibit D – Work to be Performed</i> , the Contractor shall submit an invoice for Deliverable 6.	January 12, 2008



**ATTACHMENT 2**  
**EXHIBIT E - ACCEPTANCE OF WORK AND**  
**SIGN-OFF FORM FOR DELIVERABLES 1-6**

▶ Description of Work for Deliverable No. \_\_\_\_\_ provided by Contractor:

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▶ Date submitted: \_\_\_\_\_

▶ Work is:

1) Submitted on time:  yes  no. If no, please note length of delay and reasons.

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2) Complete:  yes  no. If no, please identify incomplete aspects of the Work.

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3) Technically accurate:  yes  no. If no, please note corrections required.

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▶ Please indicate the level of satisfaction:

Poor  Fair  Good  Very Good  Excellent

▶ Comments, if any:

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▶ Work:

is accepted.  is unacceptable as noted above.

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

**ATTACHMENT 3**  
**VENDOR'S ACCEPTANCE OF THE RFP'S CONTRACT TERMS**

Mark the Appropriate Choice, below:

\_\_\_\_\_ Vendor accepts *Attachment 2 - Contract Terms*, without exception.

*or*

\_\_\_\_\_ Vendor proposes exceptions/modifications to *Attachment 2 - Contract Terms*. Summarize any and all exceptions to *Attachment 2 - Contract Terms*, below. Enclose both a red-lined version of *Attachment 2 - Contract Terms*, that clearly shows each proposed exception/modification, and provide written documentation to substantiate each proposed exception/modification.

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_