# Administrative Office of the Courts

## State of California



# REQUEST FOR PROPOSALS

## *SOFTWARE AND IMPLEMENTATION SERVICES*

### INTEGRATION SERVICES BACKBONE SOLUTION

## April 8, 2004

**SUBMIT PROPOSALS**
**By May 7, 2004 at 5:00 pm (Pacific Time) to:**
Administrative Office of the Courts
Attention: Nadine McFadden
Finance Division, Business Services 7th Floor
455 Golden Gate Avenue
San Francisco, CA 94102

For more information regarding this RFP and to download required forms, please visit the
California Courts Web Site: http://www.courtinfo.ca.gov/reference/rfp/

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# 1    INTRODUCTION – SUMMARY OF THE INTENDED PROCUREMENT

## 1.1    Issuing Body and Coordinated Procurement

This Request for Proposals ("RFP") is being issued by the California Administrative Office of the Courts ("AOC"). The AOC is the staff agency for the Judicial Council of California, the governing body for the judicial branch of government in California.

This RFP seeks proposals from highly qualified technology firms for the provision, implementation and initial deployment of an integrated solution, the Integration Services Backbone ("IS Backbone" or "ISB"), to facilitate information sharing across the California judicial branch ("Branch"). It will be a major element of the technology infrastructure, providing the software and associated services to support and manage automated information exchanges between the Branch, its justice partners, and the public.

For acronyms used throughout this document see Appendix A. (Acronyms).

This RFP has been developed in response to the Lockyer-Isenberg Trial Court Funding Act of 1997 (AB 233) which transferred the funding and responsibility for operations of the 58 trial courts from the 58 local counties and jurisdictions to the State. The Judicial Council's Strategic Plan (http://www.courtinfo.ca.gov/reference/rfp/) establishes the broad statewide goals for Branch information technology to support the transition objectives.

The trial courts are the primary focus of the activities included in this procurement. The seven (7) Appellate courts, including the State Supreme Court, along with federal entities may also utilize the new technology infrastructure and the ISB solution in the future.

The Information Services Division ("ISD") of the AOC has responsibility for planning and implementing the statewide initiatives that support the technology objectives of the Judicial Council's Strategic Plan.  ISD is responsible for coordinating branch-wide technology planning, developing and serving as advocates for technology funding requests for the Branch, monitoring the expenditure of technology funds allocated to the courts and recommending and supporting Branch technology standards. ISD will provide oversight and coordination of the ISB project.

The project will be performed in three major phases. In the first phase, the Vendor will be responsible for implementing the proposed solution in a production environment in the California Courts Technology Center ("CCTC"). The second phase involves assistance in

the initial deployment of the ISB solution to support a trial court's transition to the new case management system. The third phase calls for the Vendor to design and recommend the organization, programs and processes to operate, manage and support the ISB solution, as well as deploy it across the trial courts, on a long-term basis. Training is included in each phase. Support and maintenance for the ISB solution is also required.

The activities described in the phases above may or may not occur serially, based on scheduling, dependencies and other considerations to be determined during contract negotiation and the initial planning phases. In order to support in-progress plans for trial court transitions and to avoid further investment in interim approaches for achieving information sharing, the ISB needs to be in-place to support an initial deployment in the 3$^{rd}$ quarter of 2004. The initial implementation and deployment may be a subset of full functionality, with additional modules or functionality added over time.

Requirements and expectations for each phase are detailed in Section 2 (Project Scope and Approach).

These activities represent the initial effort of a planned statewide deployment of the ISB solution, which must be coordinated with other initiatives associated with execution of the strategic plan. Based on funding and other decisions by the AOC, the Vendor may be requested to perform the follow-on tasks identified in phase three. In addition, the Vendor's services may be requested, under separate contractual arrangements, to work directly with the trial courts, counties and/or local justice partners to assist in developing and implementing application interfaces or other related tasks. The potential for continued Vendor participation in longer term activities is anticipated by the AOC but not guaranteed, specifically defined or requested for this procurement.

Given the complexity and scope of the requirements, partnerships between software vendors and implementation partners are expected, however the AOC requires a single firm to serve as prime contractor ("Vendor").

The AOC requires fixed pricing for the software license fees and maintenance and support cost schedule for the first five (5) years. Bids on implementation services performed during the initial implementation phase are expected to be on a "not to exceed" basis where the AOC compensates the Vendor on the basis of hours expended and expenses incurred up to a ceiling amount. Pricing for the initial deployment and follow-on planning will be based on a rate structure determined by hours expended and expenses incurred according to a detailed work plan that specifies tasks, skill levels, and estimates by job category. Pricing for training and knowledge transfer will be on a fixed or not to exceed basis, based on the approach and type of training.

## 1.2   RFP Layout and Sections

The RFP is organized in sections as follows:

1. Introduction – Summary of the intended procurement.
2. Project Scope and Approach – Presents the functional and technical requirements for the ISB solution, along with the expected services to be provided by the Vendor.
3. Procurement and Evaluation Process – Describes the guidelines and procedures for Vendors responding to the procurement and the process for evaluating proposals.
4. Proposal Format and Content – Detailed description of the response to be prepared by Vendors.
5. General Conditions – Requirements for contracting with the AOC

Appendices

    A. Acronyms
    B. Key Applications
    C. Functional Requirements Matrix
    D. Technical Requirements Matrix
    E. Pricing Worksheet
    F. Minimum Terms and Conditions
    G. DVBE Participation Form

## 1.3   Background

### 1.3.1   The Integration Challenge

There is a basic requirement that the courts must be able to electronically share information with local, state, federal and other entities related to the justice system ("Justice Partners"). The sources and destination of this information may be at the federal, state or at the local level with entities associated with the county that the trial court is located in, or the general public.

The physical consolidation and standardization of the 58, often disparate, trial court technology environments to achieve this objective is made more complex by the integration and interface status and requirements of the Courts.

The manner in which integration is currently achieved varies greatly from court to court. Many variations can be found in how data is stored, which entity is responsible for it, and the format of the data itself. Most courts maintain some level of paper as well as

electronic records, usually in a variety of formats. Some have a fully functional information technology ("IT") infrastructure that allows for automated interfaces to their Justice Partners supported by a sophisticated IT organization. Other courts have limited automation, telecommunications infrastructure, and IT staff, and rely primarily on hard copy documents to share information with Justice Partners. Still other courts share the major case management applications with their local Justice Partners. Data maintained by the courts' applications may be stored by the county and may be integrated with data from other county agencies. Few standards have been implemented to reconcile and standardize information sharing by the courts.

Historically, applications have been acquired or developed based upon a very diverse set of requirements in order to meet the needs of individual courts, resulting in many applications with wide variations in functionality, architectures and platforms. Similar issues characterize the local justice partners' applications and systems; however, the technology decisions and plans of these external organizations are not within the authority or control of the AOC.

### 1.3.2   The Information Technology Initiative

The physical consolidation and standardization of the court technology environments is a large and complex effort, spanning multiple years and many projects. To date, the AOC has launched a number of major efforts focused on establishing a technology infrastructure and application foundation to support court transition.  The initial deployment of the IS Backbone supports the court management systems and information management objectives of the transition strategy. When fully realized, these initiatives will significantly improve court operations. The remainder of this section is an overview of the major efforts relevant to this procurement.

**1.3.2.1   Technology Infrastructure.** Over time, all of the California trial courts are anticipated to migrate from their current county or regional data centers onto the CCTC, currently located in Newark, California. The CCTC is a production hosting, managed services facility, owned and operated by Siemens Business Services, Inc.  It consists of a data center running common business and administrative applications, a second site for disaster recovery, and a help desk facility. New applications and infrastructure components designed for common use will be implemented in the CCTC. Interfaces to local justice partners will be made primarily through the courts' connections to their counties although some may be established directly to the CCTC.

The AOC also operates a computer facility in San Francisco, which, in addition to supporting the appellate courts and the AOC, is used, when appropriate, for development and testing of applications slated to be migrated to the CCTC.

The AOC is working with courts to deploy a local and wide area network infrastructure with the objective of supporting full interoperability and seamless interconnectivity within the trial court business communications community at the state, local and public levels.

**1.3.2.2   Applications.** As courts transition into the new environment, many of their existing applications will be retired or replaced. The ISB must be capable of supporting the current and future court applications. However, for the purpose of the initial deployment of the ISB solution, the main application focus is the California Case Management System for criminal and traffic case types ("CCMS V2").

Case management is the main application for the courts, used as the repository for all information and events associated with each case. A case management system ("CMS") typically supports one or more selected types of cases so that multiple CMS applications may be found in a single jurisdiction. A number of initiatives are underway to streamline and standardize existing applications, while also developing CCMS. When fully implemented, CCMS applications are envisioned to meet the functional and technical needs of all case types for all courts.

An overview of other CMS applications and other Branch applications that will utilize the IS Backbone can be found in Appendix B (Key Applications).

**1.3.2.3 Data Integration.** Continued development and adoption of data exchange standards that are consistent with state and national justice guidelines will ease and accelerate the implementation of automated interfaces. Standards have been implemented for state interfaces such as DMV and DOJ. The AOC is working with the courts and other partners to identify and develop XML based data standards to support case management, starting with six high priority criminal justice information exchanges. The standards that have been developed to date are published at www.courtinfo.ca.gov/invitationtocomment.

The AOC ISD Data Integration Team has also established a Branch data dictionary and schema repository.  The Vendor will be expected to coordinate with the Data Integration team to ensure appropriate utilization of the standards, dictionary, and schema repository.

**1.3.2.4 Resources.** ISD is leveraging a variety of specialized external resources to perform specific initiatives and has established strategic partnerships for longer term initiatives.  These relationships include:

> 1.   Siemens Business Systems, Inc. ("SBS"), owns and operates the CCTC;

2. BearingPoint, Inc., which is developing the common case management system for traffic and criminal case types;

3. Deloitte Consulting L.P. which is developing the common case management system for civil case types;

4. MTG Management Consultants, L.L.C., which is providing strategy and planning, architecture, data integration and project management services; and,

5. Numerous other consultants who are providing expertise in specific areas.

The Vendor(s) will be required to work with each of these entities to ensure an efficient and effective implementation and utilization of the ISB solution.

AOC ISD's resources are very limited. The staff is focused primarily on strategy development, planning, user relationship management, project delivery management and providing subject matter expertise in business process, applications and data integration. The AOC also has a small technical staff responsible for managing and operating the AOC computer facility in San Francisco.

Throughout this RFP, references to AOC resources may include but are not limited to, consultants and contractors, in addition to state employees. Vendors are urged to give adequate consideration to any implications this situation may have on their response to this RFP, especially in those areas that involve coordination across the various participants for a given task or assumptions regarding the availability of AOC resources.

The Vendor is expected to assume primary responsibility for the requirements in this RFP.

### 1.3.3 Objectives
The AOC anticipates that a successful ISB solution will:

1. Provide a secure, reliable mechanism for automated exchange and sharing of information among the entities that comprise the California courts and their Justice Partners.

2. Ensure delivery of information from one application system to another regardless of the hardware and operating system platform on which an application runs and regardless of the software with which the application system is written.

3. Enable courts to interface with their justice partners with minimal changes in applications and systems.

4. Maintain integration functionality and capabilities that are at least comparable to current capabilities.

5. Provide an efficient, cost-effective solution to integration requirements for all entities.

6. Facilitate the transition toward unification and standardization while also accommodating the wide variations in situations and requirements from court to court.

7. Provide a solution that is robust, scalable, and manageable to meet both current and future needs of the courts.

8. Support and accelerate adoption of data exchange standards.

9. Eliminate redundant effort and achieve economies of scale in interface development.

## 2       PROJECT SCOPE AND APPROACH

This section presents the functional and technical requirements for the ISB solution, along with the expected services to be provided by the selected Vendor(s).

### 2.1    Functional Requirements

The vision of the ISB is to create an integration environment that provides the technical service necessary to implement, manage, monitor, and update automated information movement, interfaces, and system connection for the California courts and their justice partners. The ISB solution will consist of a set of tools and services that connect multiple, otherwise separate, applications and passes data between them. It translates and manages the interaction, addressing the differences or incompatibilities in network protocols, hardware, data formats, and operating systems.

The ISB will be used for information sharing:

1.  Between applications within the Branch;
2.  Between Branch applications and justice partner applications; and,
3.  Between Branch applications and the public.
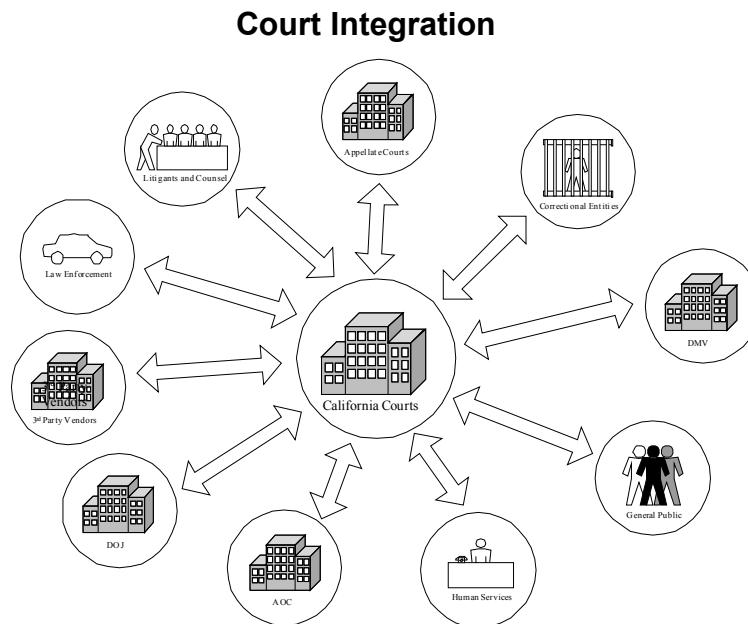
## Court Integration



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FIGURE 2.1-1

As shown above in FIGURE 2.1-1 (*Court Integration*), the ISB solution will support the sharing of information between the courts and entities including, but not limited to:

1. Litigants and their counsel;
2. Law enforcement;
3. Correctional entities;
4. California State Departments of Justice, Motor Vehicles and Human Services;
5. The Administrative Office of the Courts.
6. State Appellate Courts
7. The public
8. Other third-parties and vendors

## Courts Applications Integration Model



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The courts can realize efficiencies and increase service to their stakeholders by sharing information from their automated records. FIGURE 2.1-2 (*Court Applications Integration Model*) above is a high level depiction of the ISB solution relative to the various applications and associated databases involved in information exchange. The information in this section is structured in the following order:

1. The common functional components of the ISB solution.
2. The major use case scenarios of how the ISB solution components will be used.

The detailed functional requirements matrix that the Vendor will respond to can be found in Appendix C (Functional Requirements Matrix).

This information should provide a comprehensive understanding of the ISB features, capabilities, and functional requirements.

### 2.1.1 IS Backbone Solution Common Components

Based on the information exchange needs of the aforementioned organizations, a listing of common components that embody the conceptual requirements of the ISB architecture design can be derived. As shown below in FIGURE 2.1-3 (*Integration Services Backbone Components*), these common components describe the general facilities that are required to support automated information sharing.

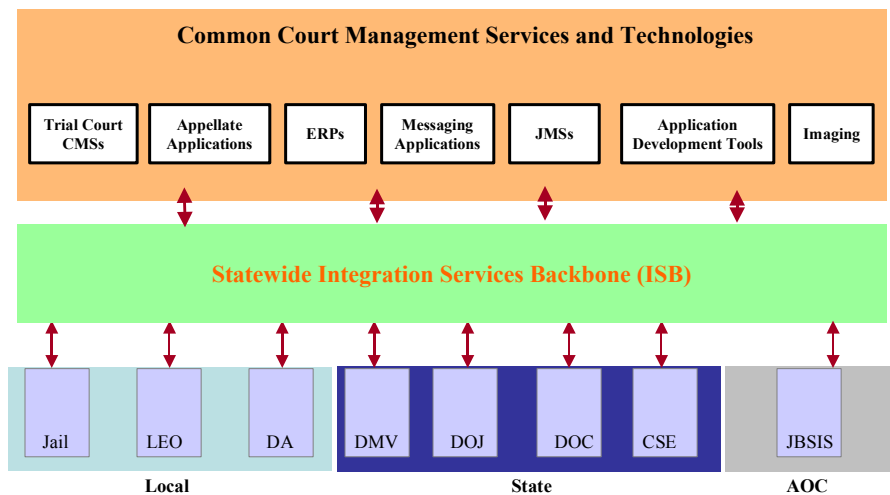**Integration Services Backbone Components**
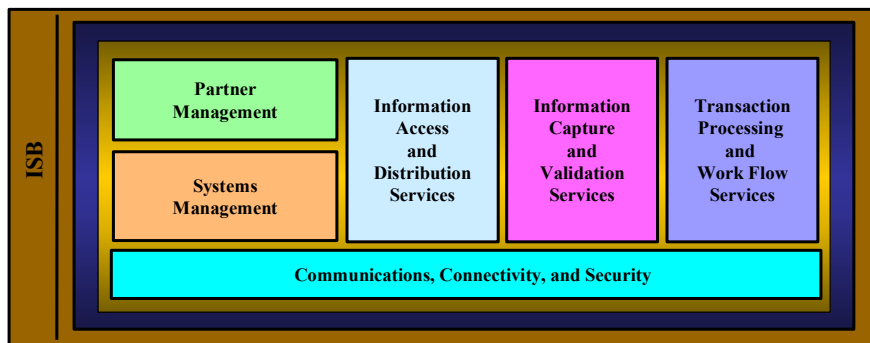


*This is a draft document for Judicial Branch analysis and discussion purposes only.*    FIGURE 2.1-3
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They are derived from an overall functional design of the ISB and do not portray any intentions to accommodate a particular integration solution tool suite. These components can be grouped into the following categories:

1. Partner Collaboration Tools
2. System Management Tools
3. Communications, Connectivity, and Security Tools
4. Information Access and Distribution Services
5. Information Capture and Validation Services
6. Transaction Processing and Work Flow Services

A brief description of the aforementioned components is provided below. These requirements must be present in the proposed solution to accomplish comprehensive Branch integration.

**2.1.1.1  Partner Collaboration Tools.** Partner collaboration tools will provide the capability to support interfaces with the courts' business partners by providing the technical capabilities to engage in electronic business collaborations with other justice partners in a dependable manner.

*Partner Specification.* The architecture design must provide the flexibility for all participating courts to define the business partners that the court intends to electronically engage with. The design should provide for flexibility in defining various types of justice partners, strategic alliances, and other business collaborations.

*Partner Agreement Management.* The architecture design must provide a centralized channel for defining the courts' business agreements with their justice partners. A comprehensive solution design should be provided to assist the courts in managing and coordinating both new and existing collaboration agreements that identify the courts' core business relationships.

*Partner Information Exchange Facilitation.* The integration backbone architecture design must provide a standardized infrastructure for sending and receiving information that enables the courts to streamline key areas of doing business with their justice partners as required.

*Process Definition.* This process definition capability will allow the courts to perform various business process reengineering (BPR) efforts, which pertain to optimizing how the courts work with their justice partners.

**2.1.1.2  System Management Tools.** System management tools will streamline and simplify technology and business operations. The integration backbone architecture – at a minimum – must provide centralized tools for four capabilities.

*Auditing.* The integration architecture must be designed to provide reasonable assurance of the achievement of specified goals and objectives in the areas of effectiveness and efficiency of business operations.

*Reporting.* By the same token, the achievements of these objectives must be available via a reliable reporting medium to provide means of service level and performance reviews against strategic objectives.

*Performance Monitoring.* The integration architecture should provide the capability and ease of use to monitor current and historical performance, thus quickly allowing users to identify business trends and to forecast best responses and likely outcomes.

*Event Alerting*. A comprehensive integration architecture design should make accurate required information available when needed. Allowing diagnosing, identifying, and solving of issues prior to their becoming critical is an important requirement.

**2.1.1.3   Communications, Connectivity, and Security Tools.** These tools enable communications, connectivity, and security between systems and interfaces over the Internet, intranets, WANs, and dial-up network systems. At a minimum, the integration backbone architecture should be designed to provide the following tools.

*Telecommunication Management*. These facilities establish, monitor, and manage the communication links between applications and across disparate networks and computing platforms. They identify and bridge across telecommunication protocol differences between applications.

*Data Transfer Facilities.* These are facilities that implement and support a variety of protocols, including file transfer protocol (FTP), SMTP, HTTP and others.

*Web Services.* These are software components used to perform distributed computing employing technologies such as SOAP, WSDL, and UDDI. Web services make it easier for applications using different operating systems and running on different platforms to "talk" to each other.

*Adapters.* These are plug-and-play type interfaces provided with middleware products and commercial applications to accomplish integration. Due to the increase in demand for application integration tools, the market is pressuring Vendors to provide basic integration adaptors with their commercial applications. From the perspective of designing the integration backbone architecture, this pressure creates the challenge of maintaining a collection of adapters for the various platforms within the justice community. This maintenance can easily become a complex, time-consuming, and expensive effort.

*Security, Encryption, and Access Tools.* These components regard security policies and practices that control physical and virtual access to technology resources, such as data center access controls, end-user device controls, and device authentication.

**2.1.1.4   Information Access and Distribution Services.** The solution design must provide the capability for individuals from a variety of stakeholder groups to directly

access or receive the data it maintains. In addition, the design must have the ability to transform data to prepare it for transmission to end users and other applications. These outbound data services include data export, inquiry access, information publication and subscription and notification.

**2.1.1.5  Information Capture and Validation Services.** As information is automatically transmitted, data will be staged, possibly transformed, validated, and eventually recorded by the solution components. Thus, services that need to be incorporated into the solution design include:

1. Translation services, including filtering, transformation, and XML and non-XML packaging services.
2. Business rule validation services such as internal electronic filing applications, electronic filing manager, and other specific data validation services.
3. Error management to address and correct errors found in the validation process.
4. Importing and loading data into judicial branch databases.

**2.1.1.6  Transaction Processing and Work Flow Services.** Applications are needed to actually administer the information-sharing steps that are defined by the partner and system management tools. The transaction processing and work flow services execute the designs and instructions for moving information from the domain of one application to the next. These facilities will include:

*Batch Scheduler.* The ISB architecture design should provide sophisticated scheduling capabilities. This will present the flexibility and power necessary to deploy automated jobs that run unattended. These automated jobs should be created in a work flow environment and enable intelligent automated actions through conditional logic and job dependencies.

*Database Replication.* This technology component is required for synchronizing information between databases.

*Message Broker (Queuing and Switching).* This technology component is required to enable applications running at different times to communicate across heterogeneous networks and systems that may be temporarily off line.

*Confirmation Services.* This service provides tracking and confirmation capabilities that verify, document, and help ensure the complete exchange of information.

*Event Handler.* The ISB architecture should contain a mechanism for reacting to specific events.

### 2.1.2   IS Backbone Conceptual Use Models
This subsection will discuss the major use case scenarios in which the ISB will be used.

A number of approaches to the conceptual requirements and information sharing methods are currently being utilized throughout the state. To provide a better understanding of these observed trends, the information exchange conceptual models presented below illustrate the existing high-level information sharing capabilities required by the California courts.

**2.1.2.1   Publish Court Information for Inquiry.** This information sharing model realizes efficiencies and increases services to court stakeholders by publishing information from their automated records (often from their case management systems) to web sites. Examples of the information provided in this manner are court schedules, Register of Actions (ROA) and court orders, judgments, and sentences.

Separate Web sites may be provided for different stakeholder groups based on their authority to access court information. For instance, the public may have access to schedule and ROA data while criminal justice agencies may also have access to court orders, judgments, and sentences. The functional capabilities in this information exchange model are:

*Export*. This capability allows applications such as court management systems to exchange formally defined data. This intermediary program enables extraction of the applications' data for further data format translation between the sender and the receiver.

*Translate*. This capability allows communication between court management systems and publishing Web applications that use different data formats.

*Import*. This capability enables interfacing capability that allows for downloading of structured data into different contexts. In this example, the import capability would allow the translated data of the various court management systems to be automatically entered into the criminal justice and public inquiry Web applications.

*Batch Scheduling*. This capability is required in this information exchange model to allow for triggered task automation of the above capabilities, thus saving time by automating recurring administrative jobs and regular maintenance tasks.

*Message Brokering.* This capability gathers real-time requests from a publication Web server for (in this example) CMS information, forwards the request to the appropriate application, collects the response, and forwards it to the request Web server. This would be used for dynamic data that would not be economical to replicate in both the CMS and the Web server databases.

**Court Information Publication Conceptual Design**
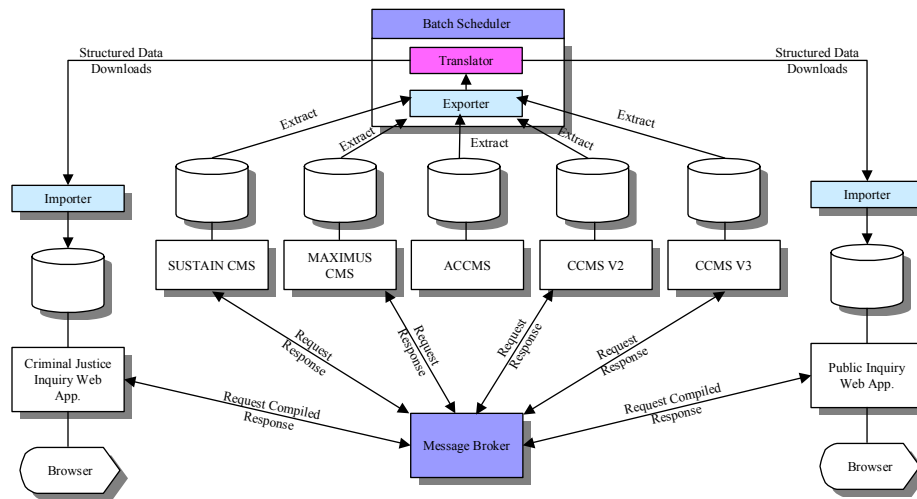


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FIGURE 2.1-4

The ISB solution components that support these capabilities and the interaction that is required are depicted above in FIGURE 2.1-4 (*Court Information Publication Conceptual Design*).

### 2.1.2.2   Extract, Translate, Transfer, and Load Data From a Court Maintained Database (e.g., CCMS V2) Into the Database of an Interfacing Application. Another

information sharing model that is commonly requested and employed is to provide wholesale transfers of data on a regular basis. This involves the extraction of information from a court management application for transmission to another agency or another branch application. Examples of the information provided in this manner are court orders, warrants, dispositions and collection records.

The data is extracted from court application databases and is loaded into the AOC and agencies' databases. The functional capabilities needed in this information exchange model include:

*Telecommunications Protocol Manager*. This capability allows for a centralized medium for authentication and translation of the various protocols involved in the information exchanges, such as SNA, FTP, Email, and other communication protocols.

*Export*. This capability allows for applications such as CCMS V2 to exchange formally defined data. In this example, this intermediary program enables extraction of CCMS V2 data for further data format translation between CCMS V2 to that of the SAP application.

*Translate*. In this example, this capability allows for communication between case management systems and SAP applications that use different data formats.

*Import*. This capability enables interfacing capability that allows for downloading of structured data into different contexts. In this example, the import capability would allow select data from CCMS V2 to be automatically entered into CARS, AOC's SAP application described in Appendix B (Key Applications).

*Batch Scheduling*. This capability allows for triggered task automation of the above capabilities, thus saving time by automating recurring administrative jobs and regular maintenance tasks.

## Court Data Extract, Translate, and Transfer Conceptual Design
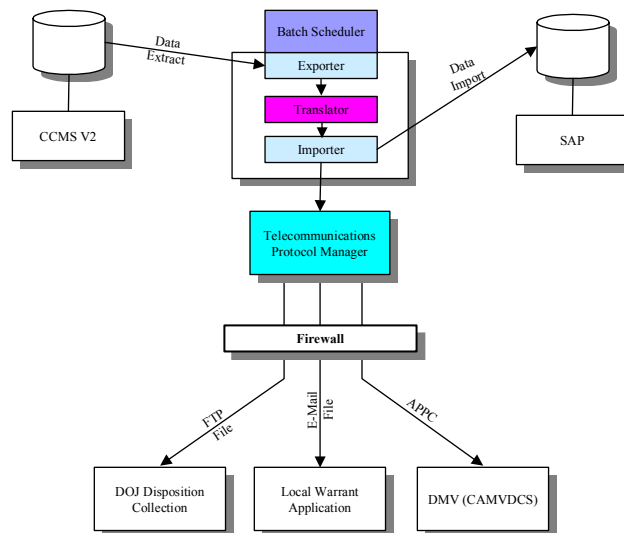


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FIGURE 2.1-5

The ISB solution components that support these capabilities and the interaction that is required are depicted above in FIGURE 2.1-5 (*Court Data Extract, Translate, and Transfer Conceptual Design*).

**2.1.2.3   Import, Translate, Validate and Load Data From a Court-Maintained Database.** This information sharing model realizes efficiencies and increases services to court stakeholders by utilizing ISB services to schedule, translate, validate and import one-way data transmissions for use by court applications. Examples of the information provided in this manner are red light photo citations and California Highway Patrol (CHP) citations.

The data is extracted from court management application databases and is loaded into another branch application and other local or state agencies' databases. The functional capabilities needed in this information exchange model include:

*Validate*. This capability allows for validation of translated data prior to importing by applications such as CCMS V2 and CCMS V3. This intermediary program ensures that the imported data is compatible with that of the receiving applications' databases.

*Translate*. In this example, this capability allows for CHP Citation and red light photo application data formats to be compatible with receiving court management systems.

*Import*. This capability provides interfacing capability that allows for downloading of structured data into different contexts.

*Batch Scheduling*. This capability allows for triggered task automation of the above capabilities, thus saving time by automating recurring administrative jobs and regular maintenance tasks.

## Court Import, Translation, and Validation Conceptual Design
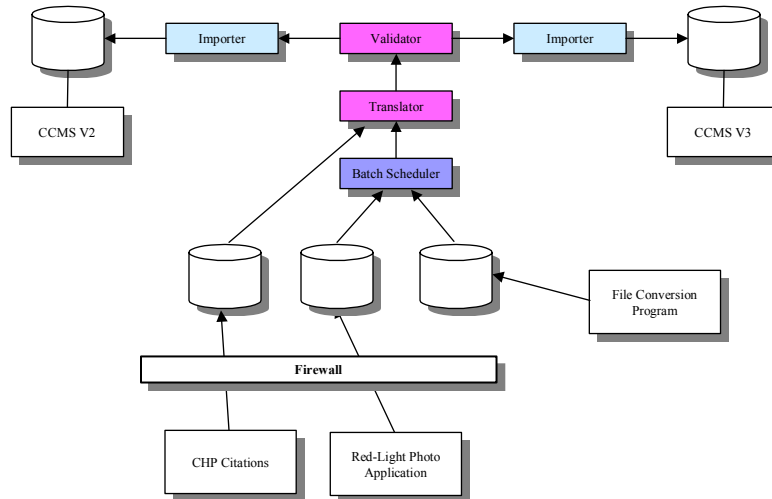


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FIGURE 2.1-6

The application components that support these capabilities and the interaction that is required are depicted above in FIGURE 2.1-6 (*Court Import, Translation, and Validation Conceptual Design*).

**2.1.2.4   Inquiry Into Other Agency Applications.** Courts often require access to information that is maintained in other agency applications. These agencies may provide user privileges to a court if they possess the right equipment and application software. In this model, the ISB provides these tools, translating protocols and managing the interaction between court applications and those of other agencies. Examples of the information sharing approach are court access to:

1. Department of Motor Vehicles (DMV) driver and registration records;
2. California Law Enforcement Technology System (CLETS) crime information;
3. Warrant records maintained by another agency; and,
4. Custody location records.

The data is then validated, translated and distributed by a message broker. A telecommunications protocol manager is then responsible for managing communications with other agencies and applications such as DMV, CLETS, and AWS. The functional capabilities needed in this information exchange model include:

*Message Brokering*. This capability coordinates the online sessions between judicial branch applications and the applications being accessed.

*Translate*. This capability is required to allow for different court management systems using different data formats, such as CCMS V2 and JBSIS, to communicate with each other.

*Validate*. This capability is required to validate translated data prior to importing by applications such as CCMS V2 and JBSIS. This intermediary program ensures that the imported data is compatible with that of the applications' databases.

*Telecommunications Protocol Manager*. This capability allows for a centralized medium for authentication and translation of the various protocols involved in the information exchanges between court management systems and other organizations.

### Inquiry into Other Agency Applications Conceptual Design
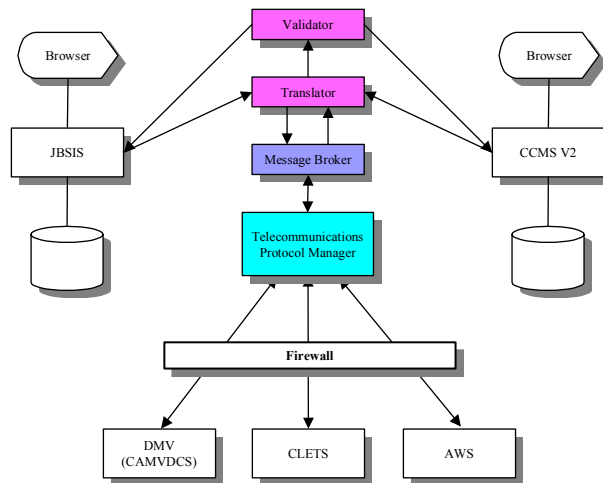


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FIGURE 2.1-7

The application components that support these capabilities and the interaction that is required are depicted above in FIGURE 2.1-7 (*Inquiry into Other Agency Applications Conceptual Design*).

**2.1.2.5   Synchronous Interfaces.** In many cases information must be transferred between two or more applications and it is important that all applications reflect the same

updates and status. In such instances, the interface must ensure that the databases involved are synchronized. Examples of the information provided in this manner are images, e-filings and citation payments.

The data is distributed by a message broker and managed by a telecommunications protocol manager that is responsible for managing the different communications types with other criminal justice message brokers, IVRs, and e-filing managers. The functional capabilities needed to accomplish this include:

*Message Brokering.* This capability is required to allow for a centralized medium for receiving messages of any format from multiple destinations, determination of the correct destination, and routing of the correct message to the correct channel on the fly.

*Translate.* This capability allows for communication between various applications with different formats, such as court management systems and document management systems.

*Validate.* This capability allows for validation of translated data. This intermediary program ensures that the imported data is compatible with that of receiving applications' databases.

*Telecommunications Protocol Manager.* This capability allows for a centralized medium for authentication and translation of the various protocols involved in the information exchanges between court management systems and other organizations.

## Synchronous Interface Conceptual Design
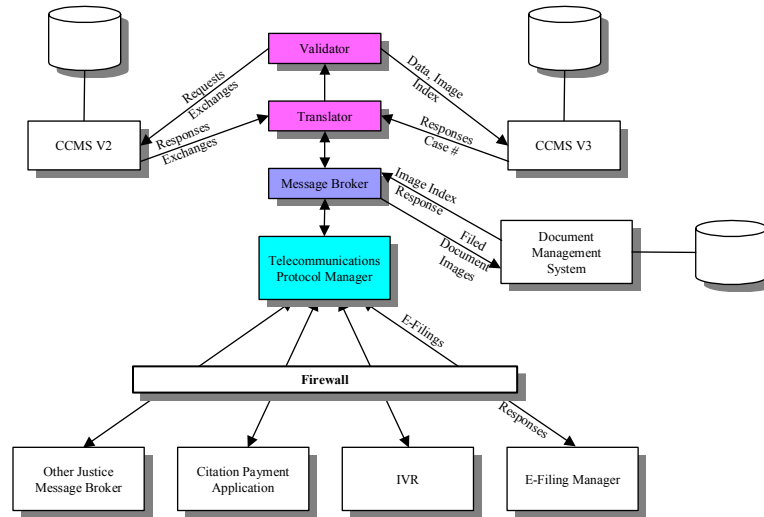


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FIGURE 2.1-8

The application components that support these capabilities and the interaction that is required are depicted above in FIGURE 2.1-8 (*Synchronous Interface Conceptual Design*).

The functional requirements matrix in Appendix C (Functional Requirements Matrix) is derived from the ISB common components and takes into consideration the capabilities and information exchange conceptual designs described in the previous sections. The narrative that follows each requirement provides guidance and direction for Vendor responses to the functional requirements.

## 2.2   Technical Requirements

This introduction to the technical requirements explains the intent, direction, and technology design that is evolving within the Branch. So that bidders will better understand the technical requirements and the overall context in which they are presented, two figures are presented.

## 2.2.1  California Courts Technology Center Framework

### CCTC Conceptual Design



NOTE: Technology services provided by Siemens Business Services, Inc. (SBS).
This is a draft document for Judicial Branch analysis and discussion purposes only.
It should not be construed as a policy or plan of the Branch and should not be disseminated.
FIGURE 2.1-9
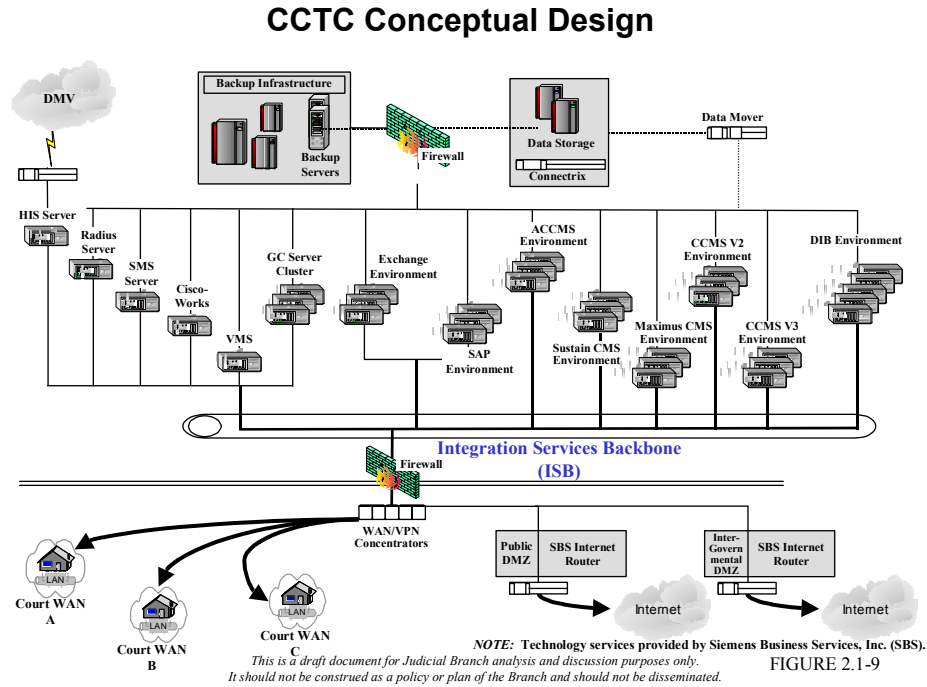
FIGURE 2.1-9 (*CCTC Conceptual Design*) above describes the CCTC framework in which the ISB will be deployed. This is a conceptual model of the anticipated environment that will be constructed with the implementation of the ISB. Key elements of this conceptual architecture are:

1. A shared data center service environment provided solely to serve court operations. As shown in the exhibit, individual courts access court management applications operating on servers maintained at CCTC.

2. The data center may operate Web servers for publishing court data for use by at least two distinct communities of stakeholders: criminal justice partners and the general public. These will operate in a "DMZ" environment outside of the secured data center environment.

3. The servers maintained at the data center currently operate:

   a. System management and utility applications such as the SMS, Cisco Works, and Radius servers;

   b. MS Exchange support servers including Active Directory;

   c. SAP servers, operating an instance of this application for several courts;

  d. Case management application servers operating Sustain, Maximus, and CCMS applications and the planned Appellate case management system (ACCMS).

  e. Servers to operate the data integration applications; and,

  f. Storage area network.

### 2.2.2 Network Environment Framework

**Network Architecture Conceptual Design**
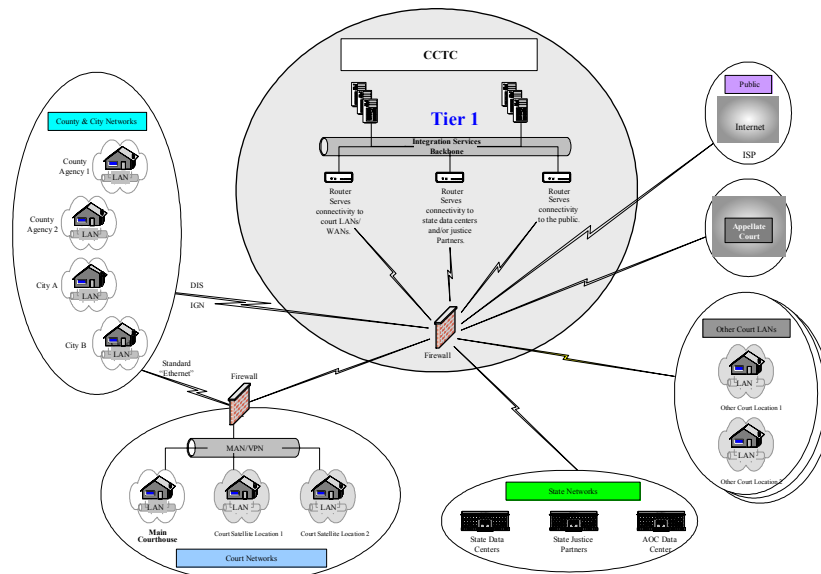


*This is a draft document for Judicial Branch analysis and discussion purposes only.*
*It should not be construed as a policy or plan of the Branch and should not be disseminated.*

FIGURE 2.1-10

FIGURE 2.1-10 (*Network Architecture Conceptual Design*) above describes the network environment framework in which the ISB will be deployed. Key aspects of this environment include:

1. The CCTC provides a high-speed, secured gigabit data network backbone for communication among applications.

2. Court locations access the CCTC through a wide area network (WAN) managed for the exclusive use of the court. This WAN is connected to the CCTC via dedicated leased telecommunications lines.

3. State justice partners, including the AOC, will have access to the CCTC only through a firewall.

4. Local justice partners currently access the CCTC through court WANs always via a locally managed firewall. Direct access to the CCTC is under consideration and may be provided.

5. Public access to court applications is currently provided by access to the individual court WAN through the local firewall. Direct access to the CCTC is under consideration and may be provided.

As shown above in Figure 2.1-10 (*Network Architecture Conceptual Design*), the CCTC WAN/LAN are designed to the scalability capacity of 30 courts using a 2 DS3/T3 connection and 28 courts with T17 connectivity.

These requirements are drawn from the draft judicial branch enterprise technology architecture. Appendix D (Technical Requirements Matrix) contains the detailed technical requirements matrix for the Vendor proposals. The narrative that follows each requirement provides guidance and direction for Vendor responses to the technical requirements.

## 2.3  Project Approach

The scope of this project, as defined in this section, includes the software and associated services for implementation, initial deployment and post-deployment professional services support. This section describes the requirements for each phase.

### 2.3.1  Phase 1:  Initial Implementation

The Vendor will be responsible for the initial implementation of the selected ISB software and services. To validate the solution prior to migration to the CCTC, the selected software must be first installed, configured and tested in a development environment at the AOC or other environment provided by the Vendor. After successful configuration and testing in the development environment, the software will be migrated to the production-hosting environment.   This phase includes all activities required to demonstrate the viability of the solution in a production environment, including:

1. Select and license to the AOC the software solution that meets the requirements;

2. Validate and develop requirements for supporting the courts applications, interfaces and environment.

3. Work with the AOC staff to determine requirements and plans for the initial implementation project.

4. Provide a detailed specification of the hardware and other infrastructure components required to implement the solution in development and

production environments.  (The vendor will not be responsible for procuring these components)

5.  Provide development, configuration, testing and installation assistance to deploy the solution in the development and production environment at the CCTC; and,

6.  Provide initial training for the AOC technical staff to learn the functions and use technical components of the solution and to become competent in fulfilling their agreed requirements for using, operating and maintaining the components installed to support the ISB solution.

7.  Provide training for AOC staff on the software components of the ISB solution. This will include training appropriate for the job categories necessary to implement the solution, including user, system administrator, database analyst, systems analyst and application maintenance programmer.

Deliverables from this phase include:

1.  A fully operational, integrated ISB solution;

2.  Documented requirements for implementing the ISB solution that meet AOC and CCTC standards.

3.  A detailed work plan including tasks, time estimates and resource assumptions.

4.  Comprehensive solution functional, technical and operational documentation

5.  Documented training plans and materials; and,

6.  Other deliverables as determined during contract negotiation.

### 2.3.2   Phase 2:  Initial Deployment Project

The Judicial Branch is developing and implementing the California Case Management System ("CCMS") for use by all trial courts in the state. The trial courts will be implementing CCMS V2 to support criminal and traffic case management operations. One court will be selected as the first court to employ the ISB to automatically share information between CCMS V2 and its criminal justice partners. It is the intention of the AOC to use the facilities of the ISB to implement and operate these information-sharing interfaces. This effort, the initial deployment project for the ISB, is anticipated to occur in the 3rd quarter of 2004.

**2.3.2.1   Project Description.** The selected court is likely to be one of the larger and more complex courts. The current case management system will have a number of unique interfaces with the court's criminal justice partners. Prior to active involvement by the ISB Vendor, these interfaces will have been inventoried, analyzed and prioritized to

determine which interfaces and other information sharing capabilities will be implemented as CCMS V2 replaces the current case management system.

CCMS V2 provides a handful of standard interfaces and information sharing capabilities, some of which support the interface needs of the courts. Others will need to be developed. In all cases, data telecommunications will need to be established to transfer data between CCMS V2 and justice partners. The telecommunications effort is not part of the Vendor's responsibilities in this proposal.

The ISB Vendor will assist in the implementation of these interfaces and information sharing capabilities using the Vendor proposed tools. The Vendor will provide training, assistance, analysis, and implementation services in the creation of these capabilities.

The Vendor will work with a number of participants involved with the implementation of CCMS V2 for the selected court, including:

1. The CCMS V2 application developer, BearingPoint, Inc.;
2. The CCTC, host of CCMS V2, the technology infrastructure and the ISB solution;
3. The AOC and its contractors, for planning, coordination and project management;
4. The selected court, for requirements, prioritization and user responsibilities;
5. The information technology department of the county in which the court operates, to assist the project team with planning, interface development and conversion; and,
6. The selected court's various justice partners, for interface requirements and development.

Up to nine interfaces are to be initially developed in this effort. The Superior Court of California, County of Alameda ("SCCA"), which may prove to be the selected court for this effort, provides a representative example of the interface requirements. The interfaces needed for SCCA are presented below in Table 1 (*Alameda County Superior Court Local Exchanges*) and will be the benchmark for defining the scope of work for interface implementation services and cost estimation.

**Table 1: Alameda County Superior Court Local Exchanges**

| ID | From | To | Criminal | Traffic | Type of Data |
|---|---|---|:---:|:---:|---|
| SCCA LOCAL EXCHANGES | | | | | |
| A-1 | Law Enforcement (LE) | Court | ✓ | | Booking, Person (AJIS)* |
| A-1 | Court | LE | ✓ | | Arraignment Date (AJIS)* |
| A-4 | Court | Sheriff | ✓ | | Warrant Issuance (AWS)* |
| A-4 | Sheriff | Court | ✓ | | Warrant Status (AWS)* |
| A-9 | Court | Adult Probation | ✓ | | Referrals |
| B-1 | Fremont Public Defender (PD) | Court | | ✓ | Citations (Photo Red Light) |
| B-2 | Pleasanton and Alameda PD | Court | | ✓ | Citations (AutoCITE) |
| B-5 | Court | Financial Hearing Officer | | ✓ | Person, Disposition |
| C-3 | Court | Court | | ✓ | Person, Fines, Payments (Web-Pay) |
| C-6 | Court | Court | ✓ | | Drug Case Diversion |
| *High Priority – Interface must be present when CCMS V2 goes live. | | | | | |
| Others are Medium Priority and must be implemented within 6 months after CCMS V2 goes live. | | | | | |

In addition, the following state interfaces will be implemented.

1. JBSIS reporting to the AOC.
2. Criminal history disposition reporting to the California Department of Justice.
3. Driver record inquiry and abstract reporting with the California Department of Motor Vehicles.

These state level interfaces are standard interfaces supported by CCMS V2 and are not currently within the scope of the initial interface implementation. Physical network connectivity and security between the CCTC, the selected court, and the court's criminal justice partners will be provided and are also not the responsibility of the ISB Vendor.

**2.3.2.2   Justice Partners.** The selected court's criminal justice partners will be involved in the development of the interfaces. They will provide technical information and personnel to assist in the development of these interfaces; however the level of personnel expertise and involvement will vary from justice partner to justice partner and has not been finalized at this time. For scope of work and other estimation purposes, the following assumptions apply:

1. The minimum involvement from the justice partners will be:
   a. Provide limited documentation about their applications involved in the interface, including hardware, application software, data structure, network protocols and locations; and,
   b. Provide technical staff resource to answer questions about the application and it operating environment.
2. The maximum involvement from the justice partners will involve multiple technical staff resources to learn and use the ISB facilities to design, create, and manage these court interfaces for their agency.

In addition, the Data Integration team of the AOC has developed standard data specifications for six high value criminal/traffic exchanges using established national Justice XML standards. These specifications involve:

1. CHP Citations filed in the court;
2. Criminal Complaints;
3. Warrants;
4. Judgments and Sentence Orders;
5. Register of Actions of the Court; and,
6. Court Calendar.

These specifications may be employed in the initial interface implementation in the selected court.  The Vendor will be expected to work with the AOC Data Integration Team to utilize these standards, along with the data dictionary and schema repository to meet the requirements of the initial deployment.

**2.3.2.3   Initial Deployment Vendor Scope of Work.** The scope of the ISB Vendor's activities regarding the initial interface implementation at the selected court will be to:

1. Develop a detailed approach and plan for utilization of the ISB tools and services to implement the interfaces between CCMS V2 in the selected court and their local justice partners. This plan should include, at minimum, the tasks to be performed by the Vendor, assumptions regarding the court and other resources, proposed timelines and completion criteria.

2.  Coordinate plans with the AOC and court implementation project team.

3.  Provide training on the proposed tools and approach to AOC, court, county and justice partner(s) technical and other staff resources that may become involved in interface development and implementation.

4.  Provide oversight and assistance to AOC, Court, county and justice partner(s) technical and other staff resources that may become involved with the initial interface implementation.

5.  Develop application program interfaces (API's) as required.

6.  Assure that the ISB components are performing according to specifications.

7.  Provide 3 months post-implementation support for each of the implemented interfaces.

8.  Other responsibilities to be determined as specific requirements are developed. Any refinement of the Vendor's participation in the initial court deployment will occur during the contract negotiation period.

Deliverables from this phase include:

1.  A fully operational, integrated solution that fulfills the requirements for information sharing between CCMS V2 and the designated justice partners;

2.  Documented project plans coordinated with the established project manager;

3.  Test plans, cases and associated documentation;

4.  Training plans and materials; and,

5.  Other deliverables as determined during contract negotiation.

### 2.3.3   Phase 3:  Additional Professional Services

This phase is focused on additional tasks to be provided by the Vendor, primarily planning and methodology for future deployments of the ISB solution.

As noted in the introduction to this RFP, the Branch transition is large and complex, spanning multiple years. Starting in 2004, there will be a continuous and often concurrent transition of courts onto the statewide technology infrastructure and applications. Each court will have its own transition plan outlining, in most cases, a staged and complex set of activities to be accomplished over time. Various local partners with legacy or new packaged applications will need to be integrated for each court. It is anticipated that additional business and functionality requirements will emerge.

In addition to providing a standard technology environment and infrastructure capable of supporting all courts, the AOC is seeking help to improve the transition process by developing reusable components, standard methodologies and repeatable processes that

can be applied from court to court. To that end, the ISB Vendor is asked to perform the following activities:

1. Design the recommended organization and infrastructure to employ, support, maintain, administer and operate the Integration Services Backbone software components as the AOC helps all of the courts implement CCMS and the related interfaces with each court's justice partners. This should cover, at minimum, organizational structure, budget, staff resources, skills, roles, and responsibilities.

2. This analysis should address two possible scenarios to accomplish the above activities:

   a. The AOC provides leadership and staffing of the organization; and,

   b. The Vendor provides leadership and staffing of the organization.

3. Design and document a recommended program and procedures to be used by the AOC (in collaboration with application providers, integration service providers, court partner agencies, and project owners) to employ the ISB capabilities to implement and manage automated interfaces between the courts and their partners.

4. Upon approval and funding by the AOC, provide the staff and organization as described above and perform the functions outlined in the recommended program and procedures.

Deliverables from this phase include:

1. Detailed documentation of the above analysis, recommendations and plans;

2. Cost, time and resource estimates for Vendor performance of future deployment activities; and,

3. Other deliverables to be determined during the contract negotiation period.

### 2.3.4  Maintenance and Support

The Vendor is required to provide maintenance and support services to support the IS Backbone solution in the technology environment described in this RFP.  This includes supporting the solution during initial implementation and deployment, and post-deployment. Vendor activities include:

1. Validate requirements and develop detailed plans and processes that are in compliance with AOC and CCTC requirements.

2. Provide technical support to identify, report and resolve problems with the ISB solution components

3. Provide change management services with minimal disruption of service

4. Provide technical and user support including online, help desk and in-person assistance
5. Provide software upgrades, fixes and enhancements as required
6. Provide training for the AOC technical staff on the solution components and operation.

Deliverables from this activity are:

1. A detailed maintenance and support plan coordinated with CCTC and approved by AOC.  This plan should include approach, tasks, resources, timing and cost estimates, and assumptions for AOC resources and responsibilities.
2. Support and maintenance agreements negotiated with AOC documenting the above analysis, recommendations and plans; and,
3. Other deliverables to be determined during the contract negotiation period.

### 2.3.5   Training

Training and knowledge transfer requirements are included in each of the major activities of the project approach as defined in Sections 2.3.1 through 2.3.4 above.  The nature and amount of training required may be modified as the AOC determines the long term strategy for supporting and deploying the ISB solution.  The AOC expects that the Vendor will be flexible in customizing and scaling the training offerings as appropriate if the AOC transfers major responsibility for the ISB solution to a Vendor. These alternatives and plans will be explored and decided during the contract negotiations period and performance of the project activities described in this RFP.

# 3    PROCUREMENT AND EVALUATION PROCESS

This section presents information regarding proposal preparation that must be satisfactorily addressed in order for the AOC to consider the proposal and to compare submissions. It also outlines the criteria and process the AOC will use to evaluate Vendor proposals.

## 3.1    Proposal Schedule and General Instructions

Other key events from issuance through contract negotiations are scheduled as follows:

| No. | Events | Key Dates |
|---|---|---|
| 1 | Issue RFP | April 8, 2004 |
| 2 | Deadline for Vendor Requests for Clarifications or Modifications | April 22, 2004 |
| 3 | Proposal Due Date | May 7, 2004 |
| 4 | Interviews / Presentations | May 21, 2004 |
| 5 | Notice of Intent to Award | May 28, 2004 |

The RFP and any addenda that may be issued will be available on the following website: http://www.courtinfo.ca.gov/reference/rfp/.

## 3.2    Confidential Matters

### 3.2.1   Vendor Confidential Information
If any information submitted in Vendor proposals is confidential or proprietary, the Vendor must provide that information on pages separate from non-confidential information and clearly label those pages "CONFIDENTIAL."

In addition to labeling each confidential page, the Vendor must include the following statement on a separate page, indicating all page numbers that contain confidential or proprietary information:

*The information contained on pages _____ shall not be duplicated or used in whole or in part for any other purpose than to evaluate the proposal; provided that if a contract is awarded as a result of this proposal, the AOC shall have the right to duplicate, use or disclose this information to the extent provided in the contract. This*

*restriction does not limit the AOC's right to use the information contained herein if obtained from another source.*

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

## 3.3   Vendor Responsibility

Each Vendor must certify on company letterhead that neither it nor any of its proposed partners or subcontractors is currently under suspension or disbarment by any state or federal government agency, and that neither it, nor any of its proposed subcontractors are tax delinquent with the State of California. Vendors must also list all contracts with government or commercial customers that have been terminated for cause or default by any government or commercial customer during the five years preceding the submission of this proposal. The Vendor must acknowledge that if it or any of its subcontractors subsequently are placed under suspension or disbarment by a state or federal government entity or if the Vendor or any of its subcontractors subsequently become delinquent in California taxes, their proposal may be disqualified.

## 3.4   Acceptance

Submission of any proposal indicates a Vendor's acceptance of the minimum terms and conditions set forth in Appendix F (Minimum Terms and Conditions) of this RFP unless clearly and specifically noted otherwise in the proposal. If exceptions are taken, vendor must submit a "redlined" version of the term or condition showing exact proposed modifications to contract language proposed by the Vendor, including a statement as to the intent of the modification.  The Vendor's willingness to accept the minimum terms and conditions, with minor modifications, shall be an affirmative factor in the evaluation of the Vendor's proposal. By contrast, significant modifications to the terms or modifications to particular terms such as Indemnification, Limitation of Liability, Confidentiality, Data Security, etc., shall be a negative factor in the evaluation.

Any proposed additional terms affecting liability or allocation of risk must be set forth in detail, with exact proposed contract language provided.

## 3.5    Submission of Proposals

Responses to the solicitation document must be received before 1 p.m. (Pacific Standard Time) on the Proposal Due Date set forth in Section 3.1 (Proposal Schedule and General Instructions). This is the date and time the responses must be physically at the address noted below and not the postmark deadline. Responses not physically received by this time will be rejected.

Responses should be delivered or mailed to the following address:

> Judicial Council of California
> Administrative Office of the Courts
> Attn: Nadine McFadden
> 455 Golden Gate Avenue, 7th Floor
> San Francisco, CA 94102-3688

A receipt should be requested for hand-delivered material.

Each proposal and accompanying documents should be submitted in a sealed envelope, clearly marked with the project title, Vendor's name and return address. The submission should consist of twelve (12) hard copies and one (1) electronic format copy of the Proposal in MS Word Document or PDF format document, and twelve (12) hard copies and one (1) electronic format (Excel) copy of the Cost Proposal as described in Section 4.2.15 (Cost Proposal) must also be received no later than the date and time specified above.  **The cost proposal and Appendix G (DVBE Participation Form) must be submitted in a separately sealed envelope, clearly marked with the project title, Vendor's name and return address**.

## 3.6    Proposal Preparation Costs

Costs for developing proposals are entirely the responsibility of the Vendor submitting the proposal and shall not be chargeable to the AOC. There is no expressed or implied obligation by the AOC to reimburse an individual or firm for any costs incurred in preparing or submitting proposals, providing additional information when requested by the AOC or for participating in any selection interviews, presentations or demonstrations.

## 3.7    Pre-Proposal Conference

A formal Vendor's conference is not planned for this solicitation. Proposers should follow the procedures outlined in this section for questions, clarifications and comments.

## 3.8    Interpretations and Questions

Vendors requiring clarification of the intent of this solicitation document or on procedural matters should transmit those questions, by no later than the date indicated in Section 3.1 (Proposal Schedule and General Instructions), to the contact as stipulated in Section 3.5 (Submission of Proposals) of this RFP.

All questions related to the technical requirements or the Vendor's proposal must be submitted in writing. Questions received by 12:00 noon (PST) M-F will be posted with their answers on the Judicial Branch Website within five (5) business days after receipt: http://www.courtinfo.ca.gov/reference/rfp/.

Questions will not be accepted after the deadline stipulated in Section 3.1 (Proposal Schedule and General Instructions).

Vendors are specifically directed NOT to contact any AOC or court personnel for meetings, conferences, or technical discussions that are related to this RFP. Unauthorized contact of any AOC or court personnel may be cause for rejection of the Vendor's response.

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 in writing, conspicuously marking it as "CONFIDENTIAL." With the question, the Vendor must submit a statement explaining why the question is sensitive. If the AOC concurs that the disclosure of the question or answer would expose proprietary information, the question will be answered, and both the question and answer will be kept in confidence. If the AOC does not concur regarding the proprietary nature of the question, the question will not be answered in this manner and the Vendor will be notified.

## 3.9    Ambiguity, Discrepancies, and Omissions

If a Vendor submitting a proposal discovers any ambiguity, conflict, discrepancy, omission, or other error in this RFP, the Vendor shall immediately provide the AOC with written notice of the problem and request that the solicitation document be clarified or modified. Without disclosing the source of the request, the AOC may modify the solicitation document prior to the Proposal Due Date, as set forth in Section 3.10 (Addenda), by issuing an addendum and posting it to the AOC Website. http://www.courtinfo.ca.gov/reference/rfp/.

If prior to the Proposal Due Date a Vendor submitting a proposal knows of or should have known of any ambiguity, conflict, discrepancy, omission, or other error in this RFP but fails to notify the AOC within the time stated above, the Vendor shall submit its proposal it its own risk, and if the Vendor is awarded the contract, it shall not be entitled to any price or other adjustment to the contract for such reason.

## 3.10  Addenda

The AOC may modify the solicitation document prior to the Proposal Due Date by issuing and addendum and posting it to the AOC Website http://www.courtinfo.ca.gov/reference/rfp/. If any Vendor determines that an addendum unnecessarily restricts its ability to bid, it must contact the individual identified in Section 3.5 (Submission of Proposals) no later than one day following posting of the addendum.

## 3.11  Amendment or Withdrawal and Resubmission/Modification of Proposals

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 Vendor must sign the notice. The Vendor may thereafter submit a new or modified proposal, provided that it is delivered or mailed as set forth in Section 3.5 (Submission of Proposals).  Modification offered in any other manner, oral or written, will not be considered. Proposals cannot be changed or withdrawn after the Proposal Due Date.

## 3.12  Authorized Signatures and Validity Period of Proposals

Proposals must include the Vendor name and address and be signed by a duly authorized officer or employee of the Vendor.

If the Proposal is made by a sole owner, it shall be signed by the sole owner; if it is made by a partnership, it shall be signed by a member of the partnership and include the name and address of each member of the partnership; and if it is made by a corporation, it shall be signed by two (2) officers of the corporation, consisting of one of each of the following: (a) the chairman of the board, president or vice president, and (b) the secretary, assistant secretary, chief financial officer, or assistant financial officer. If the proposal made by a corporation is signed by a person other than an officer or by only one officer, there must be attached to the proposal satisfactory evidence that the person signing is authorized by the corporation to execute contracts and bind the corporation on its behalf (e.g., certified copy of a corporation resolution or copy of appropriate corporate bylaws). If it is made by a joint venture, it shall be signed on behalf of each participating

company by officers or other individuals who have the full and proper authorization to do so as noted above.

Throughout the term of the ISB project, the Vendor shall be the prime contractor for all services and/or obligations that are subcontracted and must guarantee the performance of its subcontractors, including, by way of example, guaranteeing that the subcontractors meet all service level requirements. Further, the AOC will consider the Vendor to be the sole point of contact with regard to contractual matters with subcontractors, including payment of any and all charges resulting from the cost of any subcontract. The Vendor is responsible for all payments and liabilities of all subcontractor(s). The AOC reserves the right to approve or reject, in writing, any proposed subcontractor. If the AOC rejects any proposed subcontractor in writing, the Vendor shall assume the proposed subcontractor's responsibilities. The Vendor may propose another subcontractor if, in the AOC's judgment, it does not jeopardize the effectiveness or efficiency of the project. Any subcontractors will be subject to AOC approval. Nothing contained in this RFP shall create or be construed as creating any contractual relationship between any subcontractor and the AOC.

Proposals will be valid for a period of one hundred twenty (120) days. In the event a final contract has not been awarded by this date, the AOC reserves the right to negotiate extensions to the validity period.

## 3.13  Knowledge of Requirements

Proposers shall be responsible for knowledge of all items and conditions contained in their proposals and in this RFP, including any AOC issued clarifications or modifications. The AOC will post addenda and clarifications to the RFP at (http://www.courtinfo.ca.gov/reference/rfp/. It is the Vendor's responsibility to ascertain that the proposal includes all addenda issued prior to the proposal due date.

## 3.14  Evaluation

An evaluation team will review in detail all proposals that are received to determine the extent to which they comply with solicitation document requirements.

### 3.14.1 Evaluation Criteria
Proposals will be evaluated by the AOC based on the following priorities in descending order:

1. Ability to meet the functional and technical requirements defined in this RFP.

2. Ability to meet the short term and potential long term implementation, deployment and other services requirements defined in this RFP.
3. Vendor's response to the attached minimum terms and conditions set forth in Appendix F (Minimum Terms and Conditions).
4. Compatibility of the solution with the CCTC technology infrastructure.
5. Provision of support and maintenance requirements.
6. Qualifications of the Vendor team to be assigned to this project.
7. Quality of the work plan.
8. Subcontractor roles and responsibilities and distribution of work effort between Vendors.
9. Ability to meet schedules established for this RFP.
10. Pricing.
11. Hardware requirements.
12. References and relevant experience.
13. Vendor's business and financial strength.
14. Other factors referenced in this RFP.

Not withstanding the criteria listed above, the AOC reserves the right to modify the evaluation priorities that the AOC determines to be the best potential value for the performance of the ISB project.

### 3.14.2  Rejection of Proposals
The AOC, at its complete discretion, may eliminate proposals that have not scored adequately in relation to other proposals to warrant further consideration.  The AOC may reject any or all proposals, in whole or in part, 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.

### 3.14.3  Request for Additional Information
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.

### 3.14.4  Interviews, Negotiation and Selection
The AOC evaluation team will examine all proposals received. It is the intent of this team to select two or more proposals and to invite the Vendors submitting them to a question-and-answer presentation and /or demonstration. After this stage, the evaluation team will

negotiate with the Vendor(s) who have presented, in the opinion of the AOC evaluation team, the best proposal(s), in an attempt to reach an agreement. If no agreement is reached, the evaluation team can negotiate with the other Vendors or make no award under this RFP.

Following the initial screening of proposals and / or the selection of two or more finalists, the AOC reserves the right to require that each Vendor be prepared to conduct oral presentations, solution demonstrations and other discussions (written or verbal) on the content of its proposal. The AOC reserves the right to interview one or more proposers, or none. Proposers will be responsible for all costs related to the above activities.

At any time, the evaluation team can reject all bids and make no award under this RFP. Moreover, the AOC reserves the right to reconsider any proposal submitted at any phase of the procurement. It also reserves the right to meet with Vendors to gather additional information.

### 3.14.5  No Exclusivity
The AOC reserves the right to purchase additional or similar services described in this RFP from a third party if it is deemed to be in the AOC's best interest. Accordingly, nothing in this RFP or any resulting contract shall be considered an exclusive services arrangement with the selected Vendor, unless specified as such in a resulting contract.

### 3.14.6  Award
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.  Award, if made, will be made within forty-five (45) days after selection of the Vendor. However, a Vendor may extend its offer in writing beyond forty-five (45) days in the event of a delay caused by a protest of the intended award.

A notice of Intent to Award will be issued to all proposers at least three (3) calendar days prior to the date that action to award the contract will be taken. Upon award, the successful proposer(s) will be required to execute the agreement (s).

The RFP does not constitute a contract or an offer of employment. The awarding of any contract pursuant to this RFP is contingent upon funds being made available by the state in the appropriate fiscal year for the purposes of this project. In addition, any contract awarded as a result of this RFP is subject to any additional restriction, limitation or condition enacted by the Legislature or established by the Judicial Council of California that may affect the provisions, funding or terms of the contract in any manner. The AOC

reserves the right to make one award, multiple awards in whole or in part, or reject all proposals submitted in response to this RFP.

The state also reserves the right to modify or cancel the solicitation document in whole or part.

### 3.14.7 Protest Procedures

Protests filed by Vendors shall be based upon one or both of the following grounds:

1. The AOC failed to follow procedures and adhere to requirements set forth in the solicitation or any addendum thereto.
2. The Vendor alleges misconduct or impropriety by the AOC or a member of the Evaluation Committee.

Failure to comply with the protest procedures stated herein may result in rejection of the protest. No contract award will be made until completion of the protest procedures.

**3.14.7.1 Protest Based Upon Specifications.** Any protest based on alleged improprieties in the RFP process which are apparent, or reasonable should have been discovered prior to submission of a proposal, such as allegations that the specifications are unduly restrictive, must be filed at least five (5) calendar days prior to the Proposal Due Date specified in Section 3.1 (Proposal Schedule and General Instructions) at the following address:

> Mr. Grant Walker
> Manager, Business Services
> Judicial Council of California
> Administrative Office of the Courts
> Finance Division, Business Services Unit, 7$^{th}$ floor
> 455 Golden Gate Avenue
> San Francisco, CA 94102-3660

The protest must clearly specify in writing the grounds and evidence on which the protest is based.  The protester shall have exhausted all administrative remedies, such as those specified in Section 3.8 (Interpretations and Questions), Section 3.9 (Ambiguity, Discrepancies and Omissions), and Section 3.10 (Addenda), as applicable, prior to submitting the protest.

The AOC Business Services Manager will respond to the protest with a written determination prior to the proposal deadline.  The AOC Business Services Manager's

decision will be final.  Where the determination on the protest could affect the proposal response, an appropriate extension of the Proposal deadline may be granted.

**3.14.7.2 Protest Based Upon Notice of Intent to Award.** Protests based upon alleged improprieties that are not apparent or which could not reasonable have been discovered prior to the Proposal Closing Time, such as allegations that the evaluation process was carried out improperly, must be filed within three (3) calendar days of Vendor's receipt of Notice of Intent to Award with the AOC Business Services Manager specified above.

The protest must be in writing and must clearly specify the grounds and evidence on which the protest is based.  If the protestor later raises new grounds or new evidence not previously set forth in the written protest that reasonably could have been raised when the protest was initially submitted, such new grounds or evidence will not be considered in the determination of the protest.

The AOC Business Services Manager will respond to the protest with a written determination prior to contract award.  If the protest is denied, the protestor may appeal the determination by filing a written request for review within three (3) calendar days from receipt of the notice of denial addressed as follows documentation. The appeal must be sent by certified or registered mail or hand delivered to:

> Mr. Ronald Overholt, Chief Deputy Administrative Director of the Courts
> Administrative Office of the Courts
> 455 Golden Gate Avenue
> San Francisco, CA  94102-3660

The request for review must specify all grounds and evidence on which the appeal is based.  The AOC's Chief Deputy Administrative Director will review the AOC Business Services Manager's decision, the protestor's submission, and any other relevant information, and thereupon render a decision in writing to deny or allow the protest and the reasons therefore.

### 3.14.8  Contract Negotiation
This procurement involves negotiated software and professional services contracts. The AOC may choose to sign joint or separate licensing and implementation services agreements with the Vendor. If a software Vendor partners with an implementation firm when responding to this proposal, the software firm will be considered the primary Vendor and project manager, unless otherwise designated. Thus, if the AOC is not satisfied with the implementation firm proposed, it reserves the right to ask the software Vendor to propose a different implementation partner at any time during the process. All

firms submitting proposals, by virtue of doing so, are recognizing that the AOC retains this option.

The AOC may negotiate with Vendors throughout the procurement period. The AOC may also choose to enter into parallel negotiations on price and terms.

It is the intention of the AOC to incorporate the minimum terms and conditions set forth in Appendix F (Minimum Terms and Conditions) into any contract awarded under this RFP. The Vendor  must submit one of the following: either (i)  an affirmative statement that the Vendor will accept the AOC's Minimum Terms and Conditions (as set forth in Appendix F) without modification; or (ii) a redline against the AOC's Minimum Terms and Conditions showing the Vendor's exceptions, with a summary explanation of the reasons for those exceptions.  Do not submit any alternative form of contract. Only a redline against the AOC's Minimum Terms and Conditions will be considered.

## 4      PROPOSAL FORMAT AND CONTENT

### 4.1    General Guidelines

Vendors are requested to submit proposals that are prepared simply and economically, providing a straightforward, concise and complete description of the vendor's ability to meet the requirements of this RFP.

 Emphasis should be concentrated on accuracy, completeness, and clarity of content. Vendors are cautioned against submitting excessive and extraneous materials not directly responsive to the issues raised in the RFP. The inclusion of marketing collateral, data sheets, industry publication reproductions, and white papers, is specifically discouraged. If such materials apply directly to a response, the relevant portions from the items should be incorporated into the response.

### 4.2    Proposal Organization

In order to facilitate analysis, RFP responses should be organized in accordance with the instructions in this section. All parts, pages, figures, and tables must be numbered and clearly labeled. The proposal should be organized into the following major sections:

| Section | Contents |
|---|---|
|  | **Title Page** |
|  | **Letter of Transmittal** |
|  | **Table of Contents** |
| 1.0 | **Executive Summary** |
| 2.0 | **Company Profile and Qualifications** |
| 3.0 | **Proposed Solution** |
| 4.0 | **Functional Requirements** |
| 5.0 | **Technical Requirements** |
| 6.0 | **Initial Implementation** |
| 7.0 | **Initial Court Deployment** |
| 8.0 | **Professional Services** |
| 9.0 | **Training Plan** |
| 10.0 | **Maintenance and Support** |
| 11.0 | **Project Team** |
| 12.0 | **Project Approach and Work Plan** |
| 13.0 | **Client References** |
| 14.0 | **Cost Proposal** |
| 15.0 | **Exceptions to the RFP** |

| Section | Contents |
|---|---|
| **16.0** | **Development and Production Environment Requirements** |

### 4.2.1  Letter of Transmittal

The Vendor must prepare a cover letter on the Vendor's business letterhead to accompany the proposal. This should be a brief letter signed by an individual who is authorized to bind the firm to all statements, including services and prices contained in the proposal. The letter must state the length of time the proposal terms remain firm, which must be for a minimum of 120 days from the proposed due date. An unsigned cover letter will cause rejection of the proposal.

### 4.2.2  Executive Summary (Section 1.0)

This part of the response should be limited to a brief narrative highlighting the Vendor's proposal. The summary should contain as little technical jargon as possible and should be oriented toward non-technical and business personnel.

This section includes a general discussion of the Vendor's understanding of the AOC's needs and the overall project, the scope of work proposed, and a summary of the features of the proposed solution and services. This section should also provide a schematic of the proposed solution and the proposed or assumed technology environment.

### 4.2.3  Company Profile and Qualifications (Section 2.0)

Vendors must provide a statement of qualifications for each company presented, so that the AOC can evaluate the Vendor's stability and ability to support the commitments set forth in response to the RFP. The introduction to this section should identify any partners or third parties included in the Vendor's proposal, and the structure of the relationship between the Vendor and each third party.  The AOC expects that the Vendor submitting the proposal will be the prime contractor.

The AOC, at its option, may require a Vendor to provide additional support and/or clarify requested information.

 This overview shall minimally include:

1. A brief background of the company, indicating history, primary business location, local (California) presence, years in business, size, and organizational structure.
2. A description of the business focus for the Vendor's division or organizational entity responsible for the products and services in the proposal (if appropriate).
3. Vendor's qualification and experience with providing similar solutions. Length of time the company has been selling the proposed software.

4. Discussion of the financial condition of the company. The most recent audited financial statements for the software Vendor and implementation partner should be discussed and attached as appropriate (e.g. annual sales, profitability, annual report, etc.).

5. Disclosure of any judgments, pending litigation, or other real or potential financial reversals that might materially affect the viability of the Vendor(s) organization or public safety products, or warranty that no such condition is known to exist.

6. Disclosure of any known or planned sale, merger, or acquisition of Vendor's company.

7. List of public sector installs by name and state with state government customers listed first.

8. Any materials (including letters of support or endorsement from clients) indicative of the Vendor's capabilities.

The principal purpose for requesting the above financial information about the Vendor's company is to determine financial qualification. California state policy and state and federal statues authorize maintenance of this information. Failure to provide this information will delay or may even prevent completion of the action for which this information is sought.

### 4.2.4   Proposed Solution (Section 3.0)

This part of the response is a free narrative section to be created by the Vendor. The discussion should provide comprehensive information about the actual solution and services being proposed to address the RFP. The content may overlap the content provided in other sections of the response but should avoid directly replicating other content. It is acceptable to refer to the detailed information and supporting tables, charts, and graphs provided in other sections of the response.

For each of the elements in this section, the Vendor should indicate how the Vendor's proposed solution aligns with the requirements presented in this RFP. Where appropriate, the Vendor is also encouraged to indicate alternatives and any changes that are recommended or required to achieve an optimal implementation of the proposed solution, along with a rationale for the recommendation.

At a minimum, this section should include the following:

1. An overview of the proposed solution. Provide a complete description, including the key features of the solution as well as how these features will address the stated needs. The Vendor should provide a description and schema

of the integration architecture and explain how it supports the court's multi-jurisdictional environment. Explain the infrastructure components incorporated in or assumed by the proposal. The Vendor should also explain how this solution complies with or deviates from the CCTC environment as presented in this RFP.

2.  A detailed explanation of the features and capabilities of each of the products, tools, and other components that comprise the proposed solution. For each, provide a product description, current release level, date it was generally available, projected date of general availability of next level, and current product install base (number of companies and users). A statement of how each product is aligned with the requirements stated in this RFP should be included. The Vendor must explicitly identify any third-party and proprietary components that are part of the proposed solution. For each, the Vendor should explain the implications for the AOC's desire for a fully integrated and open solution and the reasons why this solution is recommended. For each third-party product there must be a statement about whether the vendor's contract will encompass the third-party product and/or whether the AOC will have to contract on its own for the product.

3.  Include a description of any products, features or other value-added components available for use with the proposed solution that have not been specifically requested in this RFP.

4.  An explanation of how the solution incorporates and supports the existing and planned data exchange standards and the judicial branch data dictionary. If appropriate, the Vendor should expand on other recommended approaches.

5.  An explanation of the services included in the proposal and a summary of how the services align with the requirements.

### 4.2.5   Functional Requirements (Section 4.0)

This section consists of two parts. First, a narrative section to be created by the Vendor, directly related to the functional requirements described in the RFP, Section 2.1 (Functional Requirements). Within the response, the Vendor should provide a brief understanding of the AOC's stated requirements and how they are addressed by the Vendor's solution.

This section should also include a detailed response to the specific requirements listed in Appendix C (Functional Requirements Matrix). The organization of this section should match the categories in the Matrix.

### 4.2.6 Technical Requirements (Section 5.0)

This section consists of two parts. First a narrative section to be created by the Vendor, directly related to the requirements described in Section 2.2 (Technical Requirements) of the RFP. Within the response, the Vendor should demonstrate understanding of the AOC's stated requirements and how they are addressed by the Vendor's solution.

This section should also include a detailed response to the specific requirements listed in Appendix D (Technical Requirements Matrix). The organization of this section should match the categories in the Matrix.

### 4.2.7 Initial Implementation (Section 6.0)

The Vendor must outline the steps it will execute to complete the initial implementation of the proposed ISB solution in a production environment as described in Section 2.3.1 (Phase 1: Initial Implementation). This should include requirements, configuration, testing and documentation. The plan must include an estimated time frame for configuration by module. In addition, if the proposed solution requires that modules be deployed in a specific sequence, details, interdependencies and staging plans should be described.

The vendor should clearly indicate all assumptions regarding use of AOC resources, including, at a minimum, prerequisite skills, estimated work effort and specific tasks to be performed. If the Vendor plans to use the AOC computer facility in San Francisco as a development environment, the requirements must be clearly stated.

### 4.2.8 Initial Court Deployment (Section 7.0)

This is a narrative section to be created by the Vendor regarding the proposer's approach and plan for assisting with initial deployment of the integration backbone solution as described in Section 2.3.2 (Phase 2: Initial Deployment Project) of the RFP. The Vendor should provide a brief statement of understanding of the project and detailed information of the services to be provided to deliver the initial solution. The proposer should also include a statement on how they plan to work with the various other parties currently involved in this project. At a minimum, this section should include the following:

1.  A proposed work breakdown structure for performing the Vendor's responsibilities outlined in Section 2.3.2.
2.  A general description of the resources proposed to perform the project, including skills, projected activities, and estimated work effort.
3.  A description of the deliverables that will be created during the project.
4.  Any assumptions regarding the scope that are not contained in the RFP.
5.  Any assumptions regarding AOC or other resources required to accomplish the Vendor's tasks.

### 4.2.9   Professional Services (Section 8.0)

Based on the requirements specified in Section 2.3.3 (Phase 3:  Additional Professional Services), the Vendor should include the following:

For the long term organization and program recommendations

1. A description of the approach the Vendor will use to design the recommended organization and programs.
2. A statement of the Vendor's ability to staff and perform the scope of work that will result from acceptance of the Vendor's recommendations, including whether those resources would be employees of the Vendor's company, partners or subcontractors.
3. Examples of similar work performed for other clients

For other professional services that may be provided:

1. A description of the Vendor's general professional services offerings and capabilities that are applicable to the activities presented in this RFP.
2. A statement of the types of resources and skills that are recommended and that the Vendor is prepared to provide.  Indicate whether those resources would be employees of the Vendor's company, partners, or subcontractors.
3. Provide examples of similar work preformed for other clients.
4. Include the prices and terms associated with these services if provided under contract to the AOC as part of this procurement, and if procured separately by courts, counties or local justice partners.

### 4.2.10  Training Plan (Section 9.0)

This section should outline the Vendor's recommendations, offerings and plans to provide training for the ISB solution.  A narrative of the Vendor's approach should include a statement of understanding of the AOC's requirements and an explanation of how that approach will assist the AOC in supporting, managing, maintaining and utilizing the solution. The Vendor should also verify understanding that the nature and amount of training may change based on decisions to be made regarding the allocation of responsibility between the AOC, the CCTC and the Vendor, and explain the flexibility and scaling capabilities of the proposed training to address that situation. Where appropriate, the Vendor should describe minimum and maximum training recommendations and provide rationale. Based on the requirements specified in Section 2.3 (Project Approach), the Vendor should include cover, at minimum:

1. The Vendor's recommended and available training for AOC and CCTC staff on the proposed solution equipment and software as defined in Section 2.3.1 (Phase 1: Initial Implementation).
2. The Vendor's recommended and available training to assist the AOC, courts and justice partners involved in the interface development activities described in Section 2.3.2 (Phase 2: Initial Deployment Project).
3. For all training, a clear definition of the proposed methods, tools, assumptions and documentation provided.
4. A comprehensive plan which includes training by job category, prerequisite skills, class duration and location and costs.
5. The Vendor's recommendations, if any, and approach for informal knowledge transfer, mentoring or other methods to achieve the appropriate competency levels.

### 4.2.11 Maintenance and Support (Section 10.0)

This section should detail the post-implementation and ongoing support provided by the Vendor(s). Describe Vendor's recommended approach for supporting the proposed solution in the technology environment described in this RFP. Based on the requirements specified in Section 2.3.4 (Maintenance and Support), the Vendor should include the following:

The Vendor should, at a minimum, include a description of the following:

1. The documented support plan and processes, and the Vendor's approach to coordinating with the CCTC staff on its development.
2. Post-implementation support (e.g., 3 months of on-site support after go-live, to be provided)
3. Telephone support (include toll-free support hotline, hours of operation, availability of 24 x 7 hotline, etc.).
4. Special plans defining "levels" of customer support (e.g., gold, silver, etc.).
5. Delivery method of future upgrades and product enhancements.
6. Availability of user groups.
7. Problem reporting and resolution procedures.
8. Bug Fixes and Patches.
9. Warranties.
10. Other support (e.g., on-site, remote dial-in, Web site access to patches, fixes and knowledge base).

Describe any assumptions for use of AOC and CCTC resources and responsibilities.

### 4.2.12 Project Team (Section 11.0)

Describe the proposed project organization structure for implementation of the proposed solution, including:

1. Indication of the individual who will assume overall responsibility for the Vendor's activities and responsibilities in the project. Information should include name, address, telephone number and e-mail address of the designated individual.

2. Identification of the project manager responsible for day-to-day operations and on-site activities. This should include a resume outlining the project manager's skills, qualifications, tenure with the Vendor, and experience. If the project manager is a sub-contractor, briefly describe the relationship between the subcontractor and the proposing team.

3. Identification of the technical lead for the project, who will play the primary hands-on leadership role in all technical aspects of the project. This shall include a resume outlining the technical lead's skills, qualifications, tenure with the Vendor, and experience. If the technical lead is a sub-contractor, briefly describe the past relationship between the subcontractor and the proposing firm.

4. Other proposed team members. For each, define the anticipated role and briefly summarize their skills and qualifications. Please identify positions that will be filled by sub-contractors. Resumes for other key team members should be included.

5. A project organization chart outlining the Vendor's team and how it will be structured and organized, clearly illustrating lines of authority.

6. Proposals should include any assumptions for the provision of AOC, court and justice partner resources including hardware, software, facilities, equipment and staff to support the Vendor's team.

### 4.2.13 Project Approach and Work Plan (Section 12.0)

The Vendor should include a description of their consulting services approach and the proposed project methodology that will be used to implement and deploy the ISB. The plan should be presented according to the major phases and activities outlined in Section 2 (Project Scope and Approach). This section should detail the tasks, estimated time and work effort to accomplish the requirements described in this RFP.

If the Vendor is using a third-party company(s) for any part of the services in this RFP, the Vendor must present a description of the services to be provided and the percentage of the total work effort to be subcontracted.

Please provide any assumed work effort estimates for AOC and contractor staff by task for each phase.

### 4.2.14 Client References (Section 13.0)

Proposals should be accompanied by five (5) customer references of previous or current relevant work. This information must include:

1. Company full name
2. Project name, description and dates
3. Contact individual (must be currently employed at above Company)
4. Contact telephone number
5. Description of how the referenced project is similar to the project defined in this RFP

### 4.2.15 Cost Proposal (Section 14.0)

In this section, the Vendor should include a brief narrative explaining the Vendor's pricing philosophy and budget justification for this scope of work. This section should also summarize all costs for the proposal, including the applicable pricing information set forth in Appendix G (DVBE Participation Form) and any pricing information included in other sections of the response. Vendors must use the format presented in Appendix E (Pricing Worksheet). The AOC is asking Vendors to estimate costs for all categories. Assumptions should be identified and elaborated in an attachment to the pricing worksheet.

Proposals should include a detailed breakdown and itemization of the following:

1. Software product licensing fees, itemized by component, with identification of the minimum or core configuration recommended meeting the requirements and any components that can be added later. A single, enterprise license for all products is required.
2. The Vendor must also identify any components that must be acquired by the justice partners and the pricing for those components.
3. Software support and maintenance fees detailed and expressed on an annual basis for a period of five (5) years.
4. Costs for the purchase of the hardware required to support the development and implementation of the solution of the solution should be detailed.
5. Costs for the services to achieve initial implementation and initial deployment should be on a fixed price or not-to exceed basis.
6. General consulting and professional services costs should be detailed by each major task included in the work plan. The Vendor's rate structure for potential future work should be outlined.

7. Training can be expressed on a per-class or per-person basis for a defined scope of work as appropriate for the services recommended. This pricing should be on a fixed price or not to exceed basis. Any general knowledge transfer activities should be consistent with the professional services rate structures above.

8. The Vendor's expectations regarding travel and living, facilities, materials and any other costs should be explicitly stated.

## 4.2.16  Exceptions to the RFP (Section 15.0)

Exceptions shall be clearly identified in this section and written explanation shall include the scope of the exceptions, the ramifications of the exceptions for the AOC, and the description of the advantages or disadvantages to the AOC as a result of exceptions. The AOC, in its sole discretion, may reject any exceptions within the proposal. Any exceptions to the Judicial Branch contract terms and conditions will severely limit Vendor evaluation.

The Vendor  must submit one of the following: either (i)  an affirmative statement that the Vendor will accept the AOC's Minimum  Terms and Conditions (as set forth in Appendix F) without modification; or (ii) a redline against the AOC's Minimum Terms and Conditions showing the Vendor's exceptions, with a summary explanation of the reasons for those exceptions.  Do not submit any alternative form of contract.  Only a redline against the AOC's Minimum Terms and Conditions will be considered.

## 4.2.17  Development and Production Environment Requirements (Section 16.0)

The Vendor should clearly identify the hardware and other infrastructure requirements for implementing the proposed solution.

1. Describe the ideal hardware environment required to utilize the proposed solution. In the event there is more than one, identify the best options, indicating the relative strengths and drawbacks (if any) of each.

2. Describe how this recommendation will fit into the CCTC environment as described in this RFP.

3. If the Vendor envisions using the AOC computer facility as a development environment, this section should also detail those requirements.

4. Include a complete hardware product list for the proposed environment(s) for development and production.

The infrastructure components necessary to implement and deploy the proposed solution are not a part of the Vendor's responsibilities, but will considered in the overall evaluation process.

## 5      GENERAL CONDITIONS

This section includes AOC policies and requirements not covered in other sections of this RFP.

### 5.1     Third-Party Contractor

Should any Vendor consider using a third-party firm for any part of the materials or services requested in this RFP, the Vendor must submit with its proposal a description of the material or service to be provided or performed and the percentage of the total work effort to be subcontracted.  The Vendor shall not enter into subcontract agreement for any part of the materials or services without AOC's prior consent and without providing the AOC with a copy of the subcontract to ensure that the subcontractor meets all of the AOC's purchasing procedures and business partnering requirements.

The prime contractor is responsible for the management and work quality of all subcontractors.

### 5.2     Governing Law

The laws of the State of California shall govern this RFP process and any contract awarded under this RFP, without reference to conflicts of law principles.  All materials and services provided to the AOC shall comply with all AOC policies, rules, and regulations, which may be in effect during the term of any contract awarded under this RFP, as well as all federal, California, and local statues, ordinances and regulations.

### 5.3     Contract Execution

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, including but not limited to the Minimum Terms and Conditions set forth in Appendix F.

### 5.4     News Releases

News releases pertaining to the award of a contract may not be made by Vendors without prior written approval of the Business Services Manager of the Administrative Office of the Courts.

## 5.5   Disabled Veteran Business Enterprise Participation Goals

The State's Executive Branch requires, and the AOC has a policy for, contract participation goals of three percent (3%) for disabled veteran business enterprises (DVBEs). Therefore, your response should demonstrate DVBE compliance; otherwise, if it is impossible for you firm to comply, please use the DVBE Participation Form attached as Attachment G to explain why, and demonstrate written evidence of a "good faith effort" to achieve participation. Your firm must complete the attached DVBE participation requirement form even if it is only to explain why your firm cannot achieve the participation goal. Completing the attached form to the extent feasible is mandatory to be responsive to this solicitation's requirements. If your firm has any questions regarding the form, you should contact the Contracting Officer, Monica Lee at (415) 865-7991.  For further information regarding DVBE resources, please contact the Office of Small Business and DVBE Certification, at (916) 375-4940.

## APPENDICES

### A – Acronyms

Separate Attachment.

### B – Key Applications

Separate Attachment.

### C – Functional Requirements Matrix

Separate Attachment.

### D – Technical Requirements Matrix

Separate Attachment.

### E – Pricing Worksheet

Separate Attachment.

### F – Minimum Terms and Conditions

Separate Attachment.

### G – DVBE Participation Form

Separate Attachment.

# APPENDIX A
## ACRONYMS

| | |
|---|---|
| 2GEFS | The Second Generation Electronic Filing Specification |
| 3DES | Triple Data Encryption Standard |
| AOC | Administrative Office of the Courts |
| API | Application Program Interface |
| APPC | Advanced Program-to-Program Communication |
| ASCII | American Standard Code for Information Interchange |
| ATM | Asynchronous Transfer Mode |
| AWS | Automated Warrant System |
| BPR | Business Process Reengineering |
| CCMS | California Case Management System |
| CHP | California Highway Patrol |
| CLETS | California Law Enforcement Technology System |
| CMS | Case Management System |
| COTS | Commercial Off-The-Shelf |
| DBMS | Database Management System |
| ISB | Integration Services Backbone |
| DMV | Department of Motor Vehicles |
| DMZ | Demilitarized Zone |
| DOJ | Department of Justice |
| DS3 | Digital Signal 3 |
| EBCDIC | Extended Binary Coded Decimal Interchange Code |
| EDI | Electronic Data Interchange |
| FTP | File Transfer Protocol |
| GIF | Graphics Interchange Format |
| HTTP | Hypertext Transfer Protocol |

| HTTPS | Hypertext Transfer Protocol over Secure Socket Layer |
|-------|------------------------------------------------------|
| IEEE | Institute of Electrical and Electronics Engineers |
| IPSec | Internet Protocol Security |
| IVR | Interactive Voice Response |
| JBSIS | Judicial Branch Statistical Information System |
| JIEM | Justice Information Exchange Model |
| JPEG | Joint Photographic Experts Group |
| JXDD | JusticeXML Data Dictionary |
| LDAP | Lightweight Directory Access Protocol |
| LU | Logical Unit |
| MOU | Memorandums Of Understanding |
| OS | Operating System |
| RMON | Remote Network Monitoring |
| ROA | Register of Actions |
| SMS | Short Message Service |
| SMTP | Simple Mail Transfer Protocol |
| SNA | Systems Network Architecture |
| SNMP | Simple Network Management Protocol |
| SOAP | Simple Object Access Protocol |
| SQL | Structured Query Language |
| SSL | Secure Socket Layer |
| TCP/IP | Transmission Control Protocol/Internet Protocol |
| TLS | Transport Layer Security |
| TPS | Transaction Processing Systems |
| UDDI | Universal Description, Discovery, and Integration |
| VLAN | Virtual Local Area Network |
| VPN | Virtual Private Network |
| VSAM | Virtual Storage Access Method |

| WAN | Wide Area Network |
|-----|-------------------|
| WAP | Wireless Application Protocol |
| WSDL | Web Services Description Language |
| XML | Extensible Markup Language |
| XSLT | Extensible Stylesheet Language Transformations |

# Appendix B

## KEY APPLICATIONS

The following section describes the major applications currently defined which will potentially utilize the ISB solution.

### B.1  Case Management Systems

Case management is the main application for the courts, used as the repository for all information and events associated with each case. A case management system typically supports one or more selected types of cases so that multiple CMS applications may be found in a single jurisdiction. These applications are summarized below.

**B.1.1  Interim CMS Systems.** In order to stabilize courts with critical needs, the AOC certified packages from five existing Vendors to be provided as interim solutions – Affiliated Computer Services, Inc. (ACS), SUSTAIN Technologies, Inc., MAXIMUS, ISD Corporation and HTE, Inc. The certification process was designed to ensure that the courts obtain and employ applications that meet both their business needs and statewide requirements. There is wide variability among the Vendors in platform, operating system and DBMS employed. Predominant technologies are UNIX-variant and NT server operating systems, Windows operating system for the client and DB2 and Oracle DBMSs.

Information sharing requirements for these applications are being addressed by the Vendors. The feasibility for future migration to the ISB solution is being assessed by the AOC.

**B.1.2  California Case Management Systems. ("CCMS")** When fully implemented, CCMS is envisioned to meet the functional and technical needs of all courts. Towards that goal, several initiatives are underway:

**B.1.2.1  CCMS V2.** This CMS application is designed to handle criminal and traffic case types. This application is being developed by BearingPoint, Inc. and is scheduled for implementation in 10 larger courts starting summer, 2004. CCMS V2 is anticipated to be the initial application to utilize the ISB solution.

**B.1.2.2  CCMS V3.** This application will provide the overall, long-term architecture for all case types, and will include civil, small claims and probate case types. Deloitte Consulting is developing this application.

Future versions of CCMS will consolidate V2 and V3 and add juvenile and family case types. Specific plans and timetables have not been determined. Technical specifications for V4 and beyond have not been determined but can be assumed to be consistent with V3 architecture and standards.

**B.1.3    Appellate CMS.** The AOC has provided CMS applications for the California Courts of Appeal and Supreme Court. Design of a new system consolidating the Supreme Court and Court of Appeal CMS is currently underway and scheduled for completion within one year. Integration between the trial courts and the appellate courts is anticipated and should be planned for in the ISB solution.

**B.2    California Court Accounting and Reporting System ("CARS")**
SAP is the Enterprise Resource Planning (ERP) software standard for the courts. The original scope of CARS included finance (FI), controlling (CO), Materials Management (MM), Project Systems (PS), and Industrial Solution (IS) Public Sector.  Human Resources (HR) was recently added. Implementation of the financial modules for selected courts began in late 2003. Planning and development for HR is scheduled to begin in 2004. BearingPoint, Inc. is assisting the branch with the development and rollout of the CARS system.  All CARS functions will utilize the ISB solution.

**B.3    Jury Applications**
Jury Management System (JMS) applications are designed to select, process, manage report on, and pay jury members. Of the several JMS's being utilized throughout California, the two most commonly supported by the AOC are Vendor-packaged systems provided by Jury Systems Incorporated's (JSI's) Jury+ Next Generation, and ACS's eJuror. The branch plans to implement either system in most California courts throughout the state by 2006.

Any future JMS implementations are planned to utilize the ISB solution.

**B.4    Computer Aided Facilities Management ("CAFM")**
The AOC is in the process of procuring a common CAFM solution to track and manage court facilities, assets, and capital improvements, to be available in early 2005. The interface requirements for this application have not been finalized but will likely include Oracle and SAP financials, PeopleSoft and SAP HR, and SAP and/or Oracle Fixed Asset Tracking.

**B.5    Other Court Applications**
The AOC has several ancillary applications used to help support enterprise systems and users in various daily operations, including messaging applications and Web applications.

**B.6      State Applications**

**B.6.1      Department of Justice ("DOJ").** The DOJ maintains the Criminal History Repository for the State of California.  Much of the information that the court sends to the DOJ comes from other agencies, including law enforcement (LE), the District Attorney's office (DA), jail and others.  Each court receives this information from the originating agency, usually in paper or electronic format, updates its CMS and transfers the data to the DOJ.

Courts may provide data to the DOJ using one of several methods:
- The court gathers this information from documents submitted by the various partners and enters it into its CMS or onto a form to report to the DOJ.
- Data is sent to the court electronically, through application interfaces, then transferred to the DOJ from the court CMS.
- Courts share a CMS application with their local justice partners.
- The court completes and sends the required forms to the originating law enforcement agency, which then forwards it to the DOJ.

**B.6.2      Department of Motor Vehicles ("DMV").** The DMV is the agency that registers vehicles in California and issues licenses to drivers. The courts exchange information with the DMV using connections to networks maintained by the DMV. The courts are provided with access to driver history information that is used to determine fine amounts and eligibility for traffic school.

The courts provide the DMV with an abstract of court actions and notification of license holds and hold releases. The courts must apply to obtain access to this network, and the DMV provides a telephone help desk and other services to assist courts in seeking and maintaining this interface. The interface methods used for this integration are manual abstracts, direct update/inquiry using a DMV-connected terminal within the court or via the Internet, batch process including magnetic tape, online submission from the court's CMSs using advanced Program to Program Communications (APPC), and real-time online reporting form the courts, CMS to the DMV using APPC.

**B.6.3      Judicial Branch Statistical Information System ("JBSIS").** JBSIS is a statewide system for collecting court data and creating standardized statistical reports about court operations. JBSIS electronically captures and transmits case type and number of cases processed through the trial courts to a data warehouse, where it is made available to authorized justice partners.

Each court submits its JBSIS data monthly to the AOC by transmitting the data by e-mail or file transfer protocol (FTP). When transmitting, there are three formats allowed for the data to be received by the AOC: XML, ASCII, and CSV.

## B.7    Justice Partner Applications

There are a number of organizations and /or entities at the local level that the trial courts typically share or exchange information with including local law enforcement, Sheriff/Jail, District attorney, Public Defender, Probation, Human Services and the general public.