APPENDIX B-04 – OPTIONAL FUTURE IMPLEMENTATION

<u>Table of Contents</u>

1.0 Overview

This section provides background on Judicial Council of California's (JCC) current needs for a Software as a Service (SaaS) Enterprise Document Management System (DMS), describes its organizational structure and addresses the Future DMS Implementations for JCC entities.

The information presented in this section is for the Bidder's understanding of the vision for the future implementation projects of JCC entities and does not convey requirements for the DMS Program.

This section does not address Appellate court DMS implementation.

1.1 Introduction

The California Constitution directs the Judicial Council of California (JCC) to adopt rules for court administration, practice and process. The Judicial Council has administrative offices throughout California and these offices are the staff agencies for the Judicial Council which has policy-making authority over the state court system. The Courts and the Judicial Council together are defined as the Judicial Branch.

Recent Judicial Council assessments have revealed the need for an enterprise Judicial Branch Document Management System (DMS) to assist various Judicial Branch Entities (JBEs) such as Real Estate and Facilities Management (REFM), Branch Accounting and Procurement, and the Capitol Projects Program to capture, manage, store, share, and preserve essential case documents and administrative records. Electronic management and retention of court filings and other court documents have become critically important for the Judicial Council to leverage business process efficiencies.

Judicial Council may elect to implement the selected DMS within its entities, not limited to the Programs within the sample list above, in a staggered and simultaneous or sequential approach.

1.2 JCC Organizational Structure

Fig 1.2 JCC Organizational Chart

ORGANIZATIONAL STRUCTURE OF STAFF TO THE JUDICIAL COUNCIL OF CALIFORNIA

JULY 1, 2016
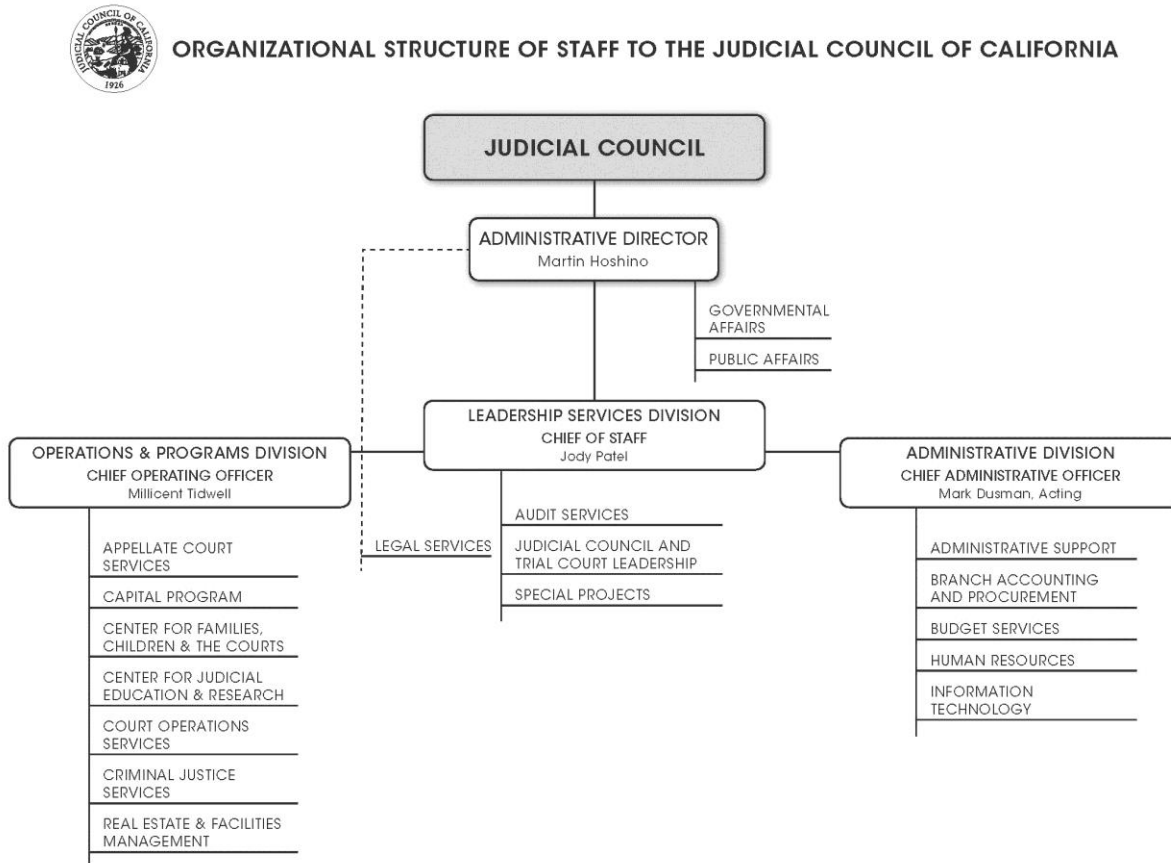
1.3   Future Implementation Approach

1.3.1 The future implementation approach in this section specifically applies to JCC entities' future implementations and deployments, not the Appellate Court deployment.

1.3.2 Future JCC deployments would be executed individually and by department specific to that organization's requirements.

1.3.2 The three (3) JCC programs providing combined requirements under this RFP are:

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

1.3.3 Any department and entity within JCC could be identified as a future deployment project, the above is just a sample of the JCC subset.

1.3.4 All JCC Implementation Projects will be funded separately and executed via a work order process.

1.3.5 The RFP seeks to identify DMS products that best support the technical integration with key branch initiatives, integrating with and/or complementing existing repositories and systems of record as necessary.

1.4   Current State

The various JCC entities have several methods for housing documents (shared access drives, ERP systems (Phoenix SAP or Human Resources Peoplesoft system) external vendors providing services to the REFM division (architectural, construction and design firms).

These systems house documents in multiple formats using various methods of storage. Depending on the JCC entity, most documents are stored on local drives or desktops or as hard copies in file cabinets (Branch Accounting & Procurement); some documents such as blueprints are housed at the vendor site or Sharepoint drives (REFM).

For a detailed overview of the JCC Program functionality and JCC identified high-level functionality please refer to RFP Section VI, Proposed Solution Requirements and RFP Appendix B, Requirements Response Matrices.

Figure 2. Conceptual Model
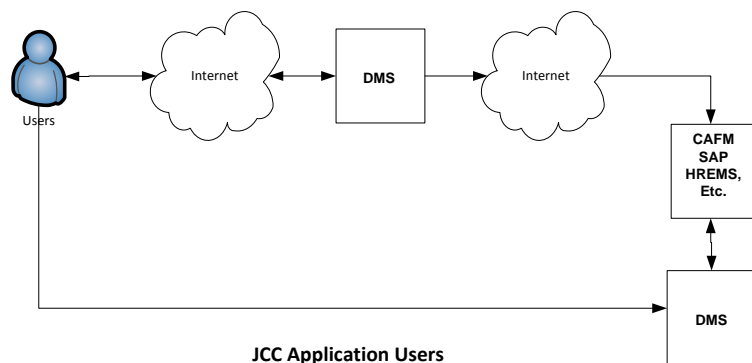
1.4.1 Program Overview

- **Real Estate & Facilities Management (REFM) Program**

The Real Estate & Facilities Management (REFM) office is responsible for managing the state judiciary's portfolio. REFM manages ongoing operational needs for more than 500 court judicial branch facilities, as well as site selection and acquisition for new capital projects; provides professional risk management support to all superior courts in the operation, management, and construction of court buildings.

Major areas of responsibility include management of a $216 million budget and staff of over 75 employees; acquisition and assemblage of sites for the SB 1732 and SB 1407 capital construction programs; analysis and potential transaction of approximately 270 leases, licenses and MOUs per year; administration of 362 leases representing over $330 million in contractual obligations; operation, maintenance, repair and modifications to a 20 million square foot portfolio of court properties housing the largest judiciary in the United States.

In partnership with the Information and Technology Services Office, the Real Estate and Facilities Business Application unit manages the Computer Aided Facility Management (CAFM) application. CAFM is used by the courts, JCC staff, and service providers to support Real Estate and Facilities Management (REFM) services such as maintenance requests and work dispatches, authorization of rental payments and permit management on several thousand assets within the branch and real estate portfolio. CAFM system's document repository functions are very limited in search, check in/out, and reporting capabilities. The unit maintains large size documents (CAD designs) on shared drives as well as blueprints hosted at the vendor site.

- **Capital Program (CP)**

The Capital Program office is comprised of the Business and Planning, Design and Construction and Risk Management unit, responsible to create and maintain court buildings.

Within the unit, documents and records are stored in various file formats including but not limited to MS Office files, PDF, CAD, audio/video, and the next generation CAD etc. Project Team stores and maintains the project documents (e.g., RFI, change orders, shop drawing logs, etc.) on FTP sites, on disk and sometimes as hard copies in a non-centralized manner.

- **Branch Accounting & Procurement (BAP)**

The Branch Accounting and Procurement office supports the State Judiciary and the Courts by providing accounting, procurement, and Enterprise Resource Program (ERP) functional support. The State Judiciary is supported by the State Accounting and Procurement (SAP) units, while the Trial Courts are supported by the Trial Court Administrative Services (TCAS) units. BAP also supports the Supreme Court, Courts of Appeal, Habeas Corpus Resource Center, Commission on Judicial Performance, and the Judicial Council of California. In addition to the day-to-day activities described below, these units are responsible for ensuring the Oracle Financial System is meeting the functional needs of the State Judiciary:

Accounting Services

General Ledger – This unit maintains and reconciles the financial records of the State Judiciary.

Accounts Payable – This unit organizes and pays all of the non-Travel and non-Property invoices.

Travel and Conference – This unit organizes and pays all of the Travel invoices.

Property Management – This unit organizes and pays all of the property management invoices.

Grant Accounting – This unit facilitates, coordinates, and tracks all judicial branch grants, except those that courts manage directly with the grantor.

Procurement

Contracts – This unit manages the solicitations for the State Judiciary, both facility and non-facility related, and supports some of the trial court's master agreements.

Purchasing – This unit purchases all of the goods needed within the State Judiciary.

Trial Court Administrative Services

This group of units manages the Phoenix Financial Program which is the financial and human resource system for the 58 trial courts. The Phoenix Program includes a diverse range of services, including a centralized treasury system, accounting and financial services, procurement services, trust accounting services, human capital management services, and core business analysis, training, and support. All of the data in the Phoenix system is trial court data.

BAP manages high volume, large spreadsheets, mostly in electronic format, lacks adequate storage space and is heavily dependent on manual workarounds for content archiving and structure.

2.0 Discovery and Scoping Services

2.1 Scoping Services Approach

Appendix D "Cost Workbook", "VII-2 Implementation" tab directs all bidders to provide Discovery Scoping Services cost to review and discover special needs such as customized workflows, interfaces, and/or document conversion/migration needs for JCC entities.

For future JCC projects, the bidder should identify any services outside the list of standart deliverables such as customization (integration with non standard software or specific conversion needs) during the Discovery Scoping Services Phase and present it as part of the cost in the Workbook under Tabs "VII-2 Implementation and VII-3 Implementation Pricing Model".

The bidder should also assess, as part of the Discovery Scoping Services, both the category and the number of work flows identified as Deliverable on the Appendix D "Cost Workbook" Tab VII-3 Implementation Pricing Model.

2.2 Conversion/Migration Services

Document Conversion/Migration approach (optional). Format includes but not limited to hard copies, MS Office files, PDF, CAD, audio/video, and the next generation CAD etc. on the local drives or FTP sites.

3.0 Implementation Services

3.1 Work Order Process

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

    Project Planning

   --> Discovery/Scoping Services (find out what the user needs and services required)

     --> Project Cost Estimate

        --> Work Order Process* (see below)

         --> Work Order sign-off

  Project Kickoff

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

Responsible	Work Description
Vendor	Create the Cost Estimate and the Work Order documents, based on the scoping exercise, requirements, current practices, and any implementation or design details shared during the review of the documentation.

JCC	Review the Cost Estimate and Work Order for accuracy and approve for delivery. A Work Order is required when a change in service(s) is requested which affects: • Cost or financial aspects • Existing architecture, operational processes, or introduces new functionality or processes

Please note:

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

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

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

   Sample Cost Estimate and Work Order Form are provided respectively as Appendix B04-A and Appendix B04-B.

Figure 2. Work Order Process