



STATE OF CALIFORNIA
ADMINISTRATIVE OFFICE OF THE COURTS

Request for Proposals
Trial Court Accounting Support Services
RFP No. 052303-FIN

Submittal Deadline
Tuesday, June 10, 2003
5:00 PM (Pacific Time)

Submit Proposals To:

Mr. Grant Walker
Business Services Manager
Administrative Office of the Courts
Finance Division, Business Services Unit, 5th Floor
455 Golden Gate Avenue
San Francisco, CA 94102

For RFP and Vendor Information:
www.courtinfo.ca.gov/reference/rfp/tcass.htm

Trial Court Accounting Support Services

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1. INTRODUCTION

The Administrative Office of the Courts (AOC) for the State of California requests proposals from accounting firms with proven public sector experience in (1) assessing and implementing change management for accounting and financial management practices, procedures and organizational requirements, and (2) working with Tier 1 Enterprise Resource Planning (ERP) programs. The AOC intends to contract with one or more firms to provide a total of four Accounting Preparation Teams (APTs). These teams will be responsible for working closely with the AOC and state's trial courts to prepare them for the implementation of the Court Accounting and Reporting System (CARS) that will bring standardization and consistency to trial court accounting, financial management, and reporting.

Responses to this RFP may propose to provide from one to four APTs that would be available to provide services to the AOC for the duration of the contract. Contracts will be awarded for an initial two-year term, with AOC renewal options for up to three additional one-year terms.

2. BACKGROUND

The AOC, based in San Francisco, is the administrative support organization for the Judicial Council of California, the policy making body for California's courts. The California court system is the largest in the United States. The AOC is responsible for carrying out a number of administrative responsibilities for the Judicial Branch, including the oversight of court financial operations.

There are 58 Superior Courts (referred to as trial courts) in California, one in each county. Historically, county governments have been responsible for providing day-to-day financial services, support and systems to the trial courts. Currently, 46 of 58 trial courts rely on their county's financial systems and accounting services, and reimburse their counties for the services received. Over time, this arrangement has resulted in inconsistent financial reporting and divergent technology standards and applications among the 58 courts, making coordination and consolidation of trial court financial information from across the state complex and inefficient.

The passage of the Lockyer-Isenberg Trial Court Funding Act in 1997 (California Assembly Bill 233, or AB 233) and subsequent legislation shifted the funding responsibility for the trial courts from individual counties to the State of California. AB 233 also gave the Judicial Council/AOC responsibility for financial oversight of the trial courts. One of the most important and immediate needs resulting from these new responsibilities is for accurate and timely trial court financial information.

Over the past three years, the AOC Information Services and Finance Divisions have developed a multi-stage plan to improve trial court accounting and financial

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management practices and generate more consistent, accurate and timely financial information. This project includes the development of the *Trial Court Financial Policies and Procedures Manual*, and the selection and implementation of a new, centralized ERP system. The new ERP software will meet the basic accounting needs of the trial courts, provide accurate and timely financial information, comply with the policies and procedures manual, and provide standard reporting to meet the needs of the trial courts, the AOC and state agencies. In addition, the AOC has established an Accounting Processing Center (APC) to provide accounting services for the trial courts using the ERP System. The APC will replace current transaction processing services provided by the counties.

In 2001, the AOC released an RFP for the acquisition of ERP software and implementation services and selected SAP as the software provider. Throughout 2002, with the assistance and input of several trial courts and consulting firms, the AOC designed, configured, and tested the SAP software solution to ensure that it could meet the financial management needs of the 58 trial courts, which vary broadly in size, complexity, and transaction volume. The resulting product was a pre-configured SAP template for CARS, which incorporates the requirements of the *Trial Court Financial Policies and Procedures Manual*, a standard chart of accounts and organizational hierarchy structure, and supports the AOC's oversight role. CARS ensures the proper level of standardization, while providing individual trial courts the flexibility to capture costs at various levels within their organization. The AOC then successfully implemented CARS at the Superior Court of Stanislaus, a medium-sized trial court. The Superior Court of Stanislaus, APC, and AOC successfully went "live" on mySAP Public Sector in December 2002.

The AOC now seeks to roll out CARS for the remaining trial courts. APTs will assess existing accounting and financial management practices at multiple trial courts simultaneously, institute best practices, facilitate change management and help the courts prepare for CARS implementation.

2.1 Anticipated Rollout Schedule

The preliminary rollout schedule shown in the following table is based upon several factors including a court's size, transaction volumes, the status of its communications and technology infrastructure, and its relative need compared to other courts.

Trial Court CARS Rollout Schedule by Court Size

Fiscal Year	Go Live Date	Large	Medium	Small	Total
2003	July			2	2
	September		2		2
	October		1		1
	November			1	1
	January			2	2
	April			4	4
FY 2003 Total			3	9	12
2004	July	2			2
	August			1	1
	October			3	3
	January			4	4
	April		1	2	3
FY 2004 Total		2	1	10	13
2005	July	2			2
	August		1		1
	October		1	1	2
	January		2	1	3
	April			3	3
FY 2005 Total		2	4	5	11
2006	July	2			2
	August		1		1
	October		2		2
	January		2	1	3
	April			3	3
FY 2006 Total		2	5	4	11
2007	July	2			2
	August		1		1
	October		2		2
	January			2	2
	April			2	2
FY 2007 Total		2	3	4	9
2008	July	1			1
2008 Total		1			1
Grand Total		9	16	32	57

Notes:

- 1) Although the State is committed to the general timeframe, the rollout schedule may change due to circumstances unknown to AOC at this time (e.g., a county/trial court relationship may be terminated prior to anticipated rollout). At a minimum, the AOC will review and update the rollout schedule on an annual basis.
- 2) Trial court sizes are based upon the following guidelines:
 - Small Courts
 - 32 courts with the lowest annual revenue
 - Annual revenue ranges from \$500,000 - \$9.4 million

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- Average value of financial transactions (without payroll or security costs) is \$1.4 million
- Total number of court employees ranges from 4.0 – 130.0
- Average number of court employees 48.0
- Average number of accounting employees is 2.0
- Medium Courts
 - 17 courts with the next lowest annual revenue, after the small courts
 - Annual revenue for ranges from \$10.4 million - \$45.1 million
 - Average value of financial transactions (without payroll or security costs) is \$7.3 million
 - Total number of court employees for ranges from 135.0 – 425.0
 - Average number of court employees is 229.0
 - Average number of accounting employees is 7.0
- Large Courts
 - Nine courts with the highest annual revenue
 - Annual revenue for large courts ranges from \$60.0 - \$573.0 million
 - Average value of financial transactions (without payroll or security costs) is \$53.0 million
 - Total number of court employees ranges from 540.0 – 5,694.0
 - Average number of court employees is 1,690.0
 - Average number of accounting employees is 36.0

2.2 Three Stage CARS Implementation Approach

With the implementation of CARS, the trial courts will stop receiving county-provided accounting and financial management services and will take on new responsibilities to become part of the statewide system. This transition requires accounting and business process changes, as well as education, before each individual trial court is prepared to implement CARS. To ensure that the trial courts are fully prepared to take on the new financial management responsibilities that will be required, the AOC will assist each court by implementing a three-stage approach comprised of:

- Stage I - Agreed Upon Procedures Review
- Stage II - Accounting Preparation and Readiness
- Stage III - CARS Implementation

Stage I, *Agreed-Upon-Procedures-Reviews (AUPR)*, will be conducted by both internal and external audit groups to determine the financial accounting and reporting status of each trial court. The result of each trial court's AUPR will be a report produced for use by the APTs. The major purpose of Stage II, *Accounting*

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Preparation and Readiness, will be to: 1) develop customized transition action plans based on the AUPR reports and onsite discovery, and 2) to guide the trial courts in achieving the objectives as outlined in each plan.

Once the objectives of each action plan have been successfully achieved, the Accounting Preparation Teams will issue a court-specific Accounting Readiness Report. At this point, the Stage III CARS Implementation Teams will perform the actual system implementations and provide post *go-live* support. Trial court staff will also receive training on all CARS modules during Stage III.

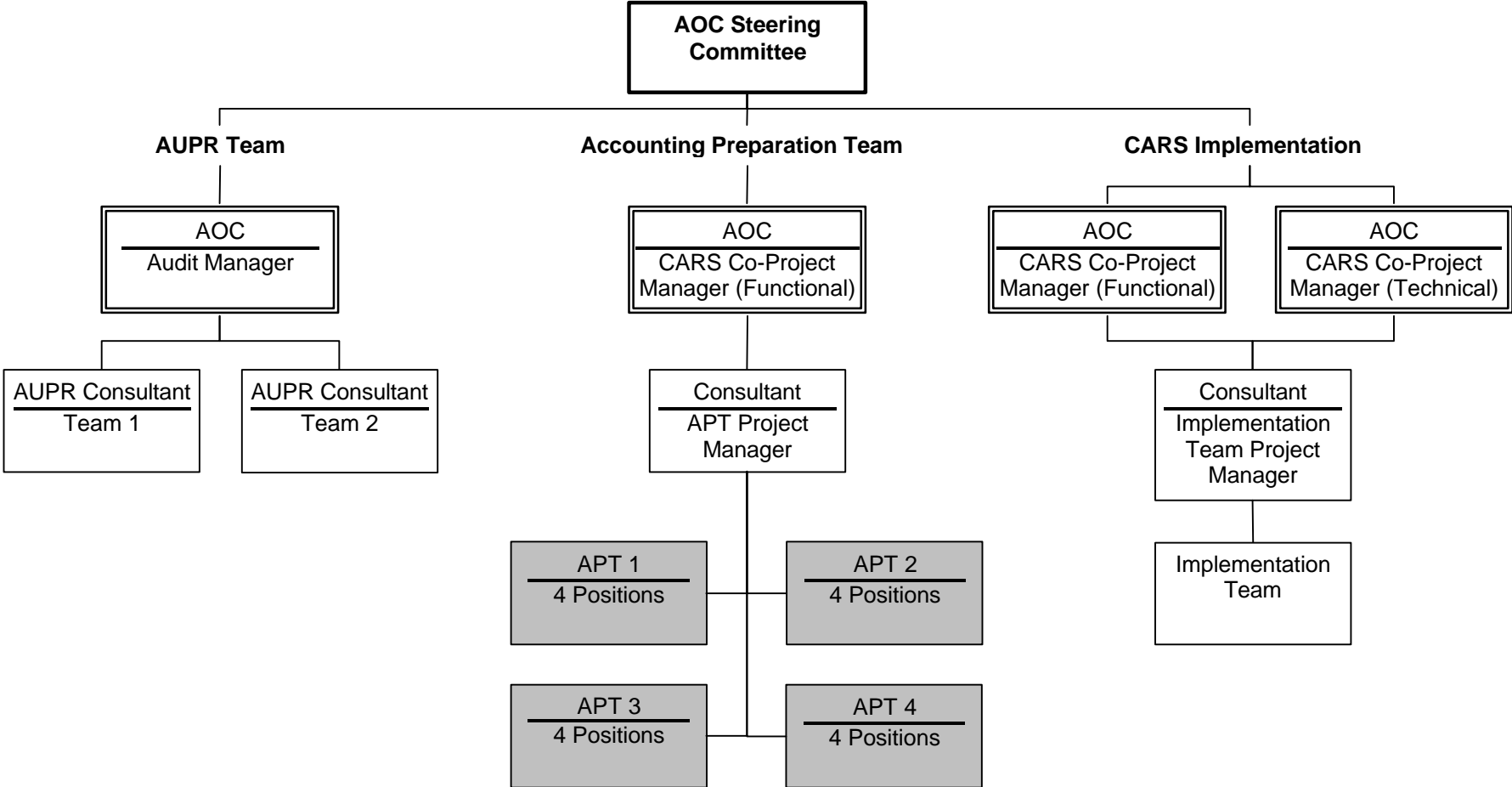
The three-step approach to CARS implementation, as outlined above, will ensure that each trial court is systematically prepared to make the transition to the new financial management system. **With this RFP, the AOC is seeking to deploy Stage II, *Accounting Preparation and Readiness*, in which selected firms will provide accounting professionals to form APTs to support and prepare the trial courts for CARS implementation.**

2.3 AOC Rollout Management

As shown in the following organization chart, each implementation stage will be managed by at least one AOC Project Manager. An AOC Steering Committee will have oversight of all three stages. For the Stage II Accounting Preparation tasks, the AOC has contracted with an outside consultant to act as the day-to-day Project Manager. The APTs will report directly to this Project Manager.

The AOC is in the process of contracting with consultants required for the various stages. At this time, it is anticipated that these consultants will not be hired in time to complete Stage One and Stage Two for the trial courts scheduled for implementation July 2003. Instead, AOC staff will be responsible for ensuring that the critical components of these stages are met.

Summary of CARS Rollout Teams



3. SCOPE OF WORK

3.1 Required Accounting Support Services

The selected firm(s) will provide accounting professionals experienced in the public sector to form four APTs. Each APT will be composed of four accounting professionals. Each APT will be assigned to specific courts where it will conduct field work until completion of the assignment. The selected firms should be prepared to field their APTs on a continuous basis for the duration of the initial two-year contract and any contract option years exercised by the AOC.

The assignment of each APT is to provide all necessary accounting support services that are required to institute best practices, standardize practices statewide, and prepare the trial courts for the transition from their current accounting and financial management environment to the new statewide CARS system.

The four major tasks that the APTs will be responsible for accomplishing at each trial court include:

- Conducting an assessment of existing accounting/financial management operations, based on information provided by the AUPR Teams and onsite discovery.
- Developing a court-specific action plan with input from the AUPR and CARS Implementation teams.
- Facilitating the execution of the action plan.
- Preparing a court-specific Accounting Readiness Report.

A more detailed task list is provided in Section 3.3. Proposers should note that collaboration and coordination with the Stage I, II and III teams will be required to integrate the work performed in each stage and ensure the successful implementation of CARS in the trial courts.

3.2 CARS Accounting Requirements

The AOC will implement CARS at each of the remaining trial courts. The specific functions to be implemented are:

- General Ledger/Budget Control
- Accounts Receivable
- Accounts Payable
- Purchasing
- Grant/Project Accounting
- Funds Management
- Asset Management
- Treasury Management

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The APTs will be responsible for preparing the trial courts to perform these functions. The services provided by the APTs will include, but will not be limited to:

- The introduction of best accounting and financial management practices that deliver consistency and standardization.
- Organizational change management to ensure that appropriate separation of duties, approval authority and internal controls are in place.
- The institution of basic government accounting fundamentals such as the proper classification of accounts, and consistent practices for accruals, encumbrances, funds management, etc.

3.3 Required APT Tasks

The selected firm(s) will provide critically needed accounting support services that will prepare the trial courts for the transition from their current financial management (primarily county) systems to the new statewide CARS system.

The APTs will be composed of accountants with experience in the public sector and Tier 1 ERP applications. The teams will develop a customized action plan based on each trial court's AUPR report and onsite discovery, and help the courts achieve the objectives stated in each plan. During this step, trial courts will also be educated in financial procedures, business process redesign, and change management in preparation for CARS. At a minimum, the selected accounting support services providers will be required to provide APTs that will perform the following specific tasks:

- Project Orientation
 - Task 1: Develop a thorough understanding of trial court and AOC business processes including APC roles versus trial court roles. Review existing AOC trial court financial policies and procedures.
 - Task 2: Develop an understanding of CARS functionality through a review of the system "blueprints."
- Tasks Required for Each Trial Court
 - Task 3: Examine the Agreed Upon Procedures Review report prepared by the AOC's internal or external auditors.
 - Task 4: Develop an initial Accounting Preparation Checklist of items that must be completed before the trial court can proceed with CARS implementation.
 - Task 5: Participate in an onsite kick-off meeting with the trial court and the AOC's APT Project Manager. The AOC CARS Co-Project Managers and/or designees may also participate in these meetings.
 - Task 6: Refine the initial Accounting Preparation Checklist to incorporate trial court input.

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- Task 7: Conduct an onsite assessment of trial court practices, procedures, organizational structure, internal controls, etc., as necessary to understand and verify the court-specific accounting issues and work required to complete the checklist items.
- Task 8: Develop a court-specific action plan to address accounting readiness issues to meet the AOC's schedule requirements for CARS implementation.
- Task 9: Facilitate and assist the trial court in executing the action plan on a timely basis.
- Task 10: Develop a court-specific Accounting Readiness Report for the AOC upon complete execution of the action plan or the conclusion of the allocated preparation time, whichever occurs first.
- Task 11: Continue to assist the trial court if the AOC concludes that the court is not yet sufficiently prepared for CARS implementation. This situation is expected to be an exception rather than a normal occurrence.
- Task 12: Track trial court progress and prepare weekly progress reports for the AOC's APT Project Manager.

4. PROPOSAL CONTENT AND FORMAT

4.1 Proposal Content

It is important that responses to this RFP clearly convey the Proposer's qualifications with respect to the AOC's needs and objectives. Proposals should provide a straightforward, concise description of the Proposer's capabilities to satisfy the requirements of the RFP and must demonstrate:

- Project experience with public sector organizations (including courts, as applicable).
- Experience with organizations that use Tier 1 ERP financial systems.
- Experience in assessing the accounting and financial management practices, procedures, and organizations of public sector organizations.
- The staffing resources to deploy the number of teams proposed for the duration of the project.
- Project management skills to coordinate multiple implementation teams at different trial court sites (if proposing more than one team).
- The ability to communicate with the AOC's APT Project Manager, provide regular project status updates, and elevate critical issues as they arise and provide alternative solutions.

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- The ability to clearly communicate financial tasks and requirements for those trial courts that will have to utilize non-financial staff to complete tasks.
- Experience with change management to institute best practices, internal controls and organizational structures that promote standardization and consistency in accounting and financial management functions.
- The ability to design and monitor a workplan to meet the overall timetable specified by the AOC.

4.2 Proposal Format

To facilitate the evaluation of responses to this RFP, Proposers must prepare their proposals according to the instructions outlined below. Responsive proposals should provide straightforward, concise information that satisfies the listed requirements. Emphasis should be placed on conformity to the RFP instructions and requirements, accuracy, completeness, and clarity of content. All parts, pages, figures, and tables should be numbered and clearly labeled. The proposal shall be organized into the following major sections:

- Title Page
- Letter of Transmittal
- Table of Contents
- Section 1 - Executive Summary
- Section 2 - Workplan
- Section 3 - Project Team
- Section 4 - Company Background
- Section 5 - Project Experience and References
- Section 6 - Cost Proposal
- Section 7 – Proposer Suspension or Debarment

Instructions for preparing each part of the response to this RFP are provided in the remainder of this section.

4.2.1 Title Page

The proposal title page shall include the following title “Proposal – Trial Court Accounting Support Services,” the RFP number, the proposal submittal date, and the name, address, telephone number, and fax number of the submitting firm.

4.2.2 Letter of Transmittal

The letter of transmittal shall be on the proposing firm's letterhead and shall identify the Proposer's business status (corporation, partnership, sole proprietorship, joint venture, etc.). If the Proposer has formed a team or joint venture for the purposes of this proposal, the team members and their business status shall also be identified. The Proposer must also acknowledge the receipt of any addenda issued subsequent to this RFP in the transmittal letter.

The transmittal letter must be signed by a person who is authorized to negotiate on the Proposer's behalf and commit the Proposer contractually, and must supply the telephone number, fax number and email address of that person.

The maximum length of the transmittal letter is two pages.

4.2.3 Table of Contents

The table of contents shall list each major section and first level subsection of the proposal and the page number upon which the major sections and first level subsections begin.

4.2.4 Section 1 - Executive Summary

The Executive Summary should be a brief narrative summarizing the most important points of the proposal. It should succinctly highlight relevant qualifications and experience regarding the Proposer's ability to do the work requested in this RFP. Technical jargon and marketing information should be limited. Qualifications, experience, assumptions and a summary of the firm's ability to meet the AOC's needs and objectives should be emphasized. The maximum length of the Executive Summary is three pages.

4.2.5 Section 2 – Workplan

Proposers shall prepare a detailed project workplan that describes their approach and methodology for accomplishing the proposed work. The workplan shall include a narrative description, graphic schedule, and staffing requirements table for performing the 12 tasks listed above in Section 3.3 for each of three scenarios:

- Scenario 1: APT Services for One Small Trial Court
- Scenario 2: APT Services for One Medium-Sized Trial Court
- Scenario 3: APT Services for One Large Trial Court

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The schedule for each scenario shall show the estimated start and completion of each task, task duration, and task relationships. The staffing requirements table shall indicate which project team members will participate in each task and the estimated number of hours each person will be assigned to complete that task.

4.2.6 Section 3 - Project Team

The AOC intends to award contracts to one or more Proposers that will provide a total of four APTs for the duration of the project. **Each team will consist of one team lead and three team members.** The AOC expects the team lead to be an active hands-on project participant. Proposals must clearly state how many fully functional APTs the Proposer is able to provide. Each proposed APT will be evaluated as a unit on the strength and qualifications of the team members. The AOC reserves the right, at its sole discretion, to select fewer than the total number of APTs proposed by any Proposer to assemble its final group of four APTs.

For each APT to be provided, the Proposer must provide a plan showing (1) the makeup of the team including the name and title of each team member, and (2) the duties and responsibilities of each team member. The proposal shall include an organization chart showing the name, title and reporting relationships of every proposed team member. Additionally, the company name for any APT members from a Proposer's teaming partner or subcontractor must be indicated when applicable.

A resume not exceeding two pages shall be provided for each team member named in the proposal. Resumes should be organized to demonstrate the experience, qualifications and capabilities of the team members to accomplish the work requested in this RFP. At least two project references must be included on each resume. References must include the name, title, and telephone number of persons who are familiar with the team member's work. Resumes shall be provided in an appendix to the proposal.

The CARS accounting preparation effort will be long-term in nature, requiring a significant commitment of staffing resources. Throughout the process, unanticipated circumstances may arise that could require the reallocation of staffing resources among the APTs to address short-term and long-term needs. Proposers must explain their strategy for committing APT participants on a long-term basis and minimizing the need to change APT team members.

AOC maintains the right to disapprove the continuing assignment of any team member if in the State's opinion, the performance of any team member is unsatisfactory. Any proposed replacements must be approved by AOC prior to selection.

4.2.7 Section 4 – Company Background

In this section Proposers shall provide information regarding their firm that highlights their qualifications to perform the work requested in this RFP. In addition, Proposers must demonstrate their ability to support the commitments set forth in the proposal response. The AOC, at its option, may require a Proposer to provide additional information regarding its history and capabilities. At a minimum, the following information shall be provided:

- A summary of the Proposer’s background including:
 - How long the company has been in business.
 - Total number of employees.
 - Total number of business locations.
 - Number and location of California offices.
 - Location of and contact information for the office that would be responsible for the services requested in this RFP, and the number of employees based at that location.
 - Federal tax identification number.

- A description of the Proposer’s relevant experience including:
 - The size of the Proposer’s public sector practice in terms of the number of dedicated employees and annual revenue.
 - Experience with public sector organizations.
 - Experience with organizations that use Tier 1 ERP financial systems.
 - Experience in assessing the accounting and financial management practices, procedures, and organizations of public sector organizations.
 - Experience in managing multiple teams at different client sites (if proposing more than one team).
 - Experience with change management to institute best practices, internal controls and organizational structures that promote standardization and consistency in accounting and financial management functions.

4.2.8 Section 5 – Project Experience and References

The Proposer must provide detailed descriptions and references for three projects that demonstrate the ability to perform the services required by the AOC. The AOC is interested in projects performed for public sector clients; projects involving multiple project teams at several client locations; projects involving the assessment of client accounting and financial management practices, procedures and organizations; projects requiring change management to transition to new systems; and projects involving SAP or other Tier 1 ERP applications. Provide the following information for each project using the format provided in Attachment A:

- The name and a description of the client's organization
- Project start and end dates
- Total project revenue and Proposer's portion of the total project revenue if different
- Summary of the scope of services provided
- Client contact name and telephone number

References provided for current clients must be for projects that are at least 50 percent complete. If the Proposer's team includes subcontractors or other teaming partners who will perform more than 20 percent of the proposed work, at least three references must be provided for each subcontractor or partner, in addition to those provided for the lead Proposer. Project descriptions should indicate the roles performed by proposed team members.

Note: The AOC considers both client and key personnel references to be important. The AOC will not call Proposers to tell them that their references will be contacted; Proposers should assume that all project and team member references provided will be contacted by the AOC during the selection process. Similarly, the AOC will not work through a Proposer's Reference Manager to complete a reference. References will be contacted directly without Proposer participation.

4.2.9 Section 6 - Cost Proposal

4.2.9.1. Overview

The AOC intends to award a two-year, time and materials, not-to-exceed contract with AOC options for up to three additional one-year terms to one or more firms that will provide the requested accounting support services (Task 3 through 12). The project orientation tasks (Tasks 1 and 2) will be awarded on a fixed-price basis. In the cost section of their submittals, Proposers must provide:

- Their fixed price costs to complete Tasks 1 and 2 of the scope of work described in Section 3.3 of this RFP.
- The rate schedule that will apply to Tasks 3 through 12 of this RFP, which shall be performed on a time and materials basis.
- Their estimated monthly average travel budget for each proposed APT.

Proposers should note that as a time and materials contract, the required level of effort for each team will vary based on the size of the courts assigned and the types of accounting issues encountered. The AOC expects, but does not guarantee full-time deployment of the APTs for the full two-year duration of the initial contract.

4.2.9.2. Fixed Price for Tasks 1 and 2

The project orientation portion of the work (Tasks 1 and 2 of the scope of work) shall be performed on a fixed price basis. Proposers shall provide their total fixed price including all labor and other direct costs to complete these tasks. This fixed price cost must include a list of all the assumptions related to the Proposer's costs. All APTs will be required to attend a one-day orientation at the AOC's offices in San Francisco at the Proposer's expense. The orientation will be conducted after the APT members have reviewed the system "blueprints" and the trial court financial policies and procedures.

4.2.9.3. Rate Schedule for Time and Materials Not-to-Exceed Costs

Proposers shall complete the rate schedule provided as Attachment B of this RFP for each proposed APT. The titles listed on the hourly rate schedule must correspond with the titles of the project team members introduced in Section 3 of the Proposal and those shown on the project team organization chart.

In addition to the individual rates for project team members, Proposers must provide a blended rate for each APT. This blended rate will be the only rate used for billing purposes on this project.

4.2.9.4. Reimbursables

Proposers shall develop an estimated monthly average travel budget for each APT proposed and list the assumptions. Note that the selected contractor(s) will be required to substantially comply with the current AOC Travel Rate Guidelines (provided in Attachment C) for all project travel.

4.2.9.5. Invoicing, Payment and Retention

The selected firm(s) can only invoice the AOC once a month for work completed on the project. The invoice shall be prepared in sufficient detail and submitted with appropriate documentation to verify the work accomplished during the billing period. The AOC will make payments upon the approval of the invoice. The AOC will withhold 10 percent from each payment pending approval of the Accounting Readiness Report for each trial court. The 10 percent retention amount will be released upon AOC approval of the Accounting Readiness Report for each trial court.

4.2.10 Section 7 - Proposer Suspension or Debarment

Proposers must certify that neither they nor any of their proposed subcontractors or teaming partners is currently under suspension or debarment by any state or the federal government agency, and that neither it, nor any of its proposed subcontractors or teaming partners is tax delinquent with the State of California. Proposers 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 submission of this proposal. The Proposer must acknowledge that if it or any of its subcontractors or teaming partners subsequently is placed under suspension or debarment by a state or federal government entity, or if the Proposer or any of its subcontractors or teaming partners subsequently become delinquent in California taxes, their proposal may be disqualified.

Failure to include this certification in the proposal submittal may result in the rejection of the proposal, at the AOC's sole discretion.

5. PROPOSAL SUBMITTAL REQUIREMENTS

5.1 Proposal Delivery

The AOC must receive proposals in their entirety at the address provided below no later than 5:00 P.M. (Pacific) on Tuesday, June 10, 2003. Proposals arriving after the deadline will be returned, unopened, to their senders. The address for proposal delivery is:

Mr. Grant Walker
Business Services Manager
Administrative Office of the Courts
Finance Division, Business Services Unit, 5th Floor
455 Golden Gate Avenue
San Francisco, CA 94102

Each proposal and accompanying documents shall be submitted in a sealed envelope. The outside of the envelope shall be marked, and identified as follows:

Proposal Enclosed

Project Title: **Trial Court Accounting Support Services**

RFP No.: **052303-FIN**

Proposer's Name and Return Address

5.2 Proposal Inquiries

All inquiries regarding this RFP process should be directed to:

Mr. Ralph Baird
Trial Court Fiscal Services Manager
Administrative Office of the Courts
Finance Division, Trial Court Fiscal Services Unit, 5th Floor
455 Golden Gate Avenue
San Francisco, CA 94102
Email: ralph.baird@jud.ca.gov

Proposers who contact any other member of the AOC staff or any trial court with inquiries regarding this RFP may be disqualified. All questions regarding this RFP shall be submitted via email by 5:00 PM (Pacific Time) on June 2, 2003. Responses to all questions received shall be posted on the AOC website (www.courtinfo.ca.gov/reference/rfp/tcass.htm) by June 5, 2003.

5.3 Proposal Materials and Presentation

Proposals shall be submitted on 8½" x 11" paper in portrait orientation bound in a single volume. Proposal figures, exhibits, tables and illustrations may be submitted on 11" x 17" foldout pages, if necessary. Proposal text shall be 10 point or larger. Pages shall be numbered consecutively, beginning with the first page of Section 1 as page 1. Elaborate binders, glossy covers, illustrations, exhibits, etc. are neither necessary nor desired.

Proposers shall submit **one original unbound copy and six bound copies of their complete proposal** for AOC review and evaluation.

5.4 Procurement Schedule

The anticipated schedule for the procurement of Trial Court Accounting Support Services is as follows:

- May 23, 2003 RFP release date
- June 2, 2003 Deadline for questions regarding the RFP
- June 5, 2003 Responses to questions posted on www.courtinfo.ca.gov/reference/rfp/tcass.htm
- June 10, 2003 Proposals due (5:00 PM Pacific Time)
- June 11 – June 13, 2003 Proposal evaluation
- June 17, 18 Interviews with select Proposers at the AOC's Offices in San Francisco
- June 20, 2003 Notice of award
- June 30, 2003 Contract execution deadline

6. PROPOSAL EVALUATION PROCESS

The AOC would like to select accounting firm(s) that will have a long-term relationship to the project. The qualifications, staff experience, methodology and cost proposal will be important considerations. The evaluation process that AOC will employ seeks to gather information from Proposers regarding:

- The quality of the Proposer's workplan.
- The Proposer's experience on similar assignments.
- Strength of each proposed APT based on the credentials of staff to be assigned to the project. Each APT will be evaluated as a unit.
- Ability to meet timing requirements to complete the project.
- Reasonableness of cost proposal.

Selected Proposers should be prepared to participate in mandatory interviews to be held at the AOC's offices in San Francisco on June 17 and 18, 2003. At a minimum, each of the Proposer's designated APT leads shall be required to attend the interview.

The AOC shall make an award on the basis of best value. Best value is defined as a combination of quality, price, and the elements of required services that in total are optimal relative to the AOC's needs.

The AOC has retained the services of an outside consultant to assist in procuring the accounting support services specified in this RFP. The consultant will also assist the AOC during contract negotiations. The consultant's role is to provide information and facilitate analysis.

The decision to select the firm(s) that will provide the trial court accounting support services is solely the responsibility of the AOC.

7. PROPOSED CONTRACT TERMS AND ADMINISTRATIVE RULES

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. Generally, the terms of the contract will include, but are not limited to: (1) completion of the project within the timeframe provided; (2) no additional work authorized without prior approval; (3) no payment without prior approval; (4) funding availability subject to Legislature; (5) termination of contract under certain conditions; (6) indemnification of the State; (7) approval by the State of any subcontractors; (8) national labor relations board, drug-free workplace, nondiscrimination, and ADA requirements; and (9) minimum appropriate insurance requirements.

Incorporated in this RFP, and attached as Attachment D, is a document entitled "Administrative Rules Governing Requests for Proposals." Service providers shall follow these rules in preparation of their proposals.

ATTACHMENT A

PROJECT EXPERIENCE AND REFERENCES REQUIRED FORMAT

Proposers must provide detailed descriptions and references for three projects following the format shown below. Please keep to one page.

Project Experience and Reference # ____			
Name of Client Firm:			
Brief Description of Client's Organization:			
Street Address:	City:	State:	Zip Code:
Contact Person:	Title:		Phone Number:
Total Project Revenue:	Proposer's Portion of Project Revenue (if different than total):		
Project Start Date:		Project End Date:	
Summary of Scope of Services Provided:			

Trial Court Accounting Support Services

ATTACHMENT B

Rate Schedule

REQUEST FOR PROPOSALS

Trial Court Accounting Support Services

RFP No. 052303-FIN

List below the fully burdened billing rate for each team member of each proposed team described in the Workplan. Also, list the blended billing rate for each proposed teams.

Only the blended rate will be used for billing purposes.

TEAM ONE

NAME	TITLE/FUNCTION	HOURLY RATE
_____	_____	\$ _____
_____	_____	\$ _____
_____	_____	\$ _____
_____	_____	\$ _____

Team Blended Hourly Rate: _____

TEAM TWO

NAME	TITLE/FUNCTION	HOURLY RATE
_____	_____	\$ _____
_____	_____	\$ _____
_____	_____	\$ _____
_____	_____	\$ _____

Team Blended Hourly Rate: _____

TEAM THREE

NAME	FUNCTION	HOURLY RATE
_____	_____	\$ _____
_____	_____	\$ _____
_____	_____	\$ _____
_____	_____	\$ _____

Team Blended Hourly Rate: _____

TEAM FOUR

NAME	TITLE/FUNCTION	HOURLY RATE
_____	_____	\$ _____
_____	_____	\$ _____
_____	_____	\$ _____
_____	_____	\$ _____

Team Blended Hourly Rate: _____

ATTACHMENT C**AOC Travel Rate Guidelines**

The AOC's policy and limits on reimbursable travel-related expenses are listed below.

Lodging – Receipts are required and each day of lodging claimed must be listed separately on the reimbursement claim form. Maximum rates are listed below. Exceptions may be considered on a case-by-case basis, and for centrally booked conferences or meetings.

1. In-state - Actual costs are reimbursable up to a maximum of \$110 per day, plus tax and energy surcharge. Within the counties of Alameda, San Francisco, San Mateo, and Santa Clara, the maximum rate is \$140, plus tax and energy surcharge.
2. Out-of-State – Actual costs are reimbursable with appropriate prior approval.

Meals – Actual costs are reimbursable up to the limits stated below for continuous travel of more than 24 hours.

1. Breakfast – Up to \$6.
2. Lunch – Up to \$10.
3. Dinner – Up to \$18.

For continuous travel of less than 24 hours, actual expenses up to the above limits may be reimbursable if:

1. Travel begins one hour before normal work hours – Breakfast may be claimed.
2. Travel ends one hour after normal work hours – Dinner may be claimed.

Lunch may not be claimed on trips of less than 24 hours.

Incidental Expenses – Up to \$6 per day. Incidentals are not reimbursable for one-day trips; they may only be claimed after 24 hours.

Transportation – The actual cost of tickets for air, rail, bus, rental car, or other forms of public transportation is reimbursable. The lowest cost ticket available must be purchased. Receipts are required for rental cars and air travel. For ticketless travel, the traveler's itinerary may be submitted in lieu of a receipt.

1. The actual costs of cab fare, public parking, and tolls are reimbursable. Receipts are required for all expenses of \$3.50 or more.
2. Mileage – Personal vehicle mileage is reimbursable at a rate of \$.34 per mile
3. Privately owned aircraft – Reimbursement is \$.50 per statute mile. This reimbursement is taxable and reportable income.

Other Business Expenses – Actual cost is reimbursable. Receipts are required for all other business expenses, regardless of the amount claimed.

ATTACHMENT D

**JUDICIAL COUNCIL OF CALIFORNIA
ADMINISTRATIVE OFFICE OF THE COURTS**

ADMINISTRATIVE RULES GOVERNING REQUESTS FOR PROPOSALS

A. General

1. This solicitation document, the evaluation of proposals, and the award of any contract shall conform with current competitive bidding procedures as they relate to the procurement of goods and services. A vendor's proposal is an irrevocable offer for 30 days following the deadline for its submission.
2. A nondiscrimination clause will be included in any contract that ensues from this solicitation document.
3. In addition to explaining the State's requirements, the solicitation document includes instructions which prescribe the format and content of proposals.

B. Errors in the solicitation document

1. If a vendor submitting a proposal discovers any ambiguity, conflict, discrepancy, omission, or other error in this solicitation document, the vendor shall immediately provide the State with written notice of the problem and request that the solicitation document be clarified or modified. Without disclosing the source of the request, the State may modify the solicitation document prior to the date fixed for submission of proposals by issuing an addendum to all vendors to whom the solicitation document was sent.
2. If prior to the date fixed for submission of proposals a vendor submitting a proposal knows of or should have known of an error in the solicitation document but fails to notify the State of the error, the vendor shall bid at its own risk, and if the vendor is awarded the contract, it shall not be entitled to additional compensation or time by reason of the error or its later correction.

C. Questions regarding the solicitation document

1. If a vendor's question relates to a proprietary aspect of its proposal and the question would expose proprietary information if disclosed to competitors, the vendor may submit the question in writing, conspicuously marking it as "CONFIDENTIAL." With the question, the

Trial Court Accounting Support Services**ATTACHMENT D**

vendor must submit a statement explaining why the question is sensitive. If the State 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 State does not concur regarding the proprietary nature of the question, the question will not be answered in this manner and the vendor will be notified.

2. If a vendor submitting a proposal believes that one or more of the solicitation document's requirements is onerous or unfair, or that it unnecessarily precludes less costly or alternative solutions, the vendor may submit a written request that the solicitation document be changed. The request must set forth the recommended change and vendor's reasons for proposing the change. Any such request must be submitted to Grant Walker at the Administrative Office of the Courts by 5 p.m., May 30, 2003.

D. Addenda

1. The State may modify the solicitation document prior to the date fixed for submission of proposals by transmitting an addendum to the vendors to whom the solicitation document was sent. If any vendor determines that an addendum unnecessarily restricts its ability to bid, it must notify Grant Walker at the Administrative Office of the Courts no later than one day following the receipt of the addendum.

E. Withdrawal and resubmission/modification of proposals

1. A vendor may withdraw its proposal at any time prior to the deadline for submitting proposals by notifying the State in writing of its withdrawal. The notice must be signed by the vendor. The vendor may thereafter submit a new or modified proposal, provided that it is received at the Administrative Office of the Courts no later than 5 PM, June 10, 2003. Modification offered in any other manner, oral or written, will not be considered. Proposals cannot be changed or withdrawn after 5 PM, June 10, 2003.

F. Proposal Costs

1. Proposers shall prepare and submit proposals and attend interviews with the AOC entirely at their own expense. There is no expressed or implied obligation by the AOC to reimburse any individual or firm for any costs incurred in preparing or submitting proposals.

ATTACHMENT D

G. Evaluation process

1. An evaluation team will review in detail all proposals that are received to determine the extent to which they comply with solicitation document requirements.
2. If a proposal fails to meet a material solicitation document requirement, the proposal may be rejected. A deviation is material to the extent that a response is not in substantial accord with solicitation document requirements. Material deviations cannot be waived. Immaterial deviations may cause a bid to be rejected.
3. Proposals that contain false or misleading statements may be rejected if in the State's opinion the information was intended to mislead the State regarding a requirement of the solicitation document.
4. Cost sheets will be checked only if a proposal is determined to be otherwise qualified. All figures entered on the cost sheets must be clearly legible.
5. During the evaluation process, the State 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 nonresponsive.

H. Rejection of Proposals

1. The State may reject any or all proposals and may or may not waive an immaterial deviation or defect in a bid. The State's waiver of an immaterial deviation or defect shall in no way modify the solicitation document or excuse a vendor from full compliance with solicitation document specifications. The AOC reserves the right to accept or reject any or all of the items in the proposal, as well as the right to issue similar RFPs in the future, or to award the contract in whole or in part and/or negotiate any or all items with individual vendors if it is deemed in the AOC's best interest. Moreover, the AOC reserves the right to make no selection if proposals are deemed to be outside the fiscal constraints or against the best interests of the government. This RFP is in no way an agreement, obligation, or contract and in no way is the AOC or the State of California responsible for the cost of preparing the proposal.

Trial Court Accounting Support Services

ATTACHMENT D

I. Conflict of Interest

1. Firms that are selected to perform Agreed Upon Procedures Reviews (Stage I) of the trial courts are not eligible to provide accounting support services requested in this RFP (Stage II). Such firms may not submit a proposal in response to this RFP or allow themselves to be named as a subcontractor or teaming partner of any firm that does submit a proposal for accounting support services. Additionally, firms selected to provide accounting support services (Stage II) are not eligible to perform Agreed Upon Procedures Reviews (Stage I) of the trial courts.

J. Award of contract

1. Award of contract, if made, will be in accordance with the solicitation document to one or more responsible vendors 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 State.
2. The State reserves the right to determine the suitability of proposals for contracts on the basis of a proposal's meeting administrative requirements, technical requirements, its assessment of the quality of service and performance of items proposed, and cost.

K. Decision

1. Questions regarding the State's award of any business on the basis of proposals submitted in response to this solicitation document, or on any related matter, should be addressed to:

Grant Walker
Business Services Manager
Administrative Office of the Courts
Finance Division, Business Services Unit, 5th Floor
455 Golden Gate Avenue
San Francisco, CA 94102-3660

L. Execution of contracts

1. The State will make a reasonable effort to execute any contract based on this solicitation document within 30 days of selecting a proposal that best meets its requirements.
2. A vendor submitting a proposal must be prepared to use a standard State contract form rather than its own contract form.

Trial Court Accounting Support Services

ATTACHMENT D

M. Protest procedure

1. The Administrative Office of the Courts intends to be completely open and fair to all vendors in selecting the best possible service providers within budgetary and other constraints described in the solicitation document. In applying evaluation criteria and making the selection, members of the evaluation team will exercise their best judgment.
2. A vendor submitting a proposal may protest the award if it meets all the following conditions:
 - a. the vendor has submitted a proposal which it believes to be responsive to the solicitation document;
 - b. the vendor believes that its proposal meets the state's administrative requirements and technical requirements, proposes items of proven quality and performance, and offers a competitive cost to the State; and
 - c. the vendor believes that the State has incorrectly selected another vendor submitting a proposal for an award.
3. A Proposer that is qualified to protest must submit its written protest to the Business Services Manager **no later than the date specified in the RFP for the Notice of Award**. The written protest must document the protester's assertion that the intended awardee is ineligible for award, or that the protester is entitled to the award under the evaluation criteria of the RFP. Contact information for the Business Services Manager is as follows:

Grant Walker
Business Services Manager
Administrative Office of the Courts
Finance Division, Business Services Unit, 5th Floor
455 Golden Gate Avenue
San Francisco, CA 94102-3660
Telephone: 415-865-7978.

4. If the Business Services Manager is unable to resolve the protest to the vendor's satisfaction, the vendor may file a written protest appeal **within five working days of the contract award**. The written appeal must state all grounds for the protest, all relevant facts and include all supporting evidence and documentation.

Trial Court Accounting Support Services

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5. The protest appeal must be sent by certified or registered mail or delivered personally to:

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

A receipt should be requested for hand-delivered material.

The Chief Deputy Administrative Director will review the Business Services Manager's decision, the protestor's submission, and any other relevant information, and render a decision in writing to deny or allow the protest, stating the reasons therefore. The decision of the Chief Deputy Administrative Director shall be final.

N. News releases

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

O. Disposition of materials

1. All materials submitted in response to this solicitation document will become the property of the State of California and will be returned only at the State's option and at the expense of the vendor submitting the proposal. One copy of a submitted proposal will be retained for official files and become a public record. However, any confidential material submitted by a vendor that was clearly marked as such will be returned upon request.

P. Payment

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