



**STATE OF CALIFORNIA**  
**ADMINISTRATIVE OFFICE OF THE COURTS**

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**Request for Proposals**  
**IMPLEMENTATION SERVICES FOR mySAP PUBLIC SECTOR**  
Court Accounting and Reporting System  
(CARS)

**Submittal Deadline**  
**Thursday, April 24, 2003**  
**3:00 PM (Pacific)**

**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/cars.htm](http://www.courtinfo.ca.gov/reference/rfp/cars.htm)**



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## **PART I PROJECT BACKGROUND**



## 1.1 INTRODUCTION

The Administrative Office of the Courts (AOC) for the State of California requests proposals from integration firms with proven experience in implementing mySAP for the Public Sector (hereafter “SAP”). Only firms that have been certified by SAP to implement its software may submit responses to this RFP. The AOC will evaluate the proposals submitted on the basis of: (1) the firm’s experience in ERP integration (especially related to mySAP for Public Sector); (2) experience of staff proposed; (3) cost schedule; (4) implementation methodology; and (5) utilization of AOC’s pre-configured SAP design.

In 2002, the AOC selected SAP as the Enterprise Resource Planning (ERP) software standard that would be used in California’s Trial Courts. Once the software was selected, the AOC worked with an SAP implementation partner to develop a general design, configure, and test SAP Financials (ISPS version 4.6c). This design is referred to as the “Pre-Configured SAP Template” in this RFP. It then successfully implemented the Pre-Configured SAP Template at Stanislaus Trial Court and at an Accounting Processing Center (APC). The APC is a business unit of the AOC’s Finance Division that provides “shared services” for meeting the financial management needs of the Trial Courts. Through this RFP, the AOC is now seeking to apply the Pre-Configured SAP Template for the remaining 57 Trial Courts and potentially two additional APCs.

All firms bidding on this project must recognize that the AOC requires that the firms utilize the Pre-Configured SAP Template in any proposed implementation strategy.

The AOC intends to implement the SAP solution at each of the State’s Trial Courts in a series of implementation “rounds”, in which teams (managed by the selected contractor) will be implementing SAP at multiple Trial Courts concurrently. For example, the first implementation round may consist of two small and one medium-sized Trial Court. The role of the selected contractor is to implement the Pre-Configured SAP Template throughout the Trial Courts within five years (entire project completed by July 2008).

It is important that proposals properly convey qualifications of the firm(s) that meet the objectives of this RFP. Qualifications for the integration firm must include: 1) integration experience in SAP for large and complex government entities; 2) capabilities to coordinate the migration of each implementation of SAP to an application hosting environment (AOC already has a hosting firm); 3) methodology to configure the software in a manner other than the ASAP framework; 4) project management skills to coordinate multiple implementation teams at different Trial Court sites; 5) ability to assist the AOC in designing and configuring additional SAP modules(as needed); and 6) ability to design an implementation plan for meeting the overall timetable specified by AOC.

## 1.2 BACKGROUND

The AOC is located in San Francisco and is the administrative body that supports the Judicial Council of the State of California, the policy making body for the California courts. The California court system is the largest in the United States. As the main administrative agency for the courts, the AOC is responsible for carrying out a number of



administrative responsibilities for the Judicial Branch, including the oversight of their financial operations.

Historically, the State's 58 counties have been responsible for providing day-to-day financial services and financial systems for the Trial Courts that operate within their counties. Currently, the majority of Trial Courts (46 of 58) rely on their county's financial systems and accounting services--reimbursing the counties on a charge back basis. Inconsistent financial reporting and divergent technology standards and applications among the 58 courts have made coordination and consolidation of financial information across the Trial Courts both complex and inefficient.

With the passage of California Assembly Bill 233 (AB 233), funding for the Courts shifted 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 accurate and timely financial information for the Trial Courts.

Over the past three years, the Information Services and Finance Divisions of the AOC have developed a multi-phased project plan to aid the Trial Courts in the implementation of a new, centralized ERP system to provide real-time financial information, including required reporting to the State of California, AOC and other agencies. The new software will meet the basic accounting needs of the Trial Courts, provide accurate and timely financial information, comply with the Trial Court Financial Policies and Procedures, and provide standard reporting to meet the needs of the Trial Courts, the AOC and other California state agencies. In addition, the State has established an Accounting Processing Center (APC) to provide transaction-processing services for the Trial Courts using the ERP System. This APC will replace current transaction processing services provided by the counties. Two additional APCs may be established in the future (for a total of three APC's).

In 2001, the AOC released an RFP for the acquisition of ERP software and implementation services and selected SAP as the software solution. The project included two major steps. The first step was the development of a general system design and software solution validation. With the assistance and input of several Trial Courts, an implementation firm, and the Government Finance Officers Association (GFOA), 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 activity volume. The resulting product was a Pre-Configured SAP Template, which incorporated the Trial Court Financial Policies and Procedures, a standard chart of accounts and organizational hierarchy structure, and supported the AOC's oversight role. The Pre-Configured SAP Template ensures the proper level of standardization, while providing individual Trial Courts the flexibility to capture costs at various levels within their organization. This step took 9 months to complete.

The second step consisted of a "pilot project"--implementing the Pre-Configured SAP Template at a medium-sized Trial Court (Stanislaus). During this step, the Template was refined to incorporate the role of the newly created APC. The configuration and pilot implementation was completed in 3 months. The Stanislaus Trial Court, APC, and AOC went successfully "live" on mySAP Public Sector in December 2002.



The scope of this project consists of the following:

- Continue the rollout of CARS financial system (Pre-Configured SAP Template) to remaining 57 Trial Courts and possibly two additional Accounting Processing Centers.
- Provide recommendations for configuration and implementation of mySAP for Public Sector that utilizes embedded best practices and other features of the software that improves the business processes of the Trial Courts.
- Retrofit any configuration changes in the system or any business process changes made in the future to prior Trial Court implementations.
- Design, configure, test, and train AOC functional specialists on two modules that are not part of the Pre-Configured Template (Treasury and Fixed Assets) and incorporate these modules in the next version of the Template.
- Migrate CARS production system to AOC Technology Center.
- Upgrade SAP to Enterprise Edition (FY 2004) in conjunction with the Technology Center vendor.
- Provide up to one month of post-production support for each Trial Court.
- Provide up to one accounting period of post-live support to AOC during each fiscal year close during the implementation rollout of CARS.
- Implement any additional SAP functionality as identified by AOC.

**Note:** *During design phase, the standard SAP implementation methodology, “ASAP” was used to design and build the pre-configured system. Due to the schedule and the substantial investment that went into building a pre-configured system, the AOC requires that firms use this design, rather than the full ASAP methodology. However, the ASAP methodology may be used for the design and implementation of additional SAP functionality.*

### 1.3 VENDOR EVALUATION CONSULTANTS

To assist with the task of evaluating and contracting for SAP implementation services, the AOC has engaged the GFOA. GFOA’s role is to provide analytic advisory services to the AOC to help it select the implementation firm. GFOA’s role is solely advisory in nature; the selection of the implementation firm will be made solely by the AOC.

### 1.4 CURRENT AND FUTURE TECHNOLOGY

SAP infrastructure is currently being hosted and supported by AOC. The environment consists of three SAP systems (DEV, QAS, PRD) along with a Documentation Server residing on a dedicated Trial Court Network. These systems share a network disk storage device from Network Appliance, which frequently takes snapshots of the database providing adequate backups. SAP systems are on SUN Solaris platform running Oracle 8.1.7. Current SAP Version is 4.6C with Industry Solution for Public



Sector (ISPS) version 4.62. AOC has no plans for an SAP Upgrade until FY 2004. Users currently do not use the Web front-end (ITS) hence the SAP GUI is installed locally on the desktops. AOC is currently using the SAP modules: FI, CO, MM, and PS – which incorporate the accounting functionality of General Ledger, Funds Management, Accounts Payable, Accounts Receivable, Materials Management, and Projects and Grants. AOC will transition its SAP Production environment along with some other IS services for the Trial Court to a hosted data center (AOC Technology Center). This Technology Center will also provide the support services for CARS. The CARS Help Desk will be one of the services provided by the Technology Center. The Technology Center is scheduled for go-live by June 15, 2003.

## 1.5 GUIDELINES

By submitting a proposal, interested parties are acknowledging:

- 1.5.1 The AOC expects to enter into an agreement for the implementation of mySAP Public Sector. As part of the contracting process, the finalist is expected to work with the AOC to develop a detailed Statement of Work (SOW) that will be part of the Implementation Services Agreement. The implementation firm must work cooperatively and expeditiously with AOC in order to meet the dates in the schedule stated in this RFP.
- 1.5.2 This RFP limits each implementation firm and each sub-contractor to one proposal. The exception is that SAP Consulting may be included in multiple proposals.
- 1.5.3 Bidders should present a proposal that contains a tailored implementation methodology that incorporates the use of the Pre-Configured SAP Template that has already been developed by AOC. Bidders will be provided the opportunity to ask questions about this project at the Mandatory Vendor Conference and Workshop. A copy of the completed configuration blueprints will be distributed on CD-ROM during the Vendor Conference and Workshop.
- 1.5.4 Vendors may use conventional ASAP methodology to design and configure the additional SAP modules that AOC is considering for rollout (currently defined as Treasury Management and Fixed Assets). However, once the new modules are configured and accepted by AOC, rollout of the new functionality must be incorporated into an updated Pre-Configured SAP Template.
- 1.5.5 The AOC expects to enter into a two-year Master Services Agreement, with three one-year options, with the selected implementation vendor. After the initial two years: 1) AOC will exercise the right to re-bid this project; 2) enter into a contract with any of the other Bidders proposing on this RFP; or 3) exercise the contract options with the selected contractor.
- 1.5.6 The selected firm must have the staffing resources to deploy multiple implementation teams that could implement up to 13 courts per year (based on current rollout schedule).





- 1.5.7 The selected firm must show proof that it has on the proposed implementation team a Certified Integration Specialist for mySAP Public Sector (SAP-Certified Integrator of mySAP Public Sector) at the time of implementation. Bidders may want to consider contracting with SAP if they do not have such expertise on staff. The responsibility of the Integration Specialist will be to participate in the review of the Pre-Configured SAP Template, provide periodic quality assurance review, identify and recommend process improvements by fully utilizing the software capabilities, and determine the optimal approach for adding additional modules or software functions.
- 1.5.8 The vendor must incorporate into its methodology a periodic review by SAP Consulting. The by-product of this review must be a written report to AOC management on the status of the project. Further details of the contents of this review will be specified by AOC in the Statement of Work. The implementation of any new modules will also require a review by SAP Consulting. The contracted firm will be responsible for scheduling the SAP resources and managing them while on site at AOC. Utilization of SAP Consulting services will be mutually agreed to by the vendor and AOC. Detailed work requirements will be negotiated as part of the Statement of Work.
- 1.5.9 The contractor must cooperatively share any necessary documents and/or information with the AOC's Technology Center hosting company in order to facilitate each Trial Court transition into production and assist with the on-going support provided by the Technology Center's Help Desk.
- 1.5.10 All documents, designs, templates, enhancements, testing information and any other materials developed as part of this project—including the Statement of Work—are the sole and exclusive property of the AOC.
- 1.5.11 AOC intends to develop a master Statement of Work (SOW) that will be used as a baseline for Trial Court rollouts. The master SOW will be tailored and updated for each individual Trial Court implementation.
- 1.5.12 AOC intends to develop a separate SOW that will be used for the design and configuration of additional SAP modules currently not installed at AOC.
- 1.5.13 This procurement involves a negotiated professional service contract. As such, the AOC will negotiate with Bidders throughout the procurement to get the best price and business terms. It is anticipated that, once the AOC identifies two viable firms after implementation interviews and other evaluative processes, competitive negotiations will take place on costs of implementation and related services as well as other items that are critical to project success or mitigate risks. The AOC will consider all cost and business terms to be negotiable and not artificially constrained by a vendor's internal corporate policies. In short, firms that contend that they lack flexibility because of their corporate policy on a particular negotiation item will face a significant disadvantage and may not be elevated to interviews.
- 1.5.14 Bidders are to propose a Cost Proposal (Section 8 of their response) that strictly adheres to the directions provided. The Cost Proposal must be comprehensive





- (i.e., provide figures for all areas specified) and without overly restrictive assumptions. The format for the Cost Proposal must follow the directions and format specified in this RFP.
- 1.5.15 Bidders short-listed for on-site interviews must be available on dates specified by the AOC. Failure to be available may lead the AOC to elevate another proposal.
- 1.5.16 All firms submitting proposals agree that their pricing is valid for a minimum of six months from the date of submission to the AOC. Prices must include all applicable Federal, state and local taxes.
- 1.5.17 All firms hereby certify that they have carefully examined all of the documents for the project, have carefully and thoroughly reviewed this RFP, and understand the nature and scope of the work to be done; and that this proposal is based upon the terms, specifications, requirements, and conditions of the RFP.
- 1.5.18 Bidders are noticed that responses on how the software meets the AOC's detailed functional and technical requirements, for additional modules that AOC intends to implement, will be attached as a part of the Master Services Agreement and will also form the basis for the warranty provisions on such services.
- 1.5.19 All Vendors certify that they meet the following minimum AOC contracting requirements:
- 1.5.19.1 Be licensed as required by the State of California;
- 1.5.19.2 Be knowledgeable of, and comply with, applicable local, state, and federal laws, regulations, codes and local ordinances;
- 1.5.19.3 Comply and document compliance with AOC's insurance requirements, when so required; and,
- 1.5.19.4 Meet and comply with all other requirements specified in this RFP.

*Note: When responding to this RFP, please follow all instructions carefully. Please submit proposal contents according to the outline specified and submit all hard copy and electronic documents according to the instructions. Failure to follow these instructions may deem the proposal to be unresponsive and may result in immediate elimination from further consideration.*

## **1.6 PROJECT SCOPE AND ANTICIPATED ROLLOUT**

### **1.6.1 Project Scope**

The AOC will be implementing the Pre-Configured SAP Template at each of the remaining 57 Trial Courts plus up to two additional APCs. The specific functions to be implemented are the following:

- General Ledger/Budget Control
- Accounts Receivable



- Accounts Payable
- Purchasing
- Grant/Project Accounting
- Funds Management

The AOC is also considering the addition of the following SAP solutions:

- Asset Management
- Treasury Management
- SAP Enterprise Upgrade

### 1.6.2 Rollout Strategy

Implementation firms should recognize that the CARS rollout strategy for the Trial Courts involves more than the implementation of financial software. In most cases, since the Trial Courts will be discontinuing county provided financial support services and taking on new responsibilities in order to become a part of the statewide system, business process change and education will need to occur before a trial court plans to implement CARS. In order to ensure that a Trial Court is fully prepared to take on the responsibility of a new financial system, the AOC is implementing a three-step approach to implementation to assist each court: (1) Agreed Upon Procedures Review (Audit), (2) Accounting Preparation (Professional accounting assistance), and (3) CARS Implementation (services requested in this RFP). The implementation firm is only expected to provide services related to (3). The information below is provided for background to Bidders on the AOC's overall approach.

#### 1.6.2.1 *Stage I - Agreed Upon Procedures Review (Audit)*

An Agreed Upon Procedures Review (AUPR) audit will be performed by both internal and external groups to determine the financial accounting and reporting needs and capabilities of each Trial Court. The result of each AUPR will be a report produced for use by an Accounting Preparation group.

#### 1.6.2.2 *Stage II - Accounting Preparation (Professional accounting assistance)*

The Accounting Preparation groups will be composed of accounting consultants. The main purpose of the groups is to develop a customized transition plan based on each Trial Court's AUPR report from Stage 1 above, and help achieve the objectives as 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 the CARS system.

#### 1.6.2.3 *Stage III - CARS Implementation (SAP system implementation)*

Once the objectives of each transition plan have been achieved, the CARS Implementation team will implement the Pre-Configured SAP Template and perform post-production support, transitioning the on-going support over to the AOC's



Technology Center. Because this step only occurs after the previous two steps are completed, it reduces the risk of implementation. The SAP system implementation firm will implement 11 to 13 courts per year based on the current rollout schedule.

#### *1.6.2.4 Strategy Management*

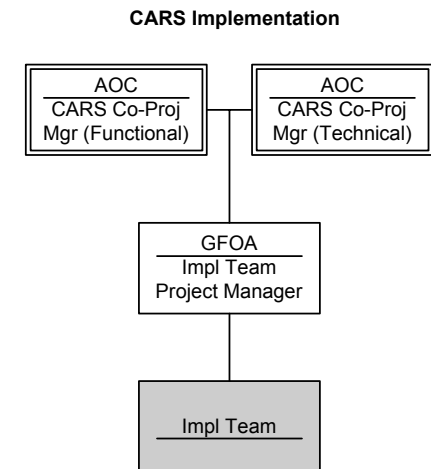
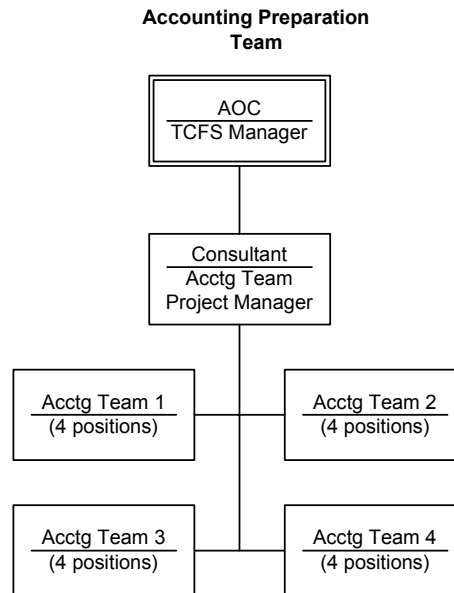
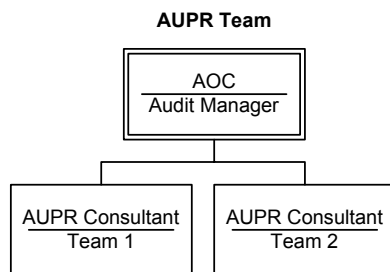
Each implementation stage will be managed by at least one AOC Project Manager. Stage III (CARS Implementation) will be managed by two AOC Project Managers (one functional and one technical). An AOC Steering Committee will have oversight of all three stages.

The implementation work requested in this RFP will occur in Stage III. All three stages will be working concurrently to meet the rollout schedule. The chart on the following page depicts a summary of the three rollout teams. It should be noted that in Stage III, the GFOA will be serving in a day-to-day Project Management for role to oversee and assist in the coordination of the work of the selected implementation firm.

The AOC is in the process of contracting for 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 Rollout Teams (Oversight by Steering Committee)





The AOC has a staff trained in SAP and will be available to support the bidder's implementation team(s) in the following areas:

- General Ledger and Funds Management Specialist
- Materials Management Specialist
- Projects and Grants Specialist
- Accounts Payable Specialist
- Accounts Receivable Specialist
- Change Management/Training Specialist
- SAP ABAP Specialist
- SAP BASIS Specialist
- SAP Reports Specialist

The above specialists were involved in the design of the Pre-Configured SAP Template and will also be responsible for providing design and consulting assistance throughout the implementation of CARS at the Trial Courts.

AOC will also provide staff to support the Fixed Assets and Treasury Management configuration and implementation phases. The staff assigned to Fixed Assets and Treasury Management have received base SAP training but are not trained in these specific modules.



1.6.3 Rollout Schedule

During the Summer 2002, the AOC engaged a consultant to survey the Trial Courts and collect information to develop a CARS rollout strategy. Over the past few months, the AOC has been reviewing and revising this strategy. The preliminary rollout schedule listed below is based upon several factors including a Court's size, its transaction volume, the status of its communications and technology infrastructure, and its relative needs compared to other courts.

<b>Courts Installed by Size</b>						
<b>FY</b>	<b>GO LIVE</b>	<b>Large</b>	<b>Medium</b>	<b>Small</b>	<b>Total</b>	
<b>2003</b>	Jul			2	2	
	Aug		1		1	
	Sep		1		1	
	Oct		1		1	
	Jan				2	2
	Apr				4	4
<b>2003 Total</b>			<b>3</b>	<b>8</b>	<b>11</b>	
<b>2004</b>	Jul	2			2	
	Aug			1	1	
	Oct			3	3	
	Jan			4	4	
	Apr		1	2	3	
	<b>2004 Total</b>		<b>2</b>	<b>1</b>	<b>10</b>	<b>13</b>
<b>2005</b>	Jul	2			2	
	Aug		1		1	
	Oct		1	1	2	
	Jan		2	1	3	
	Apr			3	3	
	<b>2005 Total</b>		<b>2</b>	<b>4</b>	<b>5</b>	<b>11</b>
<b>2006</b>	Jul	2			2	
	Aug		1		1	
	Oct		2		2	
	Jan		2	1	3	
	Apr			3	3	
	<b>2006 Total</b>		<b>2</b>	<b>5</b>	<b>4</b>	<b>11</b>
<b>2007</b>	Jul	2			3	
	Aug		1		1	
	Oct		2		2	
	Jan			2	2	
	Apr			3	3	
	<b>2007 Total</b>		<b>2</b>	<b>3</b>	<b>5</b>	<b>10</b>
<b>2008</b>	Jul	1			1	
<b>2008 Total</b>		<b>1</b>			<b>1</b>	
<b>Grand Total</b>		<b>9</b>	<b>16</b>	<b>32</b>	<b>57</b>	



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., County/Court relationship is terminated prior to anticipated rollout). At a minimum, the AOC will be reviewing and updating the rollout schedule on an annual basis.

The size of the Trial Courts are based upon the following definitions:

#### Small Courts

- 32 courts with the lowest annual revenue
- Annual revenue for small courts ranges from \$500,000 - \$9.4 million
- Average amount of financial transactions (without payroll or security costs) for small courts is \$1.4 million
- Total court employees for small courts ranges from 4.0 – 130.0
- Average number of court employees for small courts is 48.0
- Average number of existing accounting employees for small courts is 2.0

#### Medium Courts

- 17 courts with the lowest annual revenue, after the small courts
- Annual revenue for medium courts ranges from \$10.4 million - \$45.1 million
- Average amount of financial transactions (without payroll or security costs) for medium courts is \$7.3 million
- Total court employees for medium courts ranges from 135.0 – 425.0
- Average number of court employees for medium courts is 229.0
- Average number of existing accounting employees for medium courts is 7.0

#### Large Courts

- 9 courts with the highest annual revenue
- Annual revenue for large courts ranges from \$60.0 - \$573.0 million
- Average amount of financial transactions (without payroll or security costs) for large courts is \$53.0 million
- Total court employees for large courts ranges from 540.0 – 5,694.0
- Average number of court employees for large courts is 1,690.0
- Average number of existing accounting employees for large courts is 36.0

An updated schedule will be provided to the finalist during the contract negotiation phase.





## **PART II SUBMITTAL REQUIREMENTS**



**2.1 ISSUING AGENT**

The Administrative Office of the Courts on behalf of the Trial Courts of California is issuing this RFP. All communications regarding this RFP process should be directed to:

Mr. Grant Walker  
Business Services Manager  
Administrative Office of the Courts  
Business Services Unit, 5<sup>th</sup> Floor  
455 Golden Gate Avenue  
San Francisco, CA 94102  
Email: [grant.walker@jud.ca.gov](mailto:grant.walker@jud.ca.gov)

The RFP does not constitute a contract or an offer for 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 of the contract in any manner. *The AOC reserves the right to make one award, multiple awards or reject all proposals submitted in response to this RFP.*

**2.2 SUBMISSION REQUIREMENTS**

Deadline for receipt of proposals. The Business Services Unit must receive proposals in their entirety no later than 3:00 P.M. (Pacific) on Thursday, April 24, 2003.

Proposals arriving after the deadline will be returned, unopened, to their senders.

Mailing Address:

**(Delivery)**

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

**(US Mail)**

Mr. Grant Walker  
Business Services Manager  
Administrative Office of the Courts  
Finance Division, Business Services Unit, 5<sup>th</sup> 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: **Court Accounting and Reporting System (CARS)**  
Bidder/Company Name and Return Address

Please use the following checklist to ensure that you are submitting a complete proposal. Additionally, please ensure that all electronic files are clearly identified with your business name and address.



- ❑ One unbound original proposal, marked “original”
- ❑ Two CD-ROM copies of the entire proposal need to be submitted for document management purposes (on CD-ROM only).
- ❑ Six (6) bound copies of the proposal (including hard copies of costs & requirement responses) presented in a professional manner are to be submitted.
- ❑ Vendors that have provided incomplete information on costs and functional requirements may be eliminated from further consideration.
- ❑ Bidders are required to submit references on forms supplied in this RFP. Vendors who do not provide this information in the proposal may be eliminated from further consideration.

### **2.3 DELIVERY OF PROPOSAL**

Each proposal must be received by the date and time set for closing receipt of offers. The submission shall be identified with the name of the Vendor and the date and time of closing. Proposals received prior to the time of the opening will be securely kept, unopened. No responsibility will be attached to the AOC for the premature opening of a proposal not properly addressed and identified. The AOC cautions Vendors to assure actual delivery of mailed or hand-delivered proposals directly to the AOC prior to the established deadline. Late proposals will be returned to the Vendor unopened.

### **2.4 PROPOSAL COSTS**

Those submitting proposals do so entirely at their 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, providing additional information when requested by the AOC or for participating in any selection interviews.

### **2.5 ACCEPTANCE**

Submission of any proposal indicates a Vendor’s acceptance of the terms and conditions contained in this RFP unless clearly and specifically noted otherwise in the proposal.

### **2.6 INTERPRETATIONS**

Vendors requiring clarification of the intent of this solicitation document or on procedural matters related to it should transmit those questions, by no later than April 21, 2003, to the contact as stipulated in Part II, Section 1 of this RFP

All questions relating to the technical requirements or the Vendor’s Technical Proposal must be submitted in writing if not asked during the Mandatory Vendor Conference and Workshop. Questions received by April 21, 2003 will be posted with their answers on the Judicial Branch web site (<http://www.courtinfo.ca.gov/reference/rfp/cars.htm>) by April 23, 2003.

Questions will not be accepted after April 21, 2003.



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

If a Bidder's question relates to a proprietary aspect of its proposal and the question would expose proprietary information if disclosed to competitors, the Bidder may submit the question in writing, marking it as "CONFIDENTIAL". With the question, the Bidder 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 as permitted by law. If the AOC does not concur regarding the proprietary nature of the question, the question will not be answered in this manner and the Bidder will be notified.

If a Bidder submitting a proposal believes that one or more of the solicitation document's requirements are onerous or unfair, or that it unnecessarily precludes less costly or alternative solutions, the Bidder may submit a written request that the solicitation document be changed. The request must set forth the recommended change and the Bidder's reasons for proposing the change. Any such request must be submitted by no later than 5 p.m. on April 21, 2003 to the contact as stipulated in Part II, Section 1 of this RFP.

## **2.7 AMBIGUITY, DISCREPANCIES, OMISSIONS**

If a Bidder submitting a proposal discovers any ambiguity, conflict, discrepancy, omission, or other error in this RFP, the Bidder shall immediately provide the AOC with written notice of the problem and request that this RFP be clarified or modified. Without disclosing the source of the request, the AOC may modify this RFP prior to the date fixed for submission of proposals by issuing an addendum to all Bidders to whom this RFP was sent.

If prior to the date fixed for submission of proposals, a Bidder 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 Bidder shall submit its proposal at its own risk, and if the Bidder is awarded the contract, it shall not be entitled to any price or other adjustment to the contract for such reason.

## **2.8 WITHDRAWAL OF PROPOSAL**

A Bidder may withdraw its proposal, either personally or by written request, at any time prior to the date and time that this RFP is scheduled to close.

## **2.9 ADDENDA**

Any addendum issued by the AOC during the RFP process shall be acknowledged by Bidder (see Attachments). The requirements of all AOC-issued addenda to this RFP shall be made part of the agreement between the AOC and the selected Bidder.



## 2.10 TENTATIVE PROCUREMENT SCHEDULE FOR IMPLEMENTATION VENDOR SELECTION

March 26, 2003	RFP Release Date
April 3, 2003	Mandatory Vendor Conference and Workshop (10:00am - 2:00 pm Pacific)
April 21, 2003	Deadline to submit requests for changes in RFP
April 21, 2003	Questions on RFP Deadline
April 23, 2003	Response to Questions posted on <a href="http://www.courtinfo.ca.gov/reference/rfp/cars.htm">www.courtinfo.ca.gov/reference/rfp/cars.htm</a>
April 24, 2003	Proposals Due (3:00 PM – Pacific)
April 25 - May 9, 2003	Proposals Evaluated
May 2003	Interviews With Select Bidders
May 2003	Additional Interviews with Finalist(s)
May 30, 2003	Complete Contracting Process

## 2.11 MANDATORY VENDOR CONFERENCE AND WORKSHOP

This project is not the “typical” implementation of ERP software at a single site. As such, a half-day Vendor Conference and Workshop has been scheduled for Thursday, April 3, 2003 at the AOC’s Catalina Room (3<sup>rd</sup> Floor, Judicial Council Conference Center, 455 Golden Gate Avenue in San Francisco). The Workshop is mandatory since AOC personnel will provide details about the implementation strategy, answer questions about the procurement, and provide details about the rollout schedule for the Trial Courts.

## 2.12 REJECTION

AOC reserves the right to reject as non-responsive any proposal which is incomplete, modified, unsigned, or illegible, or which is not otherwise submitted in accordance with the requirements of this RFP. The AOC reserves the right to waive any informality in proposals received, to accept or reject any or all of the items in the proposal, and to award the contract in whole or in part and/or negotiate any or all items with individual Bidders if it is deemed in the AOC’s best interest. Moreover, the AOC reserves the right to make no selection if proposals are deemed to be outside the fiscal constraint or against its best interests.

Furthermore, the AOC reserves the right to negotiate separately with any Bidder after the opening of the response to this RFP when such action is considered in its best interest. Subsequent negotiations may be conducted, but such negotiations will not constitute acceptance, rejection, or a counteroffer on the part of the AOC.

## 2.13 INDEPENDENT CONTRACTOR

Bidder shall be deemed an independent contractor and not an agent, subcontractor, or employee of AOC and the Bidder shall not be authorized to bind AOC to any contract or other obligation. Under the agreement, the Bidder shall certify that no one who has or will have any financial interest under the agreement is an officer or employee of AOC.



## 2.14 THIRD PARTY CONSULTANT(S)

Should any Bidder consider using a third-party firm for any part of the Work or Services herein, Bidder shall submit with its proposal a description of the work or service to be performed. No more than one-third (33%) of the total implementation services consulting hours may be subcontracted (e.g., the prime contractor must directly perform at least two-thirds of the hours through its own employees). Any alternation to this prime-contractor/sub-contractor mix is solely at the discretion of AOC. The role of the vendor's Project Manager may not be subcontracted and each proposal must include a "Review" component from SAP. Bidders shall not enter into a subcontract agreement for any or part of the Work of Services herein 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.

## 2.15 CONFIDENTIAL MATTERS – AOC DATA

All data and information gathered by the Consultant and its agents, including this RFP and all reports, configuration blueprints, recommendations, specifications, and data shall be treated by the Bidder and its agents as confidential. The Bidder and its agents shall not disclose or communicate the aforesaid matters to a third party or use them in advertising, publicity, propaganda, and/or in another job or jobs, unless written consent is obtained from the AOC.

## 2.16 CONFIDENTIAL MATTERS – VENDOR DATA

If any information submitted in vendor proposals is confidential or proprietary, the Bidder must provide that information on pages separate from non-confidential information and clearly label the pages containing confidential information "CONFIDENTIAL."

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

Protection of Confidential 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 AOC's right to use the information contained herein if obtained from another source.*

If the AOC concurs that disclosure would expose proprietary information, the information will be kept in confidence. If the AOC does not concur regarding the proprietary nature of the information, the AOC will notify the Bidder, who can then decide whether or not to submit its proposal without claim of confidentiality.

## 2.17 RETENTION OF VENDOR MATERIAL

The AOC reserves the right to retain all proposals, including proprietary documentation, regardless of which response is selected.



## **2.18 NON-DISCRIMINATION**

The Bidder shall be required to comply with all laws concerning non-discrimination in employment, and shall be subject to all penalties, including penalties set forth in the State of California Code, in the event of a violation of this provision.

## **2.19 AMERICANS WITH DISABILITIES ACT**

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

## **2.20 ENTIRE AGREEMENT**

The signed Contract between AOC and the selected firm(s) will constitute the entire agreement of the parties hereto, and will supersede any previous agreement or understandings. The Contract may not be modified except in writing and executed by both parties.

## **2.21 GOVERNING LAW**

The laws of the State of California shall govern this RFP process and the Agreement. All services provided to AOC shall comply with all AOC policies, rules, and regulations, which may be in effect during the term of the Agreement, as well as all federal, California, and local statutes, ordinances and regulations.

## **2.22 VENDOR RESPONSIBILITY**

Each Bidder must certify on company letterhead that neither it nor any of its proposed subcontractors are currently under suspension or debarment by any state or the federal government agency, and that neither it, nor any of its proposed subcontractors are tax delinquent with the State of California. Bidders 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 Bidder must acknowledge that if it or any of its subcontractors subsequently are placed under suspension or debarment by a state federal government entity, or if the Bidder or any of its subcontractors subsequently become delinquent in California taxes, their proposal may be disqualified.

## **2.23 PROTEST PROCEDURES**

Any protest challenging the terms of this solicitation must be filed no later than the date specified for submission of initial proposals to the contact as stipulated in Part II, Section 1 of this RFP.

A Bidder submitting a proposal may protest a contract award if it (1) is otherwise eligible to receive a contract award, and (2) sets forth adequate allegations indicating that the intended awardee is ineligible for award or that the protester is entitled to the award under the evaluation criteria of the RFP.





A Bidder submitting a proposal that is qualified to protest must submit written communication to the contact as stipulated in Part II, Section 1 of this RFP.

If the Business Services Manager rejects the Bidder's protest, the Bidder can file a written appeal within five working days of issuance of the notice of protest rejection. The written appeal must state all grounds for the protest, all relevant facts and include all supporting evidence and documentation. The 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

The Chief Deputy Administrative Director will review the 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. The decision of the Chief Deputy Administrative Director shall be final.

A receipt should be requested for hand-delivered material.

## 2.24 PROPOSAL FORMAT

In order to facilitate the analysis of responses to this RFP, Bidders are required to prepare their proposals in accordance with the instructions outlined in this part of the RFP. Each Bidder is required to submit the proposal in a sealed package. Bidders must be sure they have received an electronic attachment with this RFP that includes two Microsoft Excel spreadsheets which contain (1) the cost matrix, and (2) detailed business requirements. (Electronic files are included with this RFP). See [www.courtinfo.ca.gov/reference/rfp/cars.htm](http://www.courtinfo.ca.gov/reference/rfp/cars.htm) for RFP and related files.

Proposals should provide a straightforward, concise description of the Bidder's capabilities to satisfy the requirements of the RFP. Emphasis should be concentrated on accuracy, completeness, and clarity of content. All parts, pages, figures, and tables should be numbered and clearly labeled. The proposal should be organized into the following major sections:

Section	Title
	Title Page
	Letter of Transmittal
	Table of Contents
1.	Executive Summary
2.	Scope of Services
3.	Company Background/Experience
4.	Implementation Methodology and Plan
5.	Staffing Plan and Qualifications
6.	Post Production and Upgrade Support
7.	Client References
8.	Cost Proposal/Assumptions in Pricing
9.	Responses to Functional/Technical Requirements
10.	Other Functionality
11.	AOC's Major Contractual Terms/Exceptions to the RFP

Instructions relative to each part of the response to this RFP are defined in the remainder of this section.



### 2.24.1 Executive Summary

(Section 1) This part of the response to the RFP should be limited to a brief narrative highlighting the Bidder's proposal. It should succinctly include qualifications and experience regarding the firm's ability to do the work requested in this RFP. The section should limit technical jargon and marketing information and focus instead on qualifications, experience, assumptions and a summary of the firm's ability to meet the business partnering requirements of AOC as stated in this RFP.

### 2.24.2 Scope of Services

(Section 2) This section of the Bidder's proposal should also include a general discussion of the Bidder's understanding of the "overall" project and a summary of the services being proposed.

### 2.24.3 Company Background/Experience

(Section 3) This is an important part of AOC's vendor selection criteria. Bidders are encouraged not to provide marketing materials or "boilerplate" and instead to tailor their response in a way that highlight their qualifications specific to the work and implementation requirements stated in this RFP. Bidder must provide the following information about its company so that the AOC can evaluate the firm's financial stability and ability to support the commitments set forth in the proposal response. The AOC, at its option, may require a Bidder to provide additional support and/or clarify requested information.

The Vendor should outline the company's background, including:

- How long the company has been in business
- How long the company has been installing SAP at public sector sites.
- Size of public sector practice (Revenue and Number of Employees) for SAP.
- Any material (including reference letters from other governments or industry analyst reviews) indicative of the Bidder's capabilities.
- Comprehensive statement of qualifications to do the work requested in this RFP.

### 2.24.4 Implementation Methodology and Plan

(Section 4) The ASAP methodology was deployed at AOC to configure the base system and to test the Pre-Configured SAP Template at the first Trial Court site. This Template is the mandated base configuration for the Trial Courts to follow. However, AOC plans to provide additional SAP functionality, upgrade SAP, and look to the successful firm(s) selected as a result of this RFP to make recommendations that improve the Template. In short, AOC is seeking an experienced consulting firm that will incorporate already completed tasks into a methodology that extends already completed work to other Trial Courts.

#### 2.24.4.1 *Required Tasks*

Bidders will be required to incorporate the following into their proposed methodology:

- Quality review of the existing configuration blueprint design documents to ensure compatibility with best business practices for SAP use in the public sector and for future SAP functionality. The assessment must result in a detailed report of findings, recommendations,



proposed changes to the blueprint and a method to implement the changes. A Certified Integrator of mySAP for Public Sector must participate in this activity.

- The AOC has recently selected Siemens Business Services as the hosting vendor for the AOC’s Technology Center (For full contents of AOC’s Technology Center proposal see [www.courtinfo.ca.gov/reference/rfp/sharedservrfp.htm](http://www.courtinfo.ca.gov/reference/rfp/sharedservrfp.htm)). The selected contractor will be responsible for working with Siemens Business Services to facilitate the transition to the hosting environment, including the turnover of user support. The contractor will be expected to prepare an impact assessment report along with a proposed methodology for providing support to AOC for each implementation.
- Strategy to retrofit any design changes, improvements, or upgrades into prior Trial Court implementations. For example, develop a strategy for implementing changes developed during Year 2 implementations at Year 1 implementations.
- Review and analysis of reports and documents generated by the AUPR Team and the Accounting Preparation Team. Bidders will be required to provide an impact assessment summary outlining any potential design or implementation issues to the SAP rollout.
- Approach to implement Fixed Assets and Treasury Management. AOC requires that a Certified Integrator of mySAP for Public Sector participate in the design for these two additional modules.
- Approach to upgrade SAP to Enterprise
- The Bidder shall provide their expectations of the AOC concerning data conversions and interfaces. It should be assumed that the AOC will be responsible for gathering data required for data conversions and assisting with the interface efforts, but that the implementation services firm is expected to lead and manage the upload process. The AOC has developed standard data requirements (templates, file formats) to aid in the data conversion effort and will be working with the Trial Courts to complete all data requirements prior to conversion. It should be assumed that all Master Data will be converted and all fiscal year transactions will be converted (when the implementation involves a mid-year “go-live” date). The AOC expects to convert active vendor records, active accounts in the financials, and account balances only for each court implemented. The Bidder shall address the process for dealing with customizations, modifications, interfaces, and data conversions tasks that come up during the project but are currently unknown. The overall plan shall include the description of work, responsible party and overall time to complete the specific task.

**Existing Interfaces**

(Implementer ensures maintenance of interfaces during each implementation)

Function	Product
Budget Consolidation	Hyperion
Payroll System	ADP



**Possible Interfaces**

(Implementer may be responsible for developing an interface between SAP and these applications)

Function	Product
Jury System	Jury Plus
	Ejuror
Case Management System	Various
Payroll System	Various and/or spreadsheet
Banking and Treasury System	TBD (AOC is developing RFP for banking services). Interface will be required when Treasury module is installed.

*Note: It should be assumed that electronic data will not be extracted from the current Trial Court or County financial systems. The selected Bidder will be required to present a detailed project plan as part of the Statement of Work development process. The project plan shall be updated weekly for AOC Project Managers.*

Specific mutually agreeable criteria for successful system implementation at each trial court will be established during the contract negotiation process. The selected Bidder will be required to participate with the AOC in testing the processing capabilities of each implementation to ascertain conformance with the acceptance criteria before the AOC will accept the rollout to any trial court. The Bidder shall detail its approach to acceptance testing.

**2.24.5 Staffing Plan and Qualifications**

(Section 5) The Bidder must also provide a staffing plan for its staff showing (1) the position title and duties; (2) specific Key Personnel proposed for the two years of the project; (3) brief (1 page) resumes for each Key Personnel. Key Personnel are defined as the Engagement Director, Project Manager(s), Functional Leads, Technical Leads. Firms should propose the resumes of at least ten (10) Key Personnel for the Prime Contractor and Sub-Contractors as well as consultants from SAP for the Quality Review.

The AOC CARS implementation effort will be long-term in nature, requiring a significant amount of dedicated staffing resources. Throughout the process, unanticipated circumstances may arise that require teams to reallocate or increase their staffing resources to address short-term and long-term needs. For this purpose, prospective Bidders will be required to develop a staff contingency plan, which will explain their strategy for addressing staffing needs as they arise.

*Note: The AOC expects to devote seven full-time functional staff and two full-time technical staff to the project.*

**2.24.6 Post Production and Upgrade Support**

(Section 6) The AOC is requesting that Bidder proposals include at least one-month post-production support after CARS has been put into production, including support for the first month close at each Trial Court, support for the year-end close process, as well as the transition of on-going support to the AOC's Technology Center. In addition, the selected contractor must support the upgrade process. Please describe the type of activities that are included in the post-production support strategy.



### 2.24.7 Client References

(Section 7) Using Attachment B, the bidder should provide at least five (5) client references that are similar in size and complexity to this project and have utilized the proposed system in a comparable computing environment. Submit references for fully operational installations using the reference forms contained herein. Each reference must be a client for whom your firm has provided more than 50% of the implementation services hours actually needed to put that client into production. At least three (3) references should be provided for each subcontractor being proposed.

*Note: The AOC considers both client and Key Personnel references to be important. The AOC will not call Bidders to tell them that their references will be contacted because all references provided will be contacted by the AOC or the GFOA during the selection process. Similarly, the AOC and the GFOA will not work through a Vendor's Reference Manager to complete a reference. References will be contacted directly without vendor participation on the call.*

### 2.24.8 Cost Proposal Format and Directions

(Section 8) Bidders should submit a comprehensive cost proposal to implement the tasks requested in this RFP. The AOC understands that it is easier to estimate the work effort for some of the tasks in this RFP than other tasks. As such, bidders should follow the directions below closely in preparing the cost proposal.

#### 2.24.8.1 *Cost Format*

Bidders must use Attachment C (and the electronic spreadsheet). It is important that Bidders use the cost format presented in this RFP and not their own format. Bidders must price their proposal to implement the functionality in the RFP and in accordance with their responses to the detailed requirements matrix (e.g., known interfaces, customizations, modifications, and custom reports needed to meet requirements must be included in the pricing).

Please do not use "TBD" (to be determined) or similar annotations in the cells for cost estimates. A response such as "TBD" will be interpreted as a non-response and may exclude the proposal from further consideration. Also, provide estimates for the individual categories as requested in the attachment. The AOC reserves the right to contact Bidders on cost and scope clarification at any time throughout the selection and negotiation process.

The majority of the implementation work effort will be conducted at the headquarters in San Francisco. Travel will be required to assist with post-production support at the Trial Courts (including go-live and assistance with the first month close process).

#### 2.24.8.2 *Major Implementation Tasks*

The Cost Proposal must provide estimates for each of the major implementation tasks. The tasks are defined below:

- (1) Base Configuration-each implementation round. These tasks include all professional services related to implementing the pre-configured SAP system for each Trial Court and any additional AOC Accounting Processing Centers. These services will also include Pre-Configured SAP Design Impact Reviews of any reports or analyses produced by the Agreed Upon Procedures Review Team and/or the Professional Accounting Assistance Team. Note: The Fixed Assets Module and the Treasury



Management Module will be included in the base configuration (Pre-Configured SAP Template) once each module has been accepted by AOC.

- (2) Configuration of Fixed Assets Module-These tasks include all professional services related to designing, configuring, and testing the pre-configured SAP fixed assets module that will be installed at each Trial Court and the AOC Accounting Processing Centers.
- (3) Configuration of Treasury Management Module- These tasks include all professional services related to designing, configuring, and testing the pre-configured SAP treasury management module that will be installed at each Trial Court and the AOC Accounting Processing Centers.
- (4) Migration to Hosting Environment-The cost estimates provided for this task address activities required to assist the AOC in migrating the current SAP production environment from AOC facilities to the hosted environment. Activities related to this task may include hardware sizing assistance, network tuning, SAP programming, interface testing, and software testing (functional, technical, and stress).
- (5) Upgrade of SAP for Trial Courts-This task includes all professional and technical services related to upgrading MySAP 4.6c to the Enterprise Edition. Note: AOC has not made a definitive decision on whether it will choose to upgrade the software prior to Fiscal Year 2004.
- (6) Retrofit of Updated Pre-Configured Template to Prior Implemented Courts-Costs for this activity should address all tasks related to implementing any configuration changes, module/functionality additions, or software upgrades to any prior implementations of the pre-configured SAP template at the Trial Courts or the Accounting Processing Centers.

#### 2.24.8.3 Directions for Cost Proposal

Attachment C contains Schedules C1-C4 that must be thoroughly completed by Bidders.

C1-Rate Schedule By Year-Bidders must provide a rate schedule for personnel for each FY 2003-2008. Since AOC anticipates contracting only for a two-year period, the bidder is required to commit to the rates provided for FY 2003-2004; rates for FY 2006-2008 can be considered estimates. Note: The AOC uses the State of California definition for fiscal year, which is to use the first calendar year in the fiscal year designation, i.e., fiscal year 2003 is defined as July 1, 2003 – June 30, 2004.

Bidders must (a) determine a rate for each of their personnel using the provided categories in Schedule C1, (b) weight these rates against the number of hours for the personnel for each year (determined in Schedule C2 below); and (c) provide a single *Weighted Average Blended Rate for Professional Services*.

Next, bidders should provide a single rate that serves as the *Travel Cost Loading Rate* for each year that will be applied to hours worked on-site.

The addition of the Weighted Average Blended Rate for Professional Services and the Travel Cost Loading Rate should result in the *Fully Burdened Rate* for each year.

The Fully Burdened Rate is the rate that should be used to calculate total project costs (Schedule C3 below).





**C2-Hours by Major Task by Year**-Bidders must provide estimated work effort based on hours (not days) for each year for all contractor personnel. Again, because of the anticipated length of the agreement, the bidder is required to commit only for the hours provided for FY 2003-2004; hours for FY 2005-2008 can be considered estimates. For each FY a *Total Hours Per Year* must be provided.

**C3-Total Estimated Project Cost**-Bidders should provide estimates for the Total Project Cost and FY Project Cost by multiplying the Fully Burdened Rate (determined in Schedule C1) and the Total Hours Per Year (determined in Schedule C2).

The AOC and the successful bidder will negotiate a final contract amount—based on the most accurate information available during the contracting process regarding the scheduled rollout—and will also negotiate the basis for each cost figure (e.g., fixed price, time and expenses with not-to-exceed). Vendors will be expected to adhere to the rates provided for FY 2003 and FY 2004 (defined as July 1, 2003 to June 30, 2005—as well as a few months beyond this for post-production support). AOC will negotiate these rates based on the quality of personnel proposed and prevailing industry standards.

**C4-Assumptions**-Bidders must list all of the assumptions related to the cost proposal, staffing estimates, or any other aspect of this RFP.

#### 2.24.9 Responses to Functional/Technical Requirements

(Section 9). The Bidder shall implement the features and functions specified in the Requirements Matrix as indicated in Attachment D (Existing Business Requirements). These features were installed and tested by AOC during the development Pre-Configured SAP Template. The AOC is attaching the requirements by module to this RFP. Implementation firms must validate each and every response and list each exception using a comment field in the spreadsheet. These requirements will be used to as part of the warranty for implementation services for each SAP implementation in the CARS project.

Response	Definition	Response	Definition
<b>F=</b>	Fully Provided "Out-of-the-Box"	<b>C =</b>	Customization (requiring changes to underlying source)
<b>R =</b>	Provided with Reporting Tool	<b>NV =</b>	Provided in the Very Next Version
<b>M =</b>	Modification/Configuration (without source code changes)	<b>NA =</b>	Not Available
<b>TP =</b>	Third Party Software Required		

**Note:** Bidders must use one code only per requirement. Any requirement that is answered in any other way will be treated as a negative/non-response. The selected implementation consultant must warrant that the content of its proposal accurately reflects the software's capability to satisfy the functional requirements as included in this RFP.

#### 2.24.10 Other Functionality

(Section 10) The AOC will be implementing Fixed Assets and Treasury Management as part of the first year of implementation. This will be a brand new installation since neither of these functions were designed and configured in the Template. Please indicate your ability to meet these business requirements, as listed in Attachment E.

Bidders must use the codes below to indicate their ability to meet AOC requirements.





<b>Response</b>	<b>Definition</b>	<b>Response</b>	<b>Definition</b>
<b>F=</b>	Fully Provided "Out-of-the-Box"	<b>C =</b>	Customization (requiring changes to underlying source)
<b>R =</b>	Provided with Reporting Tool	<b>NV =</b>	Provided in the Very Next Version
<b>M =</b>	Modification/Configuration (without source code changes)	<b>NA =</b>	Not Available
<b>TP =</b>	Third Party Software Required		

Notes: 1) Bidder is required to work with SAP to complete the requirements presented in Attachment E. 2) Bidders must use one code only per requirement. Any requirement that is answered in any other way will be treated as a negative/non-response. 3) The selected firm must warrant that the content of its proposal accurately reflects the software's capability to satisfy the functional requirements as included in this RFP.

#### 2.24.11 AOC'S Major Contractual Terms/Exceptions to the RFP (Section 11)

Base Services Contract. To expedite contract negotiations, AOC will require that vendors adhere to the base contract terms and conditions presented in Attachment A. The text contained in Attachment A is not all-inclusive and does not represent the final format for the AOC contract. The terms and conditions presented in the attachment represent the minimum requirements for all contracts related to this project.

Exceptions to RFP. Bidders may take exception to certain requirements and conditions in this RFP. All exceptions shall be clearly identified in this section and written explanation shall include the reason for the exception. At its sole discretion, the AOC may reject any exceptions or specifications within the proposal.



## **PART III PROPOSAL EVALUATION PROCESS**



### 3.1 OVERVIEW

Although the initial contract is anticipated to be for a two-year period, with three one-year options, the AOC would like to select a implementation services business partner that will have a long-term relationship to the project. As such, the qualifications, staff experience, methodology and cost proposal will be important considerations. The evaluation process that AOC will rely upon seeks to gather information from bidders regarding these areas. 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 the Government Finance Officers Association (GFOA) to assist them in procuring the implementation services specified in this RFP. GFOA will also be assisting the AOC during contract negotiations and Statement of Work (SOW) development. GFOA's role is to provide information and facilitate analysis. The decision to select the implementation firm is solely the responsibility of the AOC.

### 3.2 SELECTION TEAMS

#### 3.2.1 Executive Steering Committee (ESC)

The role of the ESC is to select the SAP implementation team based upon the recommendations made by the Proposal Evaluation Team and the Advisory Group. The ESC consists of the following members: Director of Finance, Controller, Director of Information Services, Assistant Director of Information Services, and ERP Manager of Information Services.

#### 3.2.2 Evaluation Team

This Team is responsible for the evaluation and scoring of the proposals, vendor demonstrations, and other evaluation tasks that may include site visits.

#### 3.2.3 Advisory Group

A broader Advisory Group consisting of subject matter experts from AOC, GFOA and AOC contractors involved in Stage One (Audit) and Stage Two (Accounting Preparation) will be established and will provide input to the Evaluation Team and the ESC. The Advisory Group is a non-voting team.

### 3.3 ELEVATION PROCESS

The AOC will use a selection method that promotes competition throughout each step in the decision-making process. A series of "elevations" will be used to select a finalist Proposal Team. For each milestone in the process, the AOC will elevate a certain number of Proposals. If a Proposal fails to meet expectations during any part of the



process, the AOC reserves the right to proceed with the remaining Proposals or elevate a Proposal Team that was not elevated before.

Selection of a contractor will be based on the following areas:

- Qualifications of the prime contractor and sub-contractors.
- Experience in implementing SAP for Public Sector.
- Implementation strategy, staffing and plan.
- Costs of services and any other costs.
- Ability to meet general procurement requirements.
- Ability to meet AOC's contract terms and conditions.
- Recent references at other public sector entities where SAP is installed.
- On-site interviews.
- Site visits (optional).
- Quality of the Statement of Work (for finalists).

### 3.3.1 First Elevation

All proposals received will be inspected for compliance with the general RFP requirements. The AOC may contact Bidders for clarification or correction of minor errors and submissions. Upon such a request the Bidder must furnish any requested information to the AOC within 5 business days or the proposal will be evaluated as originally received. Major errors or omissions, such as the failure to provide a cost schedule, may result in a declaration that the proposal is non-conforming, and may cause proposal to be rejected.

The goal of the First Elevation is to identify no more than three (3) Proposal Teams for elevation to the next level.

### 3.3.2 Second Elevation

The Proposal Teams elevated to this level will be invited to AOC for on-site interviews. The main objectives of the interviews will be to assess the extent to which vendors understand the AOC project, to determine the vendor's knowledge of public sector issues, and to assess the proposed methodology for implementing SAP. Members of the Evaluation Team will interview each selected vendor. Interviews will last no longer than one day and vendors will be required to have their Engagement Manager and proposed Project Manager present for the interviews. AOC reserves the right to invite vendors, including key personnel, back for further interviews.

The AOC will also conduct reference checks for each vendor elevated to this stage. Reference checks may include site visits to and discussions with other public sector entities where the vendor has implemented SAP for Public Sector.



### 3.3.3 Third Elevation

Two proposals will be selected for contract negotiations. This phase begins with a one to two day, on-site meeting with the AOC and its consultants to discuss the implementation strategy, costs and the components of the SOW in detail. A series of memos (Request for Clarifications (RFCs)) may be issued at any time following the Second Elevation to clarify information presented to date. The RFCs are used to negotiate implementation rates, project scope, warranty requirements and other items related to meeting the business requirements for the project.

### 3.3.4 Final Elevation

The AOC will use competitive negotiations to decide on a finalist. Under this approach, negotiations will take place between the two highest-ranking bidders after evaluation of all information submitted, on-site interviews, and other activities. After the negotiating process, the ESC will meet to elevate a single Bidder to establish a Statement of Work (SOW) and formal contract. If a formal contract is not established with the first Bidder elevated, the AOC reserves the right to resume negotiations with the second Proposal Team and/or any of the other Bidders that have submitted proposals. Should the ESC determine that only one proposal is most closely meets the requirements of this RFP, a contract may be negotiated and awarded to that Proposal Team without the process described above (i.e., AOC may negotiate directly with only one vendor).

## **Attachments**



**Attachment A**  
**Standard Terms and Conditions**



### STANDARD PROVISIONS

1. The Contractor shall indemnify, defend, and save harmless the State and its officers, agents, and employees from any and all claims and losses accruing or resulting to any and all other contractors, Subcontractors, suppliers, and laborers, and any other person, firm, or corporation furnishing or supplying Work, Materials, Data, or services in connection with the performance of this Agreement, and from any and all claims and losses accruing or resulting to any person, firm, or corporation who may be injured or damaged by the Contractor or its agents or employees in the performance of this Agreement.
2. The Contractor and the agents and employees of the Contractor, in the performance of this Agreement, shall act in an independent capacity and not as officers or employees or agents of the State of California.
3. The State may, subject to the provisions of this paragraph, by written Notice of default to Contractor, terminate the whole or any part of this Agreement under any one (1) of the following circumstances:
  - A. If the Contractor fails to perform the services within the time specified herein or any extension thereof, as follows:
    - i. If the Contractor (a) fails to perform any of the other provisions of this Agreement, or (b) so fails to make progress as to endanger performance of this Agreement in accordance with its terms, and in either of these two (2) circumstances does not cure such failure within a period of five (5) business days (or such longer period as the party giving written Notice may authorize in writing or such period as the parties may agree under the circumstances and agreement to such period shall not be unreasonably withheld by either party) after receipt of Notice of such failure from the State; or
    - ii. If Contractor should cease conducting business in the normal course, become insolvent or bankrupt, make a general assignment for the benefit of creditors, admit in writing its inability to pay its debts as they mature, suffer or permit the appointment of a receiver for its business or assets, merge with or be purchased by another entity, or avail itself of or become subject for a period of thirty (30) Days to any proceeding under any statute of any State authority relating to insolvency or protection from the rights of creditors.
  - B. In the event the State terminates this Agreement in whole or in part, due to the Contractor's failure to perform, the State may exclude the Contractor from the Work site and take possession of the Work and all of the materials and equipment for which the State has paid any amount to the Contractor. The State may procure, upon such terms and in such manner as it may deem appropriate, supplies or services similar to those so terminated, and Contractor shall be liable to the State for any excess costs for such similar





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supplies or services, subject to the limitations contained elsewhere herein, provided that Contractor shall continue the performance of this Agreement to the extent not terminated under the provisions of this paragraph.

- C. The Contractor shall not be liable for any excess costs if the failure to perform the Agreement arises out of acts of Force Majeure; but in every case the failure to perform must be beyond the control and without the fault or negligence of Contractor.
- D. If, after Notice of termination of this Agreement, it is determined for any reason that the Contractor was not at default under the provisions of this paragraph, or that the default was excusable under the provisions of this paragraph, the obligations of the State shall be to pay only for services rendered at the rates set forth in the Agreement.
- E. The rights and remedies of either party provided in this paragraph shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Agreement.

4. Termination Other Than for Cause

- A. In addition to termination for cause under 3(A), the State may terminate this Agreement at any time upon providing the Contractor written Notice at least thirty (30) Days before the effective date of termination. Upon receipt of the termination Notice, the Contractor shall promptly discontinue all services affected unless the Notice specifies otherwise.
- B. If the State terminates all or a portion of this Agreement other than for cause, the State shall pay the Contractor for all Work satisfactorily performed and for allowable expenses incurred, prior to the effective date of termination, not to exceed the total Contract Amount.

5. Acceptance of the Work

- A. The State's Project Managers will be responsible for the sign-off Acceptance of all the Work required and submitted pursuant to this Agreement.
- B. The Contractor shall provide the Work to the State, in accordance with direction from the State's Project Managers.
- C. If the Work, including any Deliverable, is rejected, the Contractor will revise the Work to correct the reason(s) for rejection and resubmit the Work for Acceptance within three (3) business days of receipt of the written rejection. Upon resubmittal, the review process set forth above in this provision will repeat itself until the Work is accepted by the State.
- D. Conditional Acceptance Process: Upon the Contractor's notification to the State that the Contractor has completed the installation of any one (1) or more components of the ERP System ("Software Component"), and that such Software Component is ready for testing, the State shall begin testing such Software Component in a non-Production environment using the test procedures and standards contained in the Acceptance Test Plan, or such other standards as are mutually agreed upon in writing ("Acceptance Test Procedures"), to determine whether each Software Component meets, in all material respects, the applicable Specifications, as set forth in the Agreement



or the Acceptance Test Plan or such other criteria as are mutually agreed upon in writing ("Pre-Production Testing"). After the State has completed the Pre-Production Testing for a Software Component and has operated such Software Component for up to twenty (20) business days, in accordance with the Specifications, the State shall notify the Contractor in writing that "Conditional Acceptance" of such Software Component, or the entire ERP System, as the case may be, has occurred. Following this period, Conditional Acceptance will be deemed accepted unless the Contractor is in receipt of written notification from the State to the contrary. If the State determines that a Software Component, or the ERP System as a whole, does not perform as provided for in this Agreement, the State shall deliver to the Contractor a report describing the discrepancies. The Contractor shall correct the Configuration errors, not including Software defects, within five (5) business days after receiving such report, and the State may re-test the Software Component and the ERP System for an additional test period of up to ten (10) business days, at the end of which the process set forth in this subparagraph shall be repeated. In the event the error or defect is caused by a Software defect, the Contractor will make a good faith effort to resolve the problem within fifteen (15) business days. For the purpose of this Agreement, a Software defect shall be defined as a problem requiring the filing of an OSS report to SAP. This process shall continue until Conditional Acceptance of the Software Component, or Final Acceptance of the ERP System, as the case may be, has occurred.

- E. Final Acceptance Process: Once Conditional Acceptance of each of the Software Components of the ERP System has occurred, the State shall begin using the ERP System in a Production environment. Once the State has used the ERP System in a Production environment for a sufficient time to test all functions of the ERP System in an integrated environment ("Production Testing"), which period of time for Production Testing shall be no more than forty-five (45) consecutive Days after the Go Live date and has determined that: (1) there have been no material errors, (2) the ERP System performs in accordance with the Specifications, and (3) all training services required hereunder, and Work to be Performed have been completed, then the State shall notify the Contractor in writing of its "Final Acceptance" of the ERP System. In no event shall any other action or inaction by the State, including the State's use of the ERP System, or any portion thereof, in a live, operational environment, constitute Final Acceptance of any portion of the ERP System. Notwithstanding anything to the contrary contained herein, in no event shall Final Acceptance be deemed a waiver of any right or remedy available to the State under this Agreement, at law, or in equity, as a result of any defect in a Software Component or Deliverable not discovered by the State during the Pre-Production Testing or Production Testing periods.
- F. If the State's Project Managers request further change, the Contractor shall meet with the State's Project Managers, within three (3) business days of such request, to discuss changes for the final submission of the Work. The Contractor shall provide the Work within three (3) business days after this meeting, at which time the Work will be accepted or the question of its acceptability referred to the Administrative Director of the AOC and a principal of the Contractor, as set forth in the paragraph below.
- G. If agreement cannot be reached between the State's Project Managers and the Contractor on the Work's acceptability, a principal of the Contractor and the Administrative Director of the AOC, or his designee, shall meet to discuss



the problem. If agreement cannot be reached, in the reasonable judgment of the Administrative Director of the AOC, or his designee, and/or the Contractor fails to cure such deficiencies that are perceived in the Work to the reasonable satisfaction of the Administrative Director, or his designee, in the reasonable time established by the Administrative Director, the State may reject the Work and will notify the Contractor in writing of such action and the reason(s) for so doing. Upon rejection of the Work, the State may terminate this Agreement, or follow the Dispute Resolution process as detailed in item 31 of this agreement.

#### 6. Suspend Work

- A. The State may, at any time, deliver a Suspend Work Order requiring the Contractor to suspend Work in accordance with the Order, for the period set forth in the Order that the State determines appropriate for the convenience of the State, and/or for any further period to which the parties may agree. The State will not suspend Work pursuant to this provision for an initial period longer than one (1) week without entering into an Amendment to this Agreement with the Contractor.
- B. Upon receipt of the Suspend Work Order, the Contractor shall immediately comply with its terms and take all commercially reasonable steps to minimize the incurrence of costs allocable to the Work covered by the Suspend Work Order during the period of Work suspension. Within a period specified in the Suspend Work Order, or within any extension of that period, the State shall either:
  - 1. Cancel the Suspend Work Order; or
  - 2. Terminate the Work covered by the Suspend Work Order as provided for in the termination provisions of this Agreement.
- C. If a Suspend Work Order issued under this provision is canceled or the period of the Suspend Work Order or any extension thereof expires, the Contractor shall resume Work.
- D. The State shall not be liable to the Contractor for loss of profits or indirect or consequential damages because of the Suspend Work Order issued under this provision.

#### 7. State's Obligation Subject to Availability of Funds

- A. The State's obligation under this Agreement is subject to the availability of authorized funds. The State may terminate the Agreement or any part of the Contract Work, without prejudice to any right or remedy of the State, for lack of appropriation of funds. If expected or actual funding is withdrawn, reduced or limited in any way prior to the expiration date set forth in this Agreement, or in any Amendment hereto, the State may, upon written Notice to the Contractor, terminate this Agreement in whole or in part. Such termination shall be in addition to the State's rights to terminate for convenience or default.
- B. Payment shall not exceed the amount allowable for appropriation by Legislature. If the Agreement is terminated for non-appropriation:



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1. The State will be liable only for payment in accordance with the terms of this Agreement for services rendered prior to the effective date of termination; and
  2. The Contractor shall be released from any obligation to provide further services pursuant to the Agreement as are affected by the termination.
- C. Funding for this Agreement beyond the current appropriation year is conditional upon appropriation by the Legislature of sufficient funds to support the activities described in this Agreement. Should such an appropriation not be approved, the Agreement will terminate at the close of the current appropriation year. The appropriation year ends on June 30 of each year.
8. Subcontracting
- The Contractor shall not subcontract this Agreement or services provided under this Agreement, unless the State agrees to the subcontracting in writing. Any authorized subcontract(s) shall be executed in the same manner as this Agreement. No party to this Agreement shall in any way contract on behalf of or in the name of another party to this Agreement.
9. Contractor's Personnel--Replacement
- A. The State has the right to review resumes and interview the Contractor's proposed personnel provided to the State under this Agreement prior to commencement of the Work. If, in the State's reasonable opinion, any of the proposed personnel is unsatisfactory or does not meet the State's requirements, the Contractor shall submit a different candidate for consideration.
  - B. The Contractor will provide the staffing requirements to perform the Work of this Agreement.
  - C. The State reserves the right to disapprove the continuing assignment of the Contractor's personnel, including Key Personnel, provided to the State under this Agreement if in the State's opinion, the performance of the Contractor's personnel is unsatisfactory. If the State exercises this right and approves a replacement candidate, the Contractor shall immediately within a commercially reasonable time assign the replacement personnel, possessing equivalent or greater experience and skills.
  - D. The Contractor's Project Team members will have the ability and authority to make decisions commensurate with his or her role and level of responsibility regarding the Work of this Contract.
  - E. The Contractor shall retain the Key Personnel on its Project Team during the performance of the Work of this Agreement.
  - F. The Contractor shall endeavor to retain the same individuals on its Project Team during the performance of the Work of this Agreement. However, the Contractor may, with approval of the State's Project Managers, introduce Project Team personnel with specific skill sets or release Project Team personnel, except for the Contractor's Project Manager, from the Project whose skill set is not needed at the time. If any of the Contractor's personnel



become unavailable during the term of this Agreement, the Contractor will supply a substitute acceptable to the State.

- G. If any of the Contractor's Key Personnel become unavailable and the Contractor cannot furnish a substitute acceptable to the State, the State may terminate this Agreement.

#### 10. Confidentiality

Both the State and the Contractor acknowledge and agree that in the course of performing services under this Agreement, each may disclose to the other Confidential Information. Each party agrees not to disclose or misuse the Confidential Information of the other to any Third Party and to treat it with the same degree of care as it would its own confidential information. It is understood, however, that the Contractor may disclose the State's Confidential Information on a "need to know" basis to employees and Subcontractors of the Contractor performing services for the State, which shall have executed a confidentiality agreement with the Contractor requiring a promise of confidentiality concerning the Contractor's clients and business. All Confidential Information shall remain the exclusive property of the party disclosing such information. Each party agrees not to use the other party's Confidential Information for any purpose except as contemplated pursuant to this Agreement. Notwithstanding the foregoing, a party may disclose the other party's Confidential Information (i) to the extent necessary to comply with any law, rule, regulation or ruling applicable to it; (ii) as appropriate to respond to any summons or subpoena applicable to it; or (iii) to the extent necessary to enforce its rights under this Agreement, however, the Contractor must immediately notify the State upon such disclosure.

#### 11. Accounting System Requirement

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

#### 12. Retention of Records

The Contractor shall maintain all financial Data, supporting documents, and all other records relating to performance and billing under this Agreement for a period in accordance with state and federal law, a minimum retention period being no less than three (3) years. The retention period starts from the date of the submission of the final payment request. The Contractor is also obligated to protect Data adequately against fire or other damage.

#### 13. Audit

The Contractor shall permit the authorized representative of the State or its designee or both at any reasonable time to inspect or audit all Data relating to performance and billing to the State under this Agreement. The Contractor further agrees to maintain such Data for a period of three (3) years after final payment under this Agreement.

#### 14. Changes and Amendments

- A. Changes or Amendments to any component of the Contract Documents can only be made in writing.
- B. Requests for Changes or Amendments should be submitted in writing on a completed Change Order Form and must be accompanied by a narrative



description of the proposed Change or Amendment, the reasons for the Change or Amendment and the time and/or financial impact of the Change or Amendment to the Project or any component of the Project.

- C. The Project Managers receiving the Change Order Form shall provide a written response to the requesting Project Managers in accordance with the Change Order Form instructions.
- D. In the event a requested Change requires an Amendment, and in the case of all Amendments, the Amendment shall be authorized via bilateral execution of a State Standard Agreement.
- E. Additional funds may not be encumbered under the Agreement due to an act of Force Majeure, although the performance period of the Agreement may be amended due to an act of Force Majeure.

#### 15. Permits and Licenses

The Contractor shall observe and comply with all federal, state, city, and county laws, rules, and regulations affecting services under this Agreement. With the exception of the license related to the Licensed Software, which is the State's responsibility, the Contractor shall procure and keep in full force and effect during the term of this Agreement all permits and licenses necessary to accomplish the Work contemplated in this Agreement.

#### 16. Warranty

- A. The Contractor warrants and represents that each of its employees, Subcontractors and/or agents assigned to perform any services or provide any technical assistance in planning, development, training, consulting or related services under the terms of this Agreement shall have the skills, training, and background reasonably commensurate with his or her level of responsibility, so as to be able to perform in a competent and professional manner, in accordance with generally accepted industry standards.
- B. For a period of ninety (90) Days after Final Acceptance of the Work and for a period of thirteen (13) months after Final Acceptance or one (1) year after first-time Production, whichever occurs first, for non-monthly, non-repetitive transactions (i.e. fiscal year end close, 1099 production), the Contractor warrants that:
  - 1. The Work provided hereunder will conform to the requirements of this Agreement;
  - 2. The Work will be suitable for its intended purposes, free from material defects in Materials and workmanship, and free from defects in design; and
  - 3. The configured Modules will function in accordance with the requirements of this Contract, including the Specifications accepted by the State.
- C. The Contractor represents and warrants that all Contractor-provided ERP System Configurations, Conversions, and Interfaces (i) shall function properly and in accordance with the Specifications, as a fully integrated system, and (ii) when operated together, shall not cause any material delays,





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- defects, or problems with the ERP System, subject to any capacity constraints of State's communications network environment.
- D. In addition, the Contractor warrants that the Enhancements to the ERP System, performed by the Contractor hereunder, will not detract from or otherwise interfere with the full functionality of the ERP System as described in the Specifications.
  - E. In the event the Contractor fails to perform according to any warranty hereunder, the State shall provide prompt Notice of such nonconformance. The Contractor shall immediately within a commercially reasonable period correct any deficiencies or repair or replace any errors and/or malfunctions, at no additional charge to the State, so long as the deficiencies, errors or malfunctions were not caused by any act of the State or a Third Party.

17. Trade Secret, Patent and Copyright Indemnification

- A. The Contractor shall hold the State, its officers, agents, and employees, harmless from liability of any nature or kind, including costs, expenses and attorney fees, for infringement or use of any copyrighted or un-copyrighted composition, secret process, patented or un-patented invention, article, trademark, trade secret, patent, or appliance furnished or used in connection with the Agreement.
- B. The Contractor, at its own expense, shall defend any action brought against the State to the extent that such action is based upon a claim that the Data or Materials supplied by the Contractor or the operation of such Data or Materials pursuant to a current version of Contractor-supplied operating software or the Contractor's use of any copyrighted or un-copyrighted composition, secret process, patented or un-patented invention, article, trademark, trade secret, patent, or appliance furnished or used in connection with the Work of this Agreement, infringes a United States patent or copyright or violates a trade secret. The Contractor shall pay those costs, damages and/or attorney fees finally awarded against the State in any such action. Such defense and payment shall be conditioned on the following:
  - 1. That the Contractor shall be notified within a reasonable time in writing by the State of any Notice of such claim; and,
  - 2. That the Contractor shall have the sole control of the defense of any action on such claim and all negotiations for its settlement or compromise, provided, however, that when principles of government or public law are involved, the State shall have the option to participate in such action at its own expense.
- C. Should the Data, Materials, or the operation thereof, or the use of any copyrighted or un-copyrighted composition, secret process, patented or un-patented invention, article, trademark, trade secret, patent, or appliance furnished or used in connection with the Work of the Agreement, become, or in the Contractor's opinion are likely to become, the subject of a claim of infringement of a United States patent, copyright or trade secret, the State shall permit the Contractor at its option and expense either to procure for the State the right to continue using the Data or Materials, or the use of any copyrighted or un-copyrighted composition, secret process, patented or un-patented invention, article, trademark, trade secret, patent, or appliance furnished or used in connection with the Work of this Agreement, or to replace or modify the same so that they become non-infringing. If none of



these options can be taken reasonably, or if the use of such Data, Materials or composition, secret process, patented or un-patented invention, article, trademark, trade secret, patent, or appliance, by the State shall be prevented by injunction, the Contractor agrees to take back such Data, Materials or other item, and make every reasonable effort to assist the State in procuring substitute Data, Materials or items. If, in the sole option of the State, the return of such infringing Data, Materials or other items makes the retention of other Data, Materials or other items acquired from the Contractor under this Agreement impractical, the State shall then have the option of terminating such contracts, or applicable portions thereof, without penalty or termination charge. The Contractor agrees to take back such Data, Materials or other items and refund any sums that the State has paid the Contractor less any reasonable amount for use or damage.

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

#### 18. Contractor Supplied Items

Except as otherwise explicitly stated in this Agreement, the Contractor will furnish all labor, Materials, products, tools, and transportation, required to complete the Work.

#### 19. Insurance Requirements

- A. The Contractor shall maintain in full force during the full term of the Agreement, insurance in the following amounts and coverages:
1. General Liability: covering Commercial General Liability; \$1,000,000.00 combined single limit per occurrence for bodily injury, personal injury and property damage, and for those policies with aggregate limits, a \$2,000,000.00 aggregate limit.
  2. Workers' Compensation and Employer's Liability: Statutory requirements of the state of residency.





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3. Automobile Liability: covering Business Auto Coverage, symbol 1 “any auto”, or the combination of symbols 2, 8, and 9; \$1,000,000.00 combined single limit per accident for bodily injury and property damage.
  4. Professional Liability: Errors and Omissions; \$1,000,000.00.
- B. The Contractor's Comprehensive General Liability and Comprehensive Automobile Liability Insurance policies shall be endorsed to provide the following:
1. The State of California and its officers, agents, the State's Trial Courts, and employees shall be endorsed as additional insured.
  2. The policies shall be primary insurance to any other insurance available to the additional insureds with respect to any claims arising out of this Agreement, and the insurance shall apply separately to each insured against whom a claim is made or a suit is brought.
- C. All of the Contractor's policies shall be endorsed to provide advance written Notice to the State of cancellation, nonrenewal, and reduction in coverage, within ten (10) Days, mailed to the following address: Judicial Council, Administrative Office of the Courts, Contracting Officer, 455 Golden Gate Avenue, 5th Floor, San Francisco, CA 94104.
- D. The Contractor shall include any Subcontractors as insureds under its policies, or shall furnish separate certificates of insurance and policy endorsements for each Subcontractor. Insurance coverages provided by Subcontractors as evidence of compliance with the insurance requirements of this Contract shall be subject to all of the requirements stated herein.
- E. Upon request, the Contractor shall provide the State certificates of insurance satisfactory to the State evidencing all required coverages before Contractor begins any Work under this Agreement.
- F. Approval of the insurance by the State shall not relieve or decrease the Contractor's liability under this Agreement.
- G. By requiring such minimum insurance, the State shall not be deemed or construed to have assessed the risks that may be applicable to the Contractor under this Agreement. The Contractor shall assess its own risks and if it deems appropriate and/or prudent, maintain greater limits and/or broader coverage.
20. Limitation of Liability
- A. The State shall not be responsible for loss of or damage to any non-State equipment arising from causes beyond the State's control.
  - B. EXCEPTING THE INDEMNIFICATION OBLIGATIONS SET FORTH IN THIS AGREEMENT, THE PARTIES SHALL NOT BE LIABLE FOR INDIRECT, CONSEQUENTIAL, EXEMPLARY, OR SPECIAL DAMAGES UNDER THIS AGREEMENT, WITHOUT REGARD TO WHETHER SUCH PARTY HAS BEEN ADVISED OF THE POSSIBILITY OF SUCH DAMAGES AND WHETHER OR NOT SUCH DAMAGES WERE FORESEEABLE.



- C. EXCEPTING THE INDEMNIFICATION OBLIGATIONS SET FORTH IN THIS AGREEMENT, THE CONTRACTOR'S LIABILITY UNDER THIS AGREEMENT FOR ANY CAUSE WHATSOEVER, AND REGARDLESS OF THE FORM OF ACTION, SHALL BE LIMITED TO THE FOLLOWING:
1. ONE HALF (1/2) TIMES THE CONTRACT AMOUNT FROM THE EFFECTIVE DATE OF THIS AGREEMENT FOR THE FIRST NINETY (90) DAYS FOLLOWING; AND ACCEPTANCE
  2. ONE (1) TIMES THE CONTRACT AMOUNT DURING THE PERIOD NINETY-ONE (91) DAYS FROM THE EFFECTIVE DATE OF THIS AGREEMENT TO THE END OF THE FIRST YEAR OF THE AGREEMENT; AND
  3. ONE AND ONE HALF (1 ½) TIMES THE CONTRACT AMOUNT THEREAFTER.
- D. THE STATE'S LIABILITY UNDER THIS AGREEMENT FOR ANY CAUSE WHATSOEVER, AND REGARDLESS OF THE FORM OF ACTION, SHALL BE LIMITED TO THE CONTRACT AMOUNT ACTUALLY PAID TO THE CONTRACTOR.

21. Conflict of Interest

- A. The Contractor and employees of the Contractor shall not participate in proceedings that involve the use of State funds or that are sponsored by the State if the person's partner, family, or organization has a financial interest in the outcome of the proceedings. The Contractor and employees of the Contractor shall also avoid actions resulting in or creating the appearance of (1) use of an official position with the government for private gain; (2) preferential treatment to any particular person associated with this Agreement or the Work of this Agreement; (3) loss of independence or impartiality; (4) a decision made outside official channels; or (5) adverse effects on the confidence of the public in the integrity of the government or this Agreement.
- B. The Contractor certifies and shall require any Subcontractor to certify to the following:

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

22. Limitation on Publication

The Contractor shall not publish or submit for publication any article, press release, or other writing relating to the Contractor's services for the State without prior review and written permission by the State. The State review shall be completed within thirty (30) Days of submission to the State's Project Managers and, if permission is denied, the State shall provide its reasons for denial in writing.



23. Rights in Data and Deliverables

- A. All Data, Work, Deliverables and end results, including any Modifications, Extensions, Interfaces, Conversions, and Enhancements, under this Agreement shall be delivered to and become the property of the State and may be used, distributed and copyrighted by the State as it deems fit.
- B. Upon the State's written request, the Contractor shall provide the State with all communications, records, Data, papers, reports, charts, written recommendations, training materials and manuals, and other documentation related to the Work, Deliverables or end results within thirty (30) Days.
- C. The State hereby grants and agrees to grant to the Contractor a royalty-free, non-exclusive, non-transferable, perpetual license (without rights to sublicense) to use, reproduce and prepare derivative works of the Work, Deliverables and end results, including any Modifications, Extensions, Interfaces, Conversions, and Enhancements, for the Contractor's internal business purposes. Except as expressly set forth herein, the State does not grant to the Contractor any intellectual property rights in the Data, Work, Deliverables and end results, including any Modifications, Extensions, Interfaces, Conversions, and Enhancements.
- D. The Contractor agrees not to assert any rights at common law or in equity, or establish any claim to statutory copyrights against the State, the Courts or any constituents of either.
- E. This Agreement shall not preclude the Contractor from developing Data or Materials outside this Agreement that are competitive, irrespective of any similarity to Data or Materials or Deliverables which might be submitted to the State pursuant to this Agreement.

24. Protection of Proprietary Materials

- A. The State agrees that all Materials that belong to the Contractor and appropriately marked or identified in writing as Confidential Information of the Contractor, and furnished to the State hereunder as exemplars or samples, are provided for the State's exclusive use for the purposes of this Agreement only. All such Confidential Information shall remain the property of the Contractor. However, in accordance with the Work of this Agreement, the State, the Contractor or both of them may use and adapt such exemplars to the State's specific purposes and requirements hereunder and such Work, Deliverables and end results, including any Modifications, Extensions, Interfaces, Conversions, and Enhancements shall no longer be the Confidential Information of the Contractor.
- B. The ideas, concepts, know-how, or techniques relating to Data processing, Work, Deliverables and end results, including any Modifications, Extensions, and Interfaces, Conversions, and Enhancements developed during the course of this Agreement by the Contractor or jointly by the Contractor and the State can be used by either party in any way it may deem appropriate.

25. Preparation and Distribution of Recordings

The Contractor shall permit the State, at its option, to make audio or video recordings, or both, of the Contractor's Training, Workshops or other presentations and to distribute the



recordings for educational purposes and not for profit. Any copyright shall be held by the State. The Contractor shall receive no additional compensation or royalties from the distribution or use of these recordings.

26. National Labor Relations Board

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

27. Drug-Free Workplace

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

28. Nondiscrimination Clause

- A. During the performance of this Agreement, the Contractor and its Subcontractors shall not unlawfully discriminate against any employee or applicant for employment because of race, religion, color, national origin, ancestry, physical or mental disability, medical condition, marital status, age (over 40), sex, or sexual orientation. The Contractor shall ensure that the evaluation and treatment of employees and applicants for employment are free of such discrimination.
- B. The Contractor shall comply with the provisions of the Fair Employment and Housing Act, California Government Code section 12990 et seq., and the applicable regulations promulgated under California Code of Regulations, title 2, section 7285 et seq. The applicable regulations of the Fair Employment and Housing Commission implementing California Government Code section 12990, set forth in chapter 5 of division 4 of title 2 of the California Code of Regulations, are incorporated into this Agreement by reference and made a part of it as if set forth in full.
- C. The Contractor and any of its Subcontractors shall give written Notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other agreement.
- D. The Contractor shall include the nondiscrimination and compliance provisions of this clause in any and all subcontracts issued to perform Work under the Agreement.

29. Americans with Disabilities Act

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

30. California Law

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



### 31. Dispute Resolution

The parties shall make a good faith effort to resolve informally any dispute relating to or arising from this Agreement. The parties agree that all disputes arising out of or relating to this Agreement shall be first submitted to non-binding mediation. If said non-binding mediation is unsuccessful, the parties agree to submit all disputes to binding arbitration to be held in accordance with the Commercial Rules of Arbitration of the American Arbitration Association, as such rules shall be in effect on the date of delivery of demand for arbitration. Such arbitration shall be held in San Francisco, California. The arbitration of such issues, the determination of the amount of any damages of either party, or the decision of the arbitrator, or a majority of the arbitrators, shall be final and binding on both parties. All fees associated with the arbitration shall be borne equally by the parties, and each party shall bear its own attorney fees and costs.

### 32. Severability

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

### 33. Waiver

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

### 34. Signature Authority

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

### 35. Agreement Effectiveness

This Agreement is of no force and effect until signed by both parties and all approvals are secured. Any commencement of performance prior to Agreement approval shall be done so at the Contractor's own risk; authorization to proceed shall not be effective until this Agreement is fully executed.

### 36. Survival

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



37. Entire Agreement

This Agreement, consisting of all documents as defined herein, constitutes the entire agreement between the parties with respect to the subject matter hereof and shall supersede all previous proposals, both oral and written, negotiations, representations, commitments, writing and all other communications between the parties. No waiver, alteration, modification of, or addition to the terms and conditions contained herein shall be binding unless expressly agreed in writing by a duly authorized officer of the State.



**ATTACHMENT B  
IMPLEMENTATION REFERENCES**



## IMPLEMENTATION FIRM REFERENCES FROM "LIVE" SITES

Using the forms below, please provide at least five (5) references for that most closely reflect similar consulting projects to the AOC's scope of work, which have been completed within the past three (3) years. These references should be sites at which the SAP Public Sector software (ver. 4.62) has been **FULLY IMPLEMENTED** and is "Live" for the modules listed below. Please use the following format in submitting references.

**Please note:** The contact person should be an employee of the reference, not the software vendor or implementation firm. All references will be contacted.

### GENERAL BACKGROUND

Name of Government or Agency: \_\_\_\_\_ Phone: \_\_\_\_\_

Address: \_\_\_\_\_

Government Project Manager: \_\_\_\_\_ / Title: \_\_\_\_\_

Service Dates: \_\_\_\_\_ Software Program/Version: \_\_\_\_\_

Summary of Project: \_\_\_\_\_

Number of Users by Type: \_\_\_\_\_

Operating Budget: \_\_\_\_\_ Number of Employees: \_\_\_\_\_

### PROJECT SCOPE

Please indicate (by checking box) functionality installed for this reference:

#### Functionality

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> (1) Funds Management | <input type="checkbox"/> (5) CO - PS             | <input type="checkbox"/> (9) Payroll      |
| <input type="checkbox"/> (2) FI: AR           | <input type="checkbox"/> (6) Asset Management    | <input type="checkbox"/> (8) SAP Upgrades |
| <input type="checkbox"/> (3) FI: AP           | <input type="checkbox"/> (7) Treasury Management | <input type="checkbox"/> (10) Other       |
| <input type="checkbox"/> (4) MM               | <input type="checkbox"/> (8) HR                  | (Specify Below)                           |

Describe Other: \_\_\_\_\_

#### Interfaces

- |                                   |                              |                                    |
|-----------------------------------|------------------------------|------------------------------------|
| <input type="checkbox"/> Hyperion | <input type="checkbox"/> ADP | <input type="checkbox"/> Jury Plus |
| <input type="checkbox"/> eJuror   |                              |                                    |

### PROJECT COST

Implementation Services \$ \_\_\_\_\_ Upgrade Cost \$ \_\_\_\_\_

Implementation Rate/Hour \$ \_\_\_\_\_ Implementation Rate/Hour \$ \_\_\_\_\_

### PROJECT INFORMATION

Vendor Project Manager: \_\_\_\_\_

No. of Consultants Assigned to Project: \_\_\_\_\_ Length of Project: \_\_\_\_\_





## REFERENCE 2

### GENERAL BACKGROUND

Name of Government or Agency: \_\_\_\_\_ Phone: \_\_\_\_\_

Address: \_\_\_\_\_

Government Project Manager: \_\_\_\_\_ / Title: \_\_\_\_\_

Service Dates: \_\_\_\_\_ Software Program/Version: \_\_\_\_\_

Summary of Project: \_\_\_\_\_

Number of Users by Type: \_\_\_\_\_

Operating Budget: \_\_\_\_\_ Number of Employees: \_\_\_\_\_

### PROJECT SCOPE

Please indicate (by checking box) functionality installed for this reference:

#### Functionality

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> (1) Funds Management | <input type="checkbox"/> (5) CO - PS             | <input type="checkbox"/> (9) Payroll      |
| <input type="checkbox"/> (2) FI: AR           | <input type="checkbox"/> (6) Asset Management    | <input type="checkbox"/> (8) SAP Upgrades |
| <input type="checkbox"/> (3) FI: AP           | <input type="checkbox"/> (7) Treasury Management | <input type="checkbox"/> (10) Other       |
| <input type="checkbox"/> (4) MM               | <input type="checkbox"/> (8) HR                  | (Specify Below)                           |

Describe Other: \_\_\_\_\_

#### Interfaces

- |                                   |                              |                                    |
|-----------------------------------|------------------------------|------------------------------------|
| <input type="checkbox"/> Hyperion | <input type="checkbox"/> ADP | <input type="checkbox"/> Jury Plus |
| <input type="checkbox"/> eJuror   |                              |                                    |

### PROJECT COST

Implementation Services \$ \_\_\_\_\_ Upgrade Cost \$ \_\_\_\_\_

Implementation Rate/Hour \$ \_\_\_\_\_ Implementation Rate/Hour \$ \_\_\_\_\_

### PROJECT INFORMATION

Vendor Project Manager: \_\_\_\_\_

No. of Consultants Assigned to Project: \_\_\_\_\_ Length of Project: \_\_\_\_\_



### REFERENCE 3

#### GENERAL BACKGROUND

Name of Government or Agency: \_\_\_\_\_ Phone: \_\_\_\_\_

Address: \_\_\_\_\_

Government Project Manager: \_\_\_\_\_ / Title: \_\_\_\_\_

Service Dates: \_\_\_\_\_ Software Program/Version: \_\_\_\_\_

Summary of Project: \_\_\_\_\_

Number of Users by Type: \_\_\_\_\_

Operating Budget: \_\_\_\_\_ Number of Employees: \_\_\_\_\_

#### PROJECT SCOPE

Please indicate (by checking box) functionality installed for this reference:

**Functionality**

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> (1) Funds Management | <input type="checkbox"/> (5) CO - PS             | <input type="checkbox"/> (9) Payroll      |
| <input type="checkbox"/> (2) FI: AR           | <input type="checkbox"/> (6) Asset Management    | <input type="checkbox"/> (8) SAP Upgrades |
| <input type="checkbox"/> (3) FI: AP           | <input type="checkbox"/> (7) Treasury Management | <input type="checkbox"/> (10) Other       |
| <input type="checkbox"/> (4) MM               | <input type="checkbox"/> (8) HR                  | (Specify Below)                           |

Describe Other: \_\_\_\_\_

**Interfaces**

- |                                   |                              |                                    |
|-----------------------------------|------------------------------|------------------------------------|
| <input type="checkbox"/> Hyperion | <input type="checkbox"/> ADP | <input type="checkbox"/> Jury Plus |
| <input type="checkbox"/> eJuror   |                              |                                    |

#### PROJECT COST

Implementation Services \$ \_\_\_\_\_ Upgrade Cost \$ \_\_\_\_\_

Implementation Rate/Hour \$ \_\_\_\_\_ Implementation Rate/Hour \$ \_\_\_\_\_

#### PROJECT INFORMATION

Vendor Project Manager: \_\_\_\_\_

No. of Consultants Assigned to Project: \_\_\_\_\_ Length of Project: \_\_\_\_\_



## REFERENCE 4

### GENERAL BACKGROUND

Name of Government or Agency: \_\_\_\_\_ Phone: \_\_\_\_\_

Address: \_\_\_\_\_

Government Project Manager: \_\_\_\_\_ / Title: \_\_\_\_\_

Service Dates: \_\_\_\_\_ Software Program/Version: \_\_\_\_\_

Summary of Project: \_\_\_\_\_

Number of Users by Type: \_\_\_\_\_

Operating Budget: \_\_\_\_\_ Number of Employees: \_\_\_\_\_

### PROJECT SCOPE

Please indicate (by checking box) functionality installed for this reference:

#### Functionality

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> (1) Funds Management | <input type="checkbox"/> (5) CO - PS             | <input type="checkbox"/> (9) Payroll      |
| <input type="checkbox"/> (2) FI: AR           | <input type="checkbox"/> (6) Asset Management    | <input type="checkbox"/> (8) SAP Upgrades |
| <input type="checkbox"/> (3) FI: AP           | <input type="checkbox"/> (7) Treasury Management | <input type="checkbox"/> (10) Other       |
| <input type="checkbox"/> (4) MM               | <input type="checkbox"/> (8) HR                  | (Specify Below)                           |

Describe Other: \_\_\_\_\_

#### Interfaces

- |                                   |                              |                                    |
|-----------------------------------|------------------------------|------------------------------------|
| <input type="checkbox"/> Hyperion | <input type="checkbox"/> ADP | <input type="checkbox"/> Jury Plus |
| <input type="checkbox"/> eJuror   |                              |                                    |

### PROJECT COST

Implementation Services \$ \_\_\_\_\_ Upgrade Cost \$ \_\_\_\_\_

Implementation Rate/Hour \$ \_\_\_\_\_ Implementation Rate/Hour \$ \_\_\_\_\_

### PROJECT INFORMATION

Vendor Project Manager: \_\_\_\_\_

No. of Consultants Assigned to Project: \_\_\_\_\_ Length of Project: \_\_\_\_\_



### REFERENCE 5

#### GENERAL BACKGROUND

Name of Government or Agency: \_\_\_\_\_ Phone: \_\_\_\_\_

Address: \_\_\_\_\_

Government Project Manager: \_\_\_\_\_ / Title: \_\_\_\_\_

Service Dates: \_\_\_\_\_ Software Program/Version: \_\_\_\_\_

Summary of Project: \_\_\_\_\_

Number of Users by Type: \_\_\_\_\_

Operating Budget: \_\_\_\_\_ Number of Employees: \_\_\_\_\_

#### PROJECT SCOPE

Please indicate (by checking box) functionality installed for this reference:

**Functionality**

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> (1) Funds Management | <input type="checkbox"/> (5) CO - PS             | <input type="checkbox"/> (9) Payroll      |
| <input type="checkbox"/> (2) FI: AR           | <input type="checkbox"/> (6) Asset Management    | <input type="checkbox"/> (8) SAP Upgrades |
| <input type="checkbox"/> (3) FI: AP           | <input type="checkbox"/> (7) Treasury Management | <input type="checkbox"/> (10) Other       |
| <input type="checkbox"/> (4) MM               | <input type="checkbox"/> (8) HR                  | (Specify Below)                           |

Describe Other: \_\_\_\_\_

**Interfaces**

- |                                   |                              |                                    |
|-----------------------------------|------------------------------|------------------------------------|
| <input type="checkbox"/> Hyperion | <input type="checkbox"/> ADP | <input type="checkbox"/> Jury Plus |
| <input type="checkbox"/> eJuror   |                              |                                    |

#### PROJECT COST

Implementation Services \$ \_\_\_\_\_ Upgrade Cost \$ \_\_\_\_\_

Implementation Rate/Hour \$ \_\_\_\_\_ Implementation Rate/Hour \$ \_\_\_\_\_

#### PROJECT INFORMATION

Vendor Project Manager: \_\_\_\_\_

No. of Consultants Assigned to Project: \_\_\_\_\_ Length of Project: \_\_\_\_\_



**ATTACHMENT C  
IMPLEMENTATION COSTS SUBMISSION**

## Attachment C

**Administrative Office of the Courts - State of California  
Court Accounting and Reporting System (CARS)  
Cost Estimation Spreadsheet**

### INSTRUCTIONS

All bidders are required to submit an estimated cost schedule using this spreadsheet. The instructions for calculating each schedule can be found in Section 2.24.8 of the RFP. The Tasks listed below describe the projects that will be negotiated as part of this RFP process. Please refer to Section 2 regarding the submittal requirements.

Task	Description
Base Configuration	These tasks include all professional services related to installing the pre-configured SAP system at each Trial Court and any additional AOC Accounting Processing Centers.
Installation of Fixed Asset Module	These tasks include all professional services related to designing, configuring, and testing the pre-configured SAP fixed assets module that will be installed at each Trial Court and the AOC Accounting Processing Centers.
Installation of Treasury Module	These tasks include all professional services related to designing, configuring, and testing the pre-configured SAP treasury management module that will be installed at each Trial Court and the AOC Accounting Processing Centers.
Migration to AOC's Technology Center	The cost estimates provided for this task address activities required to assisting the AOC in migrating the current SAP environment from AOC facilities to the hosted environment.
SAP Upgrade	This task includes all professional and technical services related to upgrading MySAP 4.6c to the Enterprise Edition.
Retrofit	Costs for this activity should address all tasks related to installing any configuration changes, module/functionality additions, or software upgrades to any prior installations of the pre-configured SAP template at the Trial Courts or the Accounting Processing Centers.

## Schedule C-1

Administrative Office of the Courts - State of California  
 Court Accounting and Reporting System (CARS)  
 Multi-Year Rate Schedule

	Fixed		Estimated			
	FY03	FY04	FY05	FY06	FY07	FY08
Prime Contractor Professional Services Rate						
Sub Contractor Professional Services Rate						
SAP Professional Services Rate						
<b>Fully Burdened Rate Calculation</b>						
(Weighted) Average Blended Rate Per Fiscal Year* (A)						
Add: Travel Loading Rate Per Year (B)						
<b>Total "Fully Burdened" Rate Per Year (A+B)</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

\*Fiscal Year is defined as the first calendar year designated in the fiscal year, i.e., FY03 = July 1, 2003 - June 30, 2004

## Schedule C-2

**Administrative Office of the Courts - State of California  
Court Accounting and Reporting System (CARS)  
Estimated Hours by Major Task**

Task	Fixed		Estimated			
	FY03	FY04	FY05	FY06	FY07	FY08
<b>Base Configuration</b>						
Professional Services						
Subtotal	0	0	0	0	0	0
<b>Installation of Fixed Assets Module</b>						
Professional Services						
Training						
Subtotal	0	0	0	0	0	0
<b>Installation of Treasury Management Module</b>						
Professional Services						
Training						
Subtotal	0	0	0	0	0	0
<b>Migration of SAP to Hosted Environment</b>						
Professional Services						
Subtotal	0	0	0	0	0	0
<b>SAP Upgrade</b>						
Professional Services						
Subtotal	0	0	0	0	0	0
<b>Retrofit of SAP Changes</b>						
Professional Services						
Subtotal	0	0	0	0	0	0
<b>Total Estimated Hours</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>



**Schedule C-3**

**Administrative Office of the Courts - State of California  
Court Accounting and Reporting System (CARS)  
Estimated Hours by Major Task**

Task	Fixed		Estimated				
	FY03	FY04	FY05	FY06	FY07	FY08	
<b>Base Configuration</b>							
Professional Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Subtotal	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>Installation of Fixed Assets Module</b>							
Professional Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Training	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Subtotal	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>Installation of Treasury Management Module</b>							
Professional Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Training	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Subtotal	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>Migration of SAP to Hosted Environment</b>							
Professional Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Subtotal	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>SAP Upgrade</b>							
Professional Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Subtotal	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>Retrofit of SAP Changes</b>							
Professional Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Subtotal	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>Total Estimated Hours</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	



**ATTACHMENT D  
EXISTING BUSINESS REQUIREMENTS**

**Court Accounting and Reporting System  
Functional Requirements: General Ledger**

F = Fully Provided "Out-of-the-Box"  
 NV = Provided in the Very Next Version  
 TP = Third Party Software Required  
 M = Modification

R = Provided with Reporting Tool  
 C = Custom Development Required  
 NA = Not Available

Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
GL1	<b>GENERAL REQUIREMENTS</b>					
GL2	Ability of financial applications to meet Generally Accepted Accounting Principles (GAAP). Financial internal controls comply with Governmental Accounting and Financial Reporting standards.	F				
GL3	Ability during processing to edit transactions to ensure that each entry to a fund is balanced and complete and also that each fund is maintained as a self-balancing entity.	F				
GL4	Ability to audit all on-line transactions.	F				
GL5	Ability to store scanned images on journal entries.	F				
GL6	<b>CHART OF ACCOUNTS DESIGN</b>					
GL7	Ability to accept both standard and recurring journal entries, both as to amount and account.	F				
GL8	Ability to designate each general ledger account by a user-definable "account type" as follows:					
GL9	Asset account	F				
GL10	Liability account	F				
GL11	Fund equity account	F				
GL12	Revenue account	F				
GL13	Expense or expenditure account	F				
GL14	Ability to share accounts across multiple years (i.e., project accounts).	F				
GL15	Ability of the system to allow for sorting of the chart of accounts.	F				
GL16	Ability to print information displayed on the screen.	F				
GL17	Ability to add accounts in an active or inactive status.	F				
GL18	Ability to group funds on a user-defined basis.	F				
GL19	Ability to use effective dating when adding or deleting accounts and to validate entries based upon the effective date.	F				
GL20	Ability to track chart-of-accounts organization structure changes from fiscal year to fiscal year.	F				
GL21	Ability to create account roll-ups.	F				

**Court Accounting and Reporting System  
Functional Requirements: General Ledger**

F = Fully Provided "Out-of-the-Box"  
 NV = Provided in the Very Next Version  
 TP = Third Party Software Required  
 M = Modification

R = Provided with Reporting Tool  
 C = Custom Development Required  
 NA = Not Available

Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
GL22	Ability to set up a set of transaction codes that can store pre-defined sets of debit and credit entries and post to available on-line tables for viewing.	F				
GL23	<b>JOURNAL ENTRY</b>					
GL24	Ability to provide for a search range of account numbers.	F				
GL25	Ability to allow the user to look up the chart of accounts on screen.	F				
GL26	Ability to designate the type of journal entry (i.e., reversal).	F				
GL27	Ability to enter automated reversal entries.	F				
GL28	Ability to save journal entries until final posting.	F				
GL29	Ability to enter journal transactions in batches.	F				
GL30	Ability to enter journal entries for multiple departments and funds under one journal header.	F				
GL31	Ability when entering a journal voucher to view the multiple entries within the journal transaction on any screen.	F				
GL32	Ability to restrict interfund postings based upon security.	F				
GL33	Ability to provide default data within journal fields (i.e., year, fund) by user id.	F				
GL34	Ability to support comments fields in journal entries.	F				
GL35	Ability to attach or reference backup documents.	F				
GL36	Ability to highlight errors on the screen for immediate correction.	F				
GL37	Ability to provide descriptive error messages.	F				
GL38	Ability to accommodate interfund transactions.	F				
GL39	Ability to input journal entries as a correction or adjustment to prior accounting periods.	F				
GL40	Ability to accommodate workflow.	F				
GL41	Ability to import entries from a variety of file formats.	M				
GL42	<b>CASH MANAGEMENT</b>					
GL43	Ability to record cash transactions.	F				
GL44	Ability to import account information from banking institutions.	F				

**Court Accounting and Reporting System  
Functional Requirements: General Ledger**

F = Fully Provided "Out-of-the-Box"  
 NV = Provided in the Very Next Version  
 TP = Third Party Software Required  
 M = Modification

R = Provided with Reporting Tool  
 C = Custom Development Required  
 NA = Not Available

Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
GL45	Ability to produce cash position reports.	F				
GL46	Ability to forecast cash positions.	F				
GL47	<b>CLOSINGS</b>					
GL48	Ability to perform period end closings.	F				
GL49	Ability to hold a period or fiscal year open indefinitely before closing.	F				
GL50	Ability to have more than one period open.	F				
GL51	Ability to close by fund group or by fund.	F				
GL52	Ability to initiate year-end processing at any point in time after the end of the fiscal year (i.e., doesn't have to occur on last day or on any particular day).	F				
GL53	Ability to make post-closing adjustments at any point during the closing period.	F				
GL54	Ability to support soft and hard closings by period, fund, and fiscal year.	F				
GL55	Ability to allow new year inputs to be entered before the old year's preliminary closing, with the transactions held in suspense until the new year is opened.	F				
GL56	Ability to handle open year-end encumbrances in the following ways:					
GL57	Encumbrances are not carried forward	F				
GL58	All encumbrances are carried forward	F				
GL59	Selected encumbrances are carried forward	F				
GL60	<b>QUERYING</b>					
GL61	Ability to drill-down from any field within the journal entry screen to any functional module within the system.	F				
GL62	Ability to validate field values within the journal entry screen.	F				
GL63	Ability to export queries to a variety of file formats.	F				
GL64	Ability to query journal entries by end-user.	F				
GL65	<b>REPORTING</b>					
GL66	Ability to support ad hoc reporting.	F				

**Court Accounting and Reporting System  
Functional Requirements: General Ledger**

F = Fully Provided "Out-of-the-Box"  
 NV = Provided in the Very Next Version  
 TP = Third Party Software Required  
 M = Modification

R = Provided with Reporting Tool  
 C = Custom Development Required  
 NA = Not Available

Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
GL67	Ability to summarize individual line-item accounts into meaningful groups of accounts for use in financial reporting based on user-defined criteria.	F				
GL68	Ability to support on-line inquiry to account balances, activity changes with backup detail, available funds, and to detail posted transactions.	F				
GL69	Ability to maintain a history of all G/L entries and to produce detailed transaction reports to provide an appropriate audit trail.	F				

**Court Accounting and Reporting System  
Functional Requirements: Budget**

F = Fully Provided "Out-of-the-Box"  
 NV = Provided in the Very Next Version  
 TP = Third Party Software Required  
 M = Modification

R = Provided with Reporting Tool  
 C = Custom Development Required  
 NA = Not Available

Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
BUD1	<b>BUDGET CONTROL DESIGN</b>					
BUD2	Ability to control budget by:					
BUD3	Fund	F				
BUD4	Sub-Fund	F				
BUD5	Object	F				
BUD6	Sub-Object	F				
BUD7	Organization	F				
BUD8	Program	F				
BUD9	Element	F				
BUD10	Component	F				
BUD11	Task	F				
BUD12	Function (program, task, activity)	F				
BUD13	Project	F				
BUD14	Ability to accommodate multi-year budget control.	F				
BUD15	Ability to accommodate pre-encumbrance control.	F				
BUD16	Ability to accommodate encumbrance control.	F				
BUD17	Ability to allow automatic override of entries that would take an account over budget based on user-defined specifications (i.e., payroll runs).	F				
BUD18	Ability to automatically carryover to General Ledger accounts created in the Budget module.	M				
BUD19	Ability to set up "uncontrolled" or tracked budgets (i.e., salary).	F				
BUD20	Ability to control appropriation based upon revenue received.	F			AOC has reclassified this requirement as a "nice-to-have" feature that may be implemented at a later date. Current proposals do not need to address this requirement.	
BUD21	Ability of the Budget module to be fully integrated with the General Ledger. For example, when new account numbers are entered in the General Ledger, they are available immediately in the budget preparation input screen.	M				

**Court Accounting and Reporting System  
Functional Requirements: Budget**

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Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
BUD22	Ability to load budgets from external files.	M				
BUD23	Ability to accommodate batch journal entries.	F				
BUD24	Ability to accommodate re-organizations with budget control being carried over with every organization change.	F				
BUD25	Ability to accommodate budget allotments/distributed costs.	F				
BUD26	Ability to integrate with other systems to accommodate budget elements (i.e., position control).	F				
BUD27	<b>BUDGET MAINTENANCE</b>					
BUD28	Ability to transfer budgets online.	F				
BUD29	Ability to adjust budgets within security requirements.	F				
BUD30	Ability to override budget control within security requirements.	F				
BUD31	Ability to stamp all budget adjustment activity by:					
BUD32	User	F				
BUD33	Date	F				
BUD34	Transaction Code	F				
BUD35	Ability to reallocate and aggregate budgets with proper security.	F				
BUD36	Ability to lock budgets.	F				
BUD37	Ability to accommodate comment fields and attachments.	F				
BUD38	<b>QUERYING</b>					
BUD39	Ability to drill-down from any field and attachments within the budget entry screen to any functional module within the system.	F				
BUD40	Ability to create ad hoc queries.	F				
BUD41	Ability to review multiple versions of budget online.	F				
BUD42	Ability to export queries to a variety of file formats.	F				



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BUD43	<b>REPORTING</b>					
BUD44	Ability to generate ad hoc reports.	F				
BUD45	Ability to generate a budget variance report.	F				
BUD46	Ability to develop a standard and save a set of reports and inquiries for end-users.	F				

**Court Accounting and Reporting System**  
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PUR1	<b>PURCHASING DESIGN</b>					
PUR2	Ability to support pre-encumbrance control.	F				
PUR3	Ability to support encumbrance control for budgeted funds.	F				
PUR4	Ability to copy information from one process to another without rekeying (i.e., requisition to purchase order).	F				
PUR5	Ability to drill down to supporting documents within the purchasing system.	F				
PUR6	Ability to support workflow.	F				
PUR7	Ability to have ticklers automatically generated/re-generated when follow up is necessary from key system events within all purchasing processes.	F				
PUR8	Ability to support two-way, three-way and four-way matching of documents.	F				
PUR9	Ability to use commodity code (NIGP)/stock numbers.	F				
PUR10	Ability to capture and maintain buyer number and display activity with dates.	F				
PUR11	Ability to provide access to the Internet for vendor communication.	F				
PUR12	Ability to support user-defined criteria for online automatic entry into inventory from purchasing.	F				
PUR13	Ability to maintain history of all purchasing processes including requisitions, bid/quotes, blanket purchases and receiver information.	F				
PUR14	<b>VENDOR FILES</b>					
PUR15	Ability to create master vendor files which interface with Accounts Payable.	F				
PUR16	Ability to support vendor file tracking by name, multiple addresses (bid, orders, and/or remit to), contact person(s) and phone numbers(s), minority / disadvantaged business information, last date vendor utilized.	F				
PUR17	Ability of system to support vendor 1099 tracking and to create 1099 vendor tape for tax purposes.	F				
PUR18	Ability to change 1099 status without losing prior history data.	F				
PUR19	Ability to identify type of vendor (i.e., sole proprietor, corporate, etc.).	F				
PUR20	Ability to maintain pricing information, quantity breaks, freight terms and shipping information for each vendor.	F				
PUR21	Ability to track vendor by performance / history, date added / deleted or inactivated and reason.	F				
PUR22	Ability to classify one-time vendors.	F				
PUR23	Ability to delete or deactivate vendor from vendor listing by date with reason. Historical data would be retained.	F				

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PUR24	Ability to rate vendor at each event point based on user-defined criteria.	F				
PUR25	Ability to have vendor numbers (numeric and alphanumeric) be system generated or assigned manually.	F				
PUR26	Ability to search vendor files from within purchasing processes (i.e., requisition and purchase order).	F				
PUR27	Ability to create vendor groupings for specific commodities, locations, etc.	F				
PUR28	Ability to maintain an accumulated purchase history for each vendor in system.	F				
PUR29	Ability to maintain an online audit trail for changes to the vendor master file.	F				
PUR30	<b>REQUISITION PROCESSING</b>					
PUR31	Ability to electronically process stock, non-stock, multi-delivery, direct ship and blanket requisitions.	F				
PUR32	Ability to support multiple user-defined requisition formats.	F				
PUR33	Ability to provide stock status information during the Requisition entry process.	F				
PUR34	Ability to provide for multiple lines of input per individual Requisition.	F				
PUR35	Ability to provide reports to users and management on requisition status.	F				
PUR36	Ability to create and track all requisitions by date, by requester, by budget, by item, by action item, etc.	F				
PUR37	Ability to pre-encumber requisition per line items and also assign project accounting data.	F				
PUR38	Ability to order in fractional quantities, dollars, and assign to multiple General Ledger account codings.	F				
PUR39	Ability to modify through change order (add or delete) items ordered – part, class, quantity, unit of measure, vendor, cost, project, fund.	F				
PUR40	Ability to prevent entering invalid account codes (fund, department/division, object, and/or project).	F				
PUR41	Ability to enter default information based upon certain criteria.	F				
PUR42	Ability for users to look up vendors based upon commodity code.	F				
PUR43	Ability to copy requisition information from one already in the system.	F				
PUR44	Ability to track requisitions and automatically date and time stamp (received, accepted, returned, re-received) with notes and comments.	F				
PUR45	<b>BID AND QUOTE PROCESSING</b>					
PUR46	Ability to support the following types of bids: advertised sealed bids, phone and fax quotes and written requests for proposals and quotations.	F				

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PUR47	Ability to produce a list of potential vendors/bidders who provide the requested commodities based on the NIGP commodity coding system.	F				
PUR48	Ability to create bid mailing lists of vendors by specific commodities.	F				
PUR49	Ability to allow inquiry into entire bid or bid item by vendor name or number, bid number, buyer or item number.	F				
PUR50	Ability to provide online entry of vendor bid responses.	F				
PUR51	Ability to provide bid analysis tools by price, quantity and availability by entire bid package or single line item.	F				
PUR52	Ability to track Bid / RFP by awards, dollar amounts, vendor responses, buyer, commodity.	F				
PUR53	Ability to track bid list / file by commodity code.	F				
PUR54	Ability to track vendor bid list by vendor history, past awards, bid responses and new vendors.	F				
PUR55	Ability to produce documents for mailing to potential vendors/bidders (i.e., bid documents, addenda).	F				
PUR56	Ability to advertise bid information via the Internet.	F				
PUR57	Ability to download vendor catalog data from various formats including the Internet.	F				
PUR58	<b>CONTRACT ADMINISTRATION</b>					
PUR59	Ability to convert awarded bid to approved contract.	F				
PUR60	Ability to create and track blanket order contracts.	F				
PUR61	Ability to allow multiple contracts per vendor, multiple items per contract and multiple dates.	F				
PUR62	Ability to track service performance against a contract.	F				
PUR63	Ability to review and print contract text.	F				
PUR64	Ability to track contracts by vendor, date (starting, ending, tic), dollars, item, class, budget, account, program, renewals, cancellations, extensions, add/change, buying groups, commodity codes, contract number(s), alternates.	F				
PUR65	Ability to support various contract periods, including multiple year contracts (i.e., those that span fiscal and/or calendar years).	F				
PUR66	Ability to track and report contract operations over several different periods including county, federal, or other user defined fiscal year.	F				
PUR67	Ability to record and track contract limits at user specified levels of detail over the life of the contract.	F				
PUR68	Ability to flag contracts for release payments based upon certain defined performance indicators.	F				

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PUR69	Ability to maintain a transaction listing of all contract change orders including date and source. (To understand why changes were made, what amount, who approved, etc.)	F				
PUR70	Ability to encumber only a portion of a contract based on fiscal year.	F				
PUR71	Ability to carry over open contracts from year to year.	F				
PUR72	<b>PURCHASE ORDER MANAGEMENT</b>					
PUR73	Ability to have multiple line items per purchase order with capability for one / multiple delivery schedules per line printed on purchase order.	F				
PUR74	Ability of purchase order numbers to be manually or automatically generated with different numbering series for different organizational / buying entities.	F				
PUR75	Ability to create purchase orders from requisitions, bid/quotes and contracts.	F				
PUR76	Ability to process blanket purchase orders.	F				
PUR77	Ability to allow for unlimited standard and free form messages at the header and line item level.	F				
PUR78	Ability to send purchase orders to vendors in the following formats: electronic data exchange, fax, e-mail or printed copy.	F				
PUR79	Ability to generate bill to and ship to information automatically with secondary or internal delivery to location.	F				
PUR80	Ability to perform unit of measure conversion from purchased unit of measure to stocked / delivered unit of measure.	F				
PUR81	Ability to maintain original and revised promised ship dates, prices, open quantities and "ship via" information.	F				
PUR82	Ability to assign multiple general ledger account codings to purchase orders.	F				
PUR83	Ability to allow online and batch printing of purchase orders.	F				
PUR84	Ability to reprint hard copy of purchase orders and change orders when required; eliminating the hard copy purchase order file maintenance, identifying duplicate, revised, items open / received.	F				
PUR85	Ability to automatically close a purchase order when all items are received and the final invoice is paid.	F				
PUR86	Ability to carry over open purchase orders to the following fiscal year.	F				
PUR87	Ability to buy by description, cross referencing stock number, vendor(s).	F				
PUR88	Ability of open purchase order report to list all purchase orders by vendor name (alphabetical order), purchase order number, line item, description, quantity on order, quantity still open, buyer, and to interface with purchase order view screen.	F				
PUR89	Ability to accommodate multiple tolerances for encumbrance control.	F				
PUR90	Ability to automatically encumber final purchase order amount interfacing with the General Ledger component – tracks differences and totals and releases differences back to remaining budget.	F				

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PUR91	Ability to allow annual automatic processing or renewal of on-going blanket purchase orders.	F				
PUR92	Ability to track freight by line item or lump sum and divide by total estimated / actual.	F				
PUR93	Ability to automatically or manually close or adjust purchase order without receiving merchandise.	F				
PUR94	Ability to change purchase order item ordered – part, class, quantity, unit of measure, dollars, vendor, account.	F				
PUR95	Ability for purchase order to specify multiple programs, delivery dates and locations.	F				
PUR96	Ability of one purchase order to be charged to multiple cost centers/accounts / budgets.	F				
PUR97	Ability of confirming purchase order to be tracked and monitored by buyer, vendor, item, class budget, dollars.	F				
PUR98	Ability to trigger fixed asset process or low value asset classification by analyzing purchase and making decision based upon the purchase price.	F				
PUR99	Ability to indicate and provide for manual or automatic purchase order or change order encumbrance.	F				
PUR100	<b>RECEIVING</b>					
PUR101	Ability to provide three-way or four-way matching capabilities.	F				
PUR102	Ability to automatically match vendor invoice, purchase order and purchase order receipt.	F				
PUR103	Ability to review vendors and outstanding purchase orders during the match process.	F				
PUR104	Ability to accommodate partial receipts.	F				
PUR105	Ability to trigger Accounts Payable process based upon receipt information.	F				
PUR106	Ability to detect and measure early / late and over / under shipments.	F				
PUR107	Ability to maintain discrepancy file by vendor, stock number, item, dates, control number, purchase order number.	F				
PUR108	Ability to override unmatched status with the proper security status.	F				
PUR109	Ability to flag purchases for fixed asset tables upon receipt of good.	F				
PUR110	Ability to have credit / adjustment form and collect shipping data, costs and other budgetary data with the capability to print a credit / adjustment form.	F				
PUR111	Ability to audit receiving data by user id, date, time, etc.	F				
PUR112	Ability to flag purchases for special order items.	F				
PUR113	<b>e-PROCUREMENT</b>					

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PUR114	<i>The AOC will be considering e-procurement capabilities for some courts. The following requirements are intended to identify which systems provide general online e-procurement functions. Installation of these functions will be considered by each court. Vendors may be asked to demonstrate these capabilities during software demonstrations.</i>					
PUR115	<b>General</b>					
PUR116	Ability to provide real-time interface with ERP applications. (Please list major applications in comment field).	F				
PUR117	Provides online help function.	F				
PUR118	Ability to post the following information on the Internet:					
PUR119	Bid documents	F				
PUR120	Purchasing manual	F				
PUR121	Product specifications	F				
PUR122	Contract information	F				
PUR123	Catalogs	F				
PUR124	Ability to specify preferred vendors.	F				
PUR125	Ability to record a history of all transactions by user, date, time, type of transaction, and action.	F				
PUR126	<b>Vendor Information</b>					
PUR127	Ability to store vendor information.	F				
PUR128	Ability for vendors to update information through proper security.	F				
PUR129	Ability for vendors to submit secured bids electronically.	F				
PUR130	Ability for vendors to view current requests for bids.	F				
PUR131	Ability for vendor to upload catalog items.	F				
PUR132	Ability to support.	F				

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PUR133	<b>Contracts</b>					
PUR134	Ability to store contracts online.	F				
PUR135	Ability to search and purchase from existing contracts.	F				
PUR136	<b>e-Purchasing</b>					
PUR137	Ability to place web-based orders with quick response times.	F				
PUR138	Ability to check status of order (ship date, tracking number).	F				
PUR139	Ability to click on a catalog item and procurement request is populated automatically.	F				
PUR140	Ability to develop a list of items to be purchased (i.e., shopping cart).	F				
PUR141	Ability to copy a previously made request.	F				
PUR142	Ability to save request form if requestor is not ready to submit the order.	F				
PUR143	Ability to print requisitions.	F				
PUR144	Ability to e-mail confirmation of order.	F				
PUR145	Ability to support forward and reverse auctions.	F				
PUR146	<b>QUERYING / REPORTING</b>					
PUR147	Ability to generate 1099 report.	F				
PUR148	Ability to generate aging reports.	F				
PUR149	Ability to drill-down from any field within the purchasing screen to any functional module within the system.	F				
PUR150	Ability to create ad hoc queries and reports.	F				



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Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
GR1	<b>DESIGN</b>					
GR2	Ability to track grant applications.	F				
GR3	Ability to maintain data about grantors.	F				
GR4	Ability to track grant expenditure activity.	F				
GR5	Ability to track grant activity over multiple years.	F				
GR6	Ability to track grant activity over the State fiscal year.	F				
GR7	Ability to track grant activity over the grant fiscal year.	F				
GR8	Ability to assign indirect cost codes.	F				
GR9	Ability to accommodate workflow.	F				
GR10	Ability to account for grant revenues and expenditures for the fiscal year, grant year and the perpetual life of the grant--with breakdowns by period and in total (inception to date) for all prior years.	F				
GR11	<b>GRANT LEDGERS</b>					
GR12	Ability to accommodate the following accounting fields:					
GR13	Program	F				
GR14	Element	F				
GR15	Component	F				
GR16	Task	F				
GR17	Ability to define the program or budget year of the grant/project differently than the system established fiscal year.	F				
GR18	Ability to set up and report budget items based on multiple fiscal years and grant years.	F				
GR19	Ability to calculate on a user defined basis indirect costs associated with any grant and to provide system generated entries.	F				
GR20	Ability to calculate on a user defined basis matching fund requirements associated with any grant and to provide system generated entries.	M				
GR21	Ability to accommodate grant year accounting and comply with both calendar year and fiscal year budgeting requirements.	F				
GR22	Ability to carry forward appropriations at year end.	F				
GR23	Ability to track contracts that span multiple years.	F				

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GR24	Ability to interface with other systems for grant-related data (i.e., job classification data).	F				
GR25	<b>GRANT APPLICATIONS</b>					
GR26	Ability to track the following grant application information:					
GR27	Grant number	F				
GR28	Grant name	F				
GR29	Grant description	F				
GR30	Grantor	F				
GR31	Grantor's mailing address	F				
GR32	Grantor's phone number	F				
GR33	Date application submitted	F				
GR34	Date application approved	F				
GR35	Original grant approval amount	F				
GR36	Grant budgeted	F				
GR37	Grant amendments	F				
GR38	Grant carryovers	F				
GR39	Grant fiscal calendar	F				
GR40	Grant beginning date	F				
GR41	Grant expiration date	F				
GR42	Letter of credit/draw-down	F				
GR43	Amount and origin of matching funds	F				
GR44	Responsible State department or division	F				
GR45	Responsible State departmental or divisional contact	F				
GR46	Reimbursement schedule	F				

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GR47	<b>GRANT ACTIVITY</b>					
GR48	Ability to capture all grant activity through the general ledger.	F				
GR49	Ability to capture grant expenditures and revenues by:					
GR50	General ledger account numbers	F				
GR51	Grantor-defined categories or accounts	F				
GR52	Grant purchase orders and encumbrances	F				
GR53	Grants status codes	F				
GR54	User defined fields	F				
GR55	Grant's conditions and restrictions	F				
GR56	Narrative fields for miscellaneous information	F				
GR57	<b>PROCESSING REQUIREMENTS</b>					
GR58	Ability to establish and adjust budgets for each grant.	F				
GR59	Ability to assign multiple user defined categories for budget purposes.	F				
GR60	Ability to duplicate preexisting grants to establish templates for new grants.	F				
GR61	Ability to prioritize draw-downs (i.e., grant A first, grant B second, etc.).	F				
GR62	Ability to chose drawdown during expenditure transactions.	F				
GR63	Ability to add, modify or delete grant information online with audit trail of all changes.	F				
GR64	Ability to provide for grant summary history online.	F				
GR65	Ability to support multiple programs per grant (sub-grants).	F				
GR66	Ability to purge expired grants or non-awarded grants.	F				
GR67	Ability to accept electronic wire transfers for draw-down/letters of credit.	F				
GR68	Ability to "suspend" grant transactions based on user defined criteria (i.e., expiration date or grant status).	F				
GR69	Ability to post the "suspended" grant transactions with supervisory control or post with supervisory override.	F				

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GR70	Ability to archive closed grants with no activity beyond a user defined time interval.	F				
GR71	Ability to process data from purchasing system for purchase orders and encumbrances.	F				
GR72	Ability to accommodate the following budget preparation capabilities:					
GR73	Ability to budget by total grant amount	F				
GR74	Ability to budget by multiple fiscal years	F				
GR75	Ability to maintain detailed transaction history online for life of grant.	F				
GR76	Ability to make adjustments for any accounting period in any fiscal year.	F				
GR77	Ability for multiple departments to enter information on a single grant with security constraints established at transaction level.	F				
GR78	Ability to roll-up grant to higher levels for internal and external reporting.	F				
GR79	<b>QUERYING / REPORTING</b>					
GR80	Ability to drill-down from any field within the grants accounting screen to any functional module within the system.	F				
GR81	Ability to create ad hoc queries and reports.	F				

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Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
PJ1	<b>DESIGN</b>					
PJ2	Ability of system to record and maintain data at the following levels of detail:					
PJ3	Program	F				
PJ4	Element	F				
PJ5	Component	F				
PJ6	Task	F				
PJ7	Organization or cost center	F				
PJ8	Contract	F				
PJ9	Work order	F				
PJ10	Ability to identify direct costs for each cost object by object and sub-object of expenditure.	F				
PJ11	Ability to assign indirect cost allocation formulas.	F				
PJ12	Ability to generate indirect cost data based upon a cost allocation plan (i.e., communications billed, building services billed, and transportation billed, administrative costs, etc.).	F				
PJ13	Ability to allocate costs based upon different types of rules.	F				
PJ14	Ability to carry forward project budgets from current year.	F				
PJ15	Ability to accommodate workflow.	F				
PJ16	Ability to set up authorized users by job title or name to charge labor time on a project.	F				
PJ17	Ability to identify inactive projects.	F				
PJ18	<b>PROJECT LEDGERS</b>					
PJ19	Ability to establish projects budgets (balanced) across funds.	F				
PJ20	Ability to associate project budgets with budgetary control appropriations in the General Ledger ensuring consistency across applications.	F				

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Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
PJ21	Ability to associate multiple funding sources with projects and track the application of funding to actual expenditure.	F				
PJ22	Ability to establish project accounts to record project budgets, encumbrances and expenditures.	F				
PJ23	Ability to clone project accounts established from previous projects, then modify for a newly created project.	F				
PJ24	Ability to calculate capitalized interest by project.	F				
PJ25	Ability to classify projects by type (I.e., billable, non-billable, statistical, etc.).	F				
PJ26	<b>PROJECT MANAGEMENT</b>					
PJ27	Ability to record project activity over multiple years.	F				
PJ28	Ability to record project activity over multiple departments/divisions.	F				
PJ29	Ability to accommodate a variety of projects such as:					
PJ30	Small capital expenses (e.g., remodeling)	F				
PJ31	Large capital projects (e.g., buildings, infrastructure)	F				
PJ32	Routine work order(s) for non-capital expenditures	F				
PJ33	Ability to classify the project by:					
PJ34	Type of project (i.e., building, etc.)	F				
PJ35	Location	F				
PJ36	Administering department	F				
PJ37	Ability to track the following dates:					
PJ38	Planned start date	F				
PJ39	Actual start date	F				
PJ40	Planned completion date	F				
PJ41	Project completion date	F				
PJ42	Ability to maintain a project address.	F				
PJ43	Ability to associate work orders with projects.	F				

**Court Accounting and Reporting System  
Functional Requirements: Projects Accounting**

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Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
PJ44	Ability to associate freeform text with a project.	F				
PJ45	Ability to track approval levels.	F				
PJ46	Ability to provide a means for standard control and monitoring of projects.	F				
PJ47	Ability to associate projects with other projects in a hierarchical structure.	F				
PJ48	Ability to classify project costs according to task (i.e., inspection, design).	F				
PJ49	Ability to close project at user specified date.	F				
PJ50	Ability to track dedicated funds set aside for selected activities in projects (e.g., set aside funds for planned activities as they become known).	F				
PJ51	Ability to account for advance planning activities prior to the establishment of a project and transfer the costs to the project after it is established.	F				
PJ52	Ability to validate charges against project master files to determine if:					
PJ53	Charges are to open projects	F				
PJ54	Accounts charged are valid for specified projects (e.g., costs are valid or budgeted for the project).	F				
PJ55	Ability to prevent entry to closed projects.	F				
PJ56	Ability to obtain project titles online, primarily to assist in proper identification for data entry.	F				
PJ57	Ability to allow allocating an amount by entered percentages to various projects.	F				
PJ58	Ability to make overhead/indirect cost allocations to projects, including the use of multiple overhead rates.	F				
PJ59	Ability to support GANTT charts.	F				
PJ60	Ability to enter an amount or the current percent of completion and have the system estimate additional amounts for finishing the project.	F				
PJ61	Ability to automatically calculate estimates to complete as budget minus actual.	F				
PJ62	Ability to track multiple year expenditures.	F				
PJ63	Ability to carry forward from current year.	F				

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Functional Requirements: Projects Accounting**

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Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
PJ64	Ability to support project budgets by associating budget appropriations from the general ledger to user defined project accounts.	F				
PJ65	Ability to accumulate balances for:					
PJ66	Actuals	F				
PJ67	Budgets	F				
PJ68	Ability to perform flexible budgeting for projects while adhering to level of budgetary controls established in the General Ledger.	F				
PJ69	Ability to program the calculation of projected final costs using various methods of computation.	F				
PJ70	<b>QUERYING / REPORTING</b>					
PJ71	Ability to drill-down from any field within the grants accounting screen to any functional module within the system.	F				
PJ72	Ability to create ad hoc queries and reports.	F				



**Court Accounting and Reporting System**  
**Functional Requirements: Accounts Receivable**

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Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
AR1	<b>ACCOUNTS RECEIVABLE DESIGN</b>					
AR2	Ability to maintain a master customer file.	F				
AR3	Ability to record a designated collections manager by account.	F				
AR4	Ability to establish default account distributions for each receivable.	F				
AR5	Ability to recognize or accommodate:					
AR6	Revenue earned and billed	F				
AR7	Revenue earned, but not billed	F				
AR8	Recognize revenue previously reported as deferred	F				
AR9	Projecting cash flow of receipts based on historical data by accounts receivable type	F				
AR10	Sorting and displaying accounts receivable in a prescribed aging format	F				
AR11	Ability to accommodate workflow.	F				
AR12	Ability to integrate with the case management system.	M				
AR13	Ability to support electronic payments.	F				
AR14	<b>CUSTOMER RECORDS</b>					
AR15	Ability to track and update address changes using unique identifier (e.g., Soc Sec #, drivers license, etc).	M				
AR16	Ability to include/exclude different customers or customer groups in the billing cycle based on user-defined parameters.	F				
AR17	Ability to record customer communication regarding an invoice and store the communication data with the invoice.	F				
AR18	Ability to record the following customer information:					
AR19	Balance forward or open items	C				
AR20	Last account activity	F				
AR21	Contact name(s)	F				
AR22	Credit limit	F			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	

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**Functional Requirements: Accounts Receivable**

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Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
AR23	Interest charges option	F				
AR24	Current and unpaid finance charges	F				
AR25	Balance due	F				
AR26	Last payment amount	F				
AR27	Last payment date	F				
AR28	Year-to-date payments	F				
AR29	Number of invoices this year	F				
AR30	Number of invoices last year	F				
AR31	Number of times past due this year	F				
AR32	Number of times past due last year	F				
AR33	Highest balance	F				
AR34	Finance charges this year	F				
AR35	Finance charges last year	F				
AR36	Average number of days to pay	F				
AR37	Dunning message code	F				
AR38	Ability to collect certain items first	F				
AR39	Tax code	F			AOC has re-classified this requirement as a "no longer a requirement". Proposers do not need to address this requirement.	
AR40	Customer type (for sales analysis)	F				
AR41	Statement cycle (e.g., week, month)	F				
AR42	Notes/comments (miscellaneous additional info)	F				
AR43	Customer status code	F				
AR44	Finance charge flag	F				
AR45	Corporate customer number (corporate/subsidiary relationships)	F				

**Court Accounting and Reporting System**  
**Functional Requirements: Accounts Receivable**

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Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
AR46	Date customer was added	F				
AR47	Zip+4	F				
AR48	Case Management Number	F				
AR49	Ability to check for duplicate customers based on user-defined criteria (e.g., alphabetic similarity, phonetic similarity, phone number, postal code, etc.).	M				
AR50	Ability to restrict access to add, delete, or modify customer information by users.	F				
AR51	Ability to track additions, changes, and deletions to the customer files with an audit trail.	F				
AR52	Ability to automatically assign sequential customer and invoice numbers to ensure duplicates do not occur.	F				
AR53	Ability to flag inactive accounts.	F				
AR54	Ability to purge inactive accounts based on user defined criteria.	F				
AR55	Ability to use alphanumeric characters for customer numbers.	F				
AR56	Ability to classify customers by user-defined classifications.	F				
AR57	Ability to validate user defined customer codes during online entry.	F				
AR58	Ability to associate a customer with other customer master records such as a parent company and a subsidiary company.	F				
AR59	Ability to generate tickler messages for automatic display on specific dates for follow-up with a customer.	F				
AR60	Ability to activate or inactivate customers.	F				
AR61	Ability to set up one time customers with minimal data entry as compared to a regular customer.	F				
AR62	<b>INVOICES</b>					
AR63	Ability to produce fixed or recurring billings based upon contract terms.	F				
AR64	Ability to produce manual invoices for non-recurring types of billing.	F				
AR65	Ability to construct and process periodic statements for every receivable.	F				
AR66	Ability to accommodate memo or text fields for invoices or credit memos.	F				
AR67	Ability to generate account statements for the following:					

**Court Accounting and Reporting System**  
**Functional Requirements: Accounts Receivable**

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Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
AR68	Specific accounts	F				
AR69	Range of accounts within a department / agency	F				
AR70	Range of customers	F				
AR71	Delinquent accounts	F				
AR72	Ability to support bar coding.	F				
AR73	Ability to generate consolidated statements for customers with multiple accounts.	F				
AR74	Ability to maintain detail of unbilled-billed charges.	F				
AR75	Ability to produce ready-to-mail invoices prepared in accordance with governmental regulations and in the format required by the following reimbursing department / agency:	M				
AR76	Court Services	M				
AR77	Proprietary Funds	M				
AR78	Miscellaneous departmental / agency services	M				
AR79	State and federal reimbursed projects	M				
AR80	Locally reimbursed projects	M				
AR81	Ability to establish agreed-upon maximum charges even if actual costs incurred in providing the service or item exceed this maximum.	M				
AR82	Ability to exclude / include billing detail data elements, allowable charges, and overhead on specific bills or all bills.	F				
AR83	Ability to produce reconciliation statements showing beginning balance, charges, credits and payments, and a new balance.	F				
AR84	Ability to correct and reprint invoices.	F				
AR85	Ability to accommodate online cancellation and one step automatic reversals of invoice entries.	F				
AR86	Ability to print a duplicate bill on request.	F				
AR87	Ability to allow credit memos in batches or online.	F				
AR88	Ability to apply specific credit memos to specific invoices and invoice line items.	F				
AR89	Ability to store multiple user-defined dunning messages.	F				

**Court Accounting and Reporting System**  
**Functional Requirements: Accounts Receivable**

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Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
AR90	Ability to automatically write-off small discrepancies between the amount due and the amount received.	F				
AR91	Ability to suspend partial payments and over-payments as separate open items against the original bill amount until the bill is fully cleared.	F				
AR92	<b>CASHIERING</b>					
AR93	Ability to create user-defined screens for cashiers.	TP			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR94	Ability to require a valid operator code in order to process a receipt.	TP			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR95	Ability to secure registers at various levels (clerk, manager, etc.) depending on the function being performed.	TP			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR96	Ability to generate a customer receipt as well as an internal transaction tape for each transaction processed. The internal transaction tape will be used to balance the drawer at the end of the day.	TP			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR97	Ability to capture the transaction time of day on each transaction.	TP			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR98	Ability to enter, track separately, and process simultaneously the following tendering situations: cash, check, charge card, and money orders and direct deposits.	TP			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR99	Ability to process split or mixed tendering situations.	TP			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR100	Ability to inquire into all of a customer's outstanding invoices/fees when receiving payments for any type of invoice/fee.	TP			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR101	Ability to maintain default general ledger accounts for specific types of payments or receipts.	F			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR102	Ability to provide a user override of the default general ledger account(s) by an authorized user.	F			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR103	Ability to distribute payments or cash receipts to multiple general ledger accounts and funds.	F			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR104	Ability to maintain user-defined cashier security tables for each cashier to be able to accept payments or receipts.	TP			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR105	Ability to provide the option to have more than one operator working at a work station based upon security.	TP			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR106	Ability to provide online account number validation for accounts receivable payments.	F			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR107	Ability for cashier to collect payments for items that are not prebilled in any system (e.g., licenses, permits, etc.)	F			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR108	Ability, at the end of a cashier's scheduled work day, to produce a close-out report to be balanced with the cash, checks, money orders, etc. in the operator's drawer.	TP			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR109	Ability to void a receipt through proper security.	TP			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR110	Receipt Processing	TP			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR111	Require a valid operator code in order to process a receipt.	TP			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	

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**Functional Requirements: Accounts Receivable**

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Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
AR112	Ability to process various types of receipts including:				AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR113	Cash	TP			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR114	Check	TP			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR115	Money order	TP			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR116	Bank card	TP			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR117	Direct deposit	TP			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR118	Ability for multi-line descriptions to be entered on each receipt.	TP			AOC has re-classified this requirement as a "nice-to-have". Proposers will not be required to address this requirement.	
AR119	<b>RECEIPTS</b>					
AR120	Ability to accommodate multiple payments for an invoice.	F				
AR121	Ability to accommodate single payments applied against multiple invoices.	F				
AR122	Ability to accommodate partial payments on account.	F				
AR123	Ability to accommodate payments in excess or less than the bill rendered.	F				
AR124	Ability to automatically update revenues and receivables based upon receipts.	F				
AR125	Ability to accommodate electronic payments via the Internet	F				
AR126	<b>QUERYING / REPORTING</b>					
AR127	Ability to view next payment date by customer.	F				
AR128	Ability to drill-down from any field within the accounts receivable module to any functional module within the system.	F				
AR129	Ability to create ad hoc queries and reports.	F				

**Court Accounting and Reporting System  
Functional Requirements: Accounts Payable**

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AP1	<b>ACCOUNTS PAYABLE DESIGN</b>					
AP2	Ability to age accounts payable.	F				
AP3	Ability to match items by the following:					
AP4	Receiver documents	F				
AP5	Purchase order	F				
AP6	Contract	F				
AP7	Ability to schedule invoices for payment based on vendor terms, future dated invoices, etc.	F				
AP8	Ability to update the general ledger expense accounts in real-time (e.g., when an invoice is entered).	F				
AP9	Ability to automatically relieve an encumbrance when an expenditure transaction is entered.	F				
AP10	Ability to maintain and release recurring payments based upon user defined amounts and payment dates.	F				
AP11	Ability to close out / reverse encumbrances and purchase orders by user defined parameters.	F				
AP12	Ability to reject transactions for insufficient appropriation and cash / fund balances (with override feature).	F				
AP13	Ability to automatically update budget ledgers.	F				
AP14	Ability to compare accounts receivable data to accounts payable to identify payees who owe the State money.	F				
AP15	Ability to perform automated partial or complete liquidation of an encumbrance by payment against a vendor invoice.	F				
AP16	Ability to cross reference a purchase order and invoice for the same transaction.	F				
AP17	Ability to track anticipated cash requirements for disbursements.	F				
AP18	Ability to prevent duplicate payments.	F				
AP19	Ability to accommodate electronic payments.	F				
AP20	Ability to distribute single payments across multiple accounts, funds, organizations, etc.	F				
AP21	Ability to integrate with imaging systems.	F				
AP22	<b>VENDOR DATA</b>					
AP23	Ability to accommodate numeric and alphanumeric vendor numbers.	F				

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Functional Requirements: Accounts Payable**

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AP24	Ability to support 1099 reporting data.	F				
AP25	Ability to retain prior year(s) data for comparative reporting.	F				
AP26	Ability to accommodate "one-time" vendors and identify them as such.	F				
AP27	Ability to accommodate user defined vendor categories (e.g., Disadvantaged Business Enterprises, problem vendors, etc.).	F				
AP28	Ability to maintain multiple location addresses for each vendor.	F				
AP29	Ability to provide a vendor comment file that may contain a user defined amount of information which may be viewed by any user and updated by users with authorized security.	F				
AP30	Ability to support an unlimited number of codes for vendor commodities.	F				
AP31	Ability to maintain an online audit trail for changes to the vendor master file.	F				
AP32	Ability to record vendor performance data.	F				
AP33	Ability to upload payment files to accommodate court specific disbursements (e.g., jury pay).	F				
AP34	<b>INVOICE / VOUCHER PROCESSING</b>					
AP35	Ability to assign automatic voucher number in sequence with override capabilities.	F				
AP36	Ability to match the following to invoice data:					
AP37	Receiver documents	F				
AP38	Purchase order	F				
AP39	Contracts	F				
AP40	Ability to enter non-PO invoice vs. PO invoice.	F				
AP41	Ability to schedule invoices for payment.	F				
AP42	Ability to support recurring payments.	F				
AP43	Ability to produce credit and debit memos to adjust the amount due if items are returned or if an invoice is incorrect.	F				
AP44	Ability to allocate an invoice amount to various accounts according to a percentage of the invoice amount.	F				
AP45	Ability to automatically calculate discounts when the check payment date is the same as, or prior to, the discount due date with override capabilities on discount due date.	F				



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Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
AP46	Ability to enter comments on the remittance advice.	F				
AP47	Ability to compare other invoices for duplicate payments prior to processing the payment.	F				
AP48	<b>CHECK PROCESSING</b>					
AP49	Ability of system to generate accounts payable checks daily, weekly, monthly or on demand.	F				
AP50	Ability to generate individual checks that include payments from multiple funds.	F				
AP51	Ability to provide audit trails with the following information:					
AP52	Disbursements	F				
AP53	Requisition number	F				
AP54	Purchase order number	F				
AP55	Contract number	F				
AP56	Check number	F				
AP57	Date	F				
AP58	Payee	F				
AP59	Remittance advice	F				
AP60	Ability to compute the number of checks written per check run.	F				
AP61	Ability to produce manual checks.	F				
AP62	Ability to support EFT payments.	F				
AP63	Ability to produce, through secure printers, checks with MICR encoding and electronic signatures.	F				
AP64	Ability to support the use of multiple bank accounts.	F				
AP65	Ability to produce checks in various sequences (e.g., vendor, zip code, account).	F				
AP66	Ability to consolidate (or choose not to consolidate) multiple invoices for the same vendor on one check, and itemize the invoices on the remittance advice.	F				
AP67	Ability to process/account for voided checks and prevent the printing of blank, negative, or zero amount checks.	F				
AP68	Ability to allow manually prepared checks into the system for inclusion in a separate check register and automatic distribution into the general ledger.	F				

**Court Accounting and Reporting System**  
**Functional Requirements: Accounts Payable**

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Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
AP69	Ability to provide for automatic restart procedures for the check printing routine.	F				
AP70	<b>CHECK RECONCILIATION</b>					
AP71	Ability to produce a reconciliation activity report showing all the daily online update activity in the system.	F				
AP72	Ability to produce a file containing all rejected check reconciliation transactions which could be available for online corrections.	F				
AP73	Ability to delete selected check information on the error suspense file using appropriate security controls.	F				
AP74	Ability to cancel checks online and automatically generate General Ledger transactions to reverse all accounting distributions associated with that check.	F				
AP75	Ability to retain cleared checks in a check reconciliation data base for inquiry and/or reporting purposes.	F				
AP76	Ability to place a "stop payment" on checks and generate the appropriate General Ledger transaction.	F				
AP77	<b>CHECK RECONCILIATION</b>					
AP78	Ability to produce summary Outstanding Check Report by fund and check type by user-defined timeframe.	M				
AP79	Ability to produce reports showing discounts taken and lost.	F				
AP80	Ability to produce a monthly, detailed, stale-dated checks listing by fund and by check type.	M				
AP81	Ability to produce monthly check reconciliation reports of manual transaction by fund and check type.	M			AOC has re-classified this requirement as a "no longer a requirement". Proposers do not need to address this requirement.	
AP82	<b>QUERYING / REPORTING</b>					
AP83	Ability to drill-down from any field within the accounts payable screen to any functional module within the system.	F				
AP84	Ability to query data by check number.	F				
AP85	Ability to produce a cash position report.	F				
AP86	Ability to produce vendor activity report.	F				
AP87	Ability to produce a warrant status report.	F				
AP88	Ability to create ad hoc queries and reports.	F				

**Court Accounting and Reporting System  
Functional Requirements: Technology**

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Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
TE1	<b>General Requirements</b>					
TE2	The software components provide for online data entry, comprehensive online editing, online file updating and online inquiry.	F				
TE3	Error messages appear in a standard format (e.g., in a consistent location on each screen) and are easily understood.	F				
TE4	Remote access for telecommuting employees is supported with appropriate security.	F				
TE5	Allows future connection of remote laptop applications such as field investigation (for Property TRY, system only).	F				
TE6	System is table-driven with online screens to control parameters.	F				
TE7	System provides a browser-based client.	F				
TE8	System allows intranet and Internet access with appropriate security.	F				
TE9	System allows for effective dated transactions and table updates.	F				
TE10	System can download, upload, or interface data with personal, mini and mainframe Computers using standard file formats.	F				
TE11	System can provide multimedia report output (central printers, screen, data file, microfiche, microfilm, CD ROM, DVD, etc.)	F				
TE12	System is MAPI compliant (e-mail standard for workflow).	F				
TE13	System interfaces with office automation products such as MS Word, MS Excel, MS PowerPoint, MS Access, etc.	F				
TE14	System provides "screen print" capability while user is viewing an account.	F				
TE15	System is Year 2000 and leap year compliant.	F				
TE16	System should provide a Graphical User Interface (CUD System provides a common GUI report writer, which can be used across all components).	F				
TE17	System supports the ability to schedule jobs for regular and unattended processing.	F				
TE18	System provides upload, download, and terminal emulation capabilities available for PCs under Microsoft Windows.	TP			AOC has re-classified this requirement as a "no longer a requirement". Proposers do not need to address this requirement.	
TE19	Ability to keep a minimum seven (7) years online storage of all summary and detail transactions in the Finance, HR.	F				
TE20	Disk storage capabilities expandable or field -upgradeable to handle at least three (3) times the seven (7) year volumes for each application identified.	F				
TE21	Ability to access data from older backup media.	F				
TE22	Ability to purge records upon request for records within a user-defined time.	F				
TE23	Ability to archive items on microfiche or on some other form of archive storage.	F				

**Court Accounting and Reporting System  
Functional Requirements: Technology**

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Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
TE24	Ability to list all items included in purge.	F				
TE25	Ability to integrate proposed and third parties applications into the main menu structure.	F				
TE26	<b>Data entry</b>					
TE27	System provides pull-down menus to facilitate online data entry selections.	F				
TE28	Provides immediate transfer of values from "Pop up" tables to the appropriate field when selected and to proceed to the next entry field.	F				
TE29	System allows complete editing of data at the point of entry based on user defined criteria (e.g., transactions, tables, archived records, transaction status, etc.)	F				
TE30	System provides simple keystrokes for rapid data entry.	F				
TE31	System allows both online and batch entry of data.	F				
TE32	System performs updating from external batch sources (e.g., other application systems).	F				
TE33	Utilizes paperless system and workflow technology for user entry with electronic approval levels.	F				
TE34	Uses single entry to update all affected ledgers, tables and indexes (not applicable to Property Tax System).	F				
TE35	Provides transaction processing controls and edits for entered transactions.	F				
TE36	Ability to trigger additional screens based on a specific check box selection criteria.	F				
TE37	Allows mass changes or deletes.	F				
TE38	Allows departments to update and view data online with appropriate security access.	F				
TE39	Allows departments to flag data entry screens and fields as required and to control cursor navigation.	F				
TE40	Allows users to add or delete unlimited notes to accounts with restricted viewing access.	F				
TE41	Ability to download data to a web server, as needed.	F				
TE42	System must provide summary reports or online screens with tows of input and output by transaction type.	F				
TE43	Ability to provide online access to aging accounts.	F				
TE44	<b>Security</b>					
TE45	System includes security and control features that will prevent unauthorized access to the system.	F				
TE46	Provide appropriate security, audit and control features, to include but not limited to, access, control, journaling and journal retention.	F				

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TE47	System has the capability to use its own stand-alone application security.	F				
TE48	System has the capability to use OS security (e.g., NT, Novell).	F				
TE49	System access is controlled by a unique encrypted ID or password per individual.	F				
TE50	Security level access can be restricted to:	F				
TE51	(1) MAC and IP address	TP				
TE52	(2) Application/menu item	F				
TE53	(3) Transaction/function type (e.g., inquiry, update)	F				
TE54	(4) Each data field	F				
TE55	Password display is suppressed when entered.	F				
TE56	System logs transactions by user ID.	F				
TE57	System can detect and log unauthorized access attempts for later retrieval.	F				
TE58	System can log-off a user after a specified number of denied access requests.	F				
TE59	System can sound a console alert after a specified number of unauthorized access requests.	F				
TE60	<b>System Tools</b>					
TE61	Allows adequate flexibility to respond to changes in the management environment or processing requirements.	F				
TE62	System provides tools to:	F				
TE63	(1) Modify screen definitions	F				
TE64	(2) Add or modify user-defined fields	F				
TE65	(3) Edit field calculations	F				
TE66	(4) Edit fields across modules	F				
TE67	(5) Define "short cut" names	F				
TE68	(6) Edit field names	F				
TE69	Provides tools for in-house development of additional modules using the same database.	F				

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Functional Requirements: Technology**

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Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
TE70	Software development tool-kit is provided.	F				
TE71	Provides test versions of the system for running user tests (included in system sizing).	F				
TE72	<b>Software Documentation and Online Help</b>					
TE73	Provides clear and concise software documentation that is understandable by both users and technical personnel to include comprehensive training manuals and online 'help' that is easy to use and maintain.	F				
TE74	Application software documentation is available electronically (e.g., MS Word, Adobe Acrobat).	F				
TE75	Users are permitted to make unlimited copies of the documentation for internal use.	F				
TE76	Online documentation and/or help functions are:					
TE77	(1) Context (field) specific	F				
TE78	(2) Screen specific	F				
TE79	(3) Supplied with system	F				
TE80	(4) Updated to reflect changes made for the Courts.	F				
TE81	(5) Updated with new enhancements and releases.	F				
TE82	(6) Possible to update with Courts-specific help text.	F				
TE83	Documentation includes database dictionaries and data files, including any modifications made to the base package.	F				
TE84	<b>General Reporting Requirements</b>					
TE85	System accommodates the generation of standard forms that incorporate database information without depending on customized application programming.	F				
TE86	System provides the ability to generate routine federal, state, court and local reports in the prescribed format.	F				
TE87	System accommodates the printing (e.g., receipts, reports, forms, form letters, etc.) in final letter quality and on preprinted forms.	F				
TE88	System allows the printing by screen, document or file.	F				
TE89	System generates reports on user-defined topics.	F				
TE90	Provides a Fax Back feature to fax reports, tax bills or letters, previously produced by the system.	F				
TE91	System supports "What If" reporting analysis.	F				
TE92	System provides extensive capability to "drill down" to view components of roll-up reports.	F				

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Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
TE93	System allows the generation of activity or inactivity reports automatically or on a user-determined time schedule.	F				
TE94	System is capable of appending miscellaneous text or data files to standard reports.	F				
TE95	Ability to create reports and save the structure to generate the report automatically in the future on a scheduled basis with the defined graphics.	F				
TE96	System will provide usage statistics on staff time spent on each project by division and activity.	F				
TE97	Ability to generate exception reports on key transactions.	F				
TE98	System has the ability to provide statistical reports.	F				
TE99	Ability to use finance data and statistics together in report calculations.	F				
TE100	Provides aging reports by account.	F				
TE101	System tracks the number of transactions and provides statistics (e.g., number of warrants, contracts, journal entries, etc.).	F				
TE102	System has the ability to convey statistical information via graphic means (e.g., graphs, charts, and other graphical representations).	F				
TE103	System will allow the use of partial name, cumulative, wild card and Soundex (phonic) searches.	F				
TE104	System provides for the definition of key fields for rapid search and reporting.	F				
TE105	System has the ability to search for multiple items or a combination of items with one search.	F				
TE106	System has the ability to provide event notification based on user-defined criteria.	F				
TE107	Ability to print the Court logo onto letters or forms to eliminate the need for pre-printed forms (OLE capable).	F				
TE108	System allows for local printing to all printers in the Court network.	F				
TE109	Allows for output of large batch jobs to high speed printers.	F				
TE110	Users can define a local default printer for their workstation or User id.	F				
TE111	<b>Report Writer Requirements</b>					
TE112	Provides Microsoft Windows-based report writer that not only operates under MS Windows, but is itself completely graphically oriented.	F				
TE113	Provides SQL-based report writer that "calls" to the database via SQL commands, (Select, Update, etc.).	F				
TE114	Provides ODBC-compliant report writer.	NA				
TE115	Ability to control access to the data by an administrator who creates views of the data for both security and simplicity.	F				

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Reference Number	Functional Requirements	SAP Response	Consultant Response	Consultant Answer Submitted	AOC Comments	Proposer Comments
TE116	Ability to graphically suggest table joins.	F				
TE117	Ability to create reports entirely with a point and click method other than the entry of text (no commands to remember).	F				
TE118	Ability to set limits on the size of rep created by end-users using parameters that can be restricted to system administrator access.	F				
TE119	Ability to store reports in a repository with controlled access available only to those with security approval by report.	F				
TE120	Ability to generate all reports in HTML format.	F				
TE121	Ability to preview reports online with option to print them.	F				
TE122	Ability to generate trend analyses across historical data and to develop projection reports.	F				
TE123	Ability to display report data in business graphics (pie, bar, line charts, etc.).	F				
TE124	Ability to download reports in spreadsheet (Excel), word processing (Word), database software (Access), and presentation software (PowerPoint).	F				
TE125	Ability to combine data from the system with data from other RDBMS applications in the same report.	F				
TE126	<b>Control/Integrity Capabilities</b>	F				
TE127	If required during a batch processing procedure, system restarts should not necessitate beginning the entire batch again.	F				
TE128	Provides integrity features which will prevent data or control problems during system failure/restart procedures.	F				
TE129	Ability to queue jobs for unattended processing.	F				





**ATTACHMENT E  
NEW BUSINESS REQUIREMENTS**

**Attachment E**

**Court Accounting and Reporting System  
Functional Requirements: Fixed Assets**

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Reference Number	Functional Requirements	Response	Answer Submitted	Comments
FA1	<b>FIXED ASSET DESIGN</b>			
FA2	Ability to comply with GASB 34 reporting requirements.			
FA3	Ability for purchasing module to automatically enter fixed asset data when fixed asset transaction criteria are met.			
FA4	Ability to track assets that are not recorded or reported as fixed assets (Trial Court fixed assets are asset purchases over \$5,000.)			
FA5	Ability to enter the following asset categories:			
FA6	Land			
FA7	Buildings			
FA8	Leasehold improvements			
FA9	Equipment			
FA10	Furniture and fixtures			
FA11	Vehicles			
FA12	Capitalized leases / lease purchase			
FA13	Construction in progress			
FA14	Infrastructure			

**Attachment E**

**Court Accounting and Reporting System  
Functional Requirements: Fixed Assets**

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Reference Number	Functional Requirements	Response	Answer Submitted	Comments
FA15	Ability to trace or locate an item by:			
FA16	Asset or tag number			
FA17	Description			
FA18	Grant number			
FA19	Serial number			
FA20	Budget code			
FA21	Component items			
FA22	Account number			
FA23	Location			
FA24	Business Area			
FA25	Cost Center			
FA26	Activity			
FA27	ID or VIN number			
FA28	Block and Lot Number			

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**Court Accounting and Reporting System  
Functional Requirements: Fixed Assets**

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Reference Number	Functional Requirements	Response	Answer Submitted	Comments
FA29	Acquisition date			
FA30	Cost			
FA31	Purchase order number			
FA32	Cost of Improvements			
FA33	Valuation			
FA34	Depreciation			
FA35	Useful life			
FA36	Make or model of vehicle			
FA37	Vendor and/or vendor number			
FA38	Ability to specify the location of an asset including:			
FA39	Building and room number			
FA40	Address			
FA41	Block and Lot Number			
FA42	Legal description			

**Attachment E**

**Court Accounting and Reporting System  
Functional Requirements: Fixed Assets**

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Reference Number	Functional Requirements	Response	Answer Submitted	Comments
FA43	Underground			
FA44	Ability to provide bar code labeling and remote inventory entry.			
FA45	Ability to flag an asset as part of the moveable item inventory.			
FA46	Ability to assign specific or multiple item/asset number.			
FA47	Ability to automatically create a record for each item purchased.			
FA48	Ability to allow for online inquiry for each asset.			
FA49	Ability to track the detailed cost of each item.			
FA50	Ability to flag assets with disposal restrictions and display the restriction message for user handling (e.g., federal grant items that must be returned to the federal government).			
FA51	Ability to record insurance information including:			
FA52	Insurance company name			
FA53	Insurance company address			
FA54	Insurable value			
FA55	Policy number			
FA56	Policy period (term)			

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**Court Accounting and Reporting System  
Functional Requirements: Fixed Assets**

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Reference Number	Functional Requirements	Response	Answer Submitted	Comments
FA57	Type of coverage			
FA58	Liability limits			
FA59	Premium			
FA60	Ability to track warranty information			
FA61	Ability to maintain information about the condition of the asset (e.g., good, idle, obsolete and broken).			
FA62	Ability to track all transactions affecting the value of an asset by original source document number and date, and the module and application in which the transaction originated.			
FA63	Records assets into the following acquisition categories:			
FA64	Purchases			
FA65	Donations			
FA66	Construction projects			
FA67	Transfer from another Government Agency			
FA68	Other user-defined categories (describe limits in comments column)			
FA69	Ability to allow for parent/child relationships for assets (i.e., components).			
FA70	<b>DEPRECIATION</b>			

**Attachment E**

**Court Accounting and Reporting System  
Functional Requirements: Fixed Assets**

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Reference Number	Functional Requirements	Response	Answer Submitted	Comments
FA71	Records market value of an asset			
FA72	Records book value of an asset			
FA73	Ability to allow the use of multiple depreciation methods.			
FA74	Tracks accumulative depreciation			
FA75	Calculates depreciation based on the following types of assets:			
FA76	Depreciable			
FA77	Non-depreciable			
FA78	Fully depreciated			
FA79	Retired			
FA80	Calculates depreciation and posts associated general ledger transactions automatically.			
FA81	Permits differing first year conventions for depreciable assets to be used.			
FA82	Ability to allow the useful life of an asset to change.			
FA83	Depreciation calculations automatically update GAAP ledgers.			
FA84	<b>RETIREMENT</b>			

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**Court Accounting and Reporting System  
Functional Requirements: Fixed Assets**

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Reference Number	Functional Requirements	Response	Answer Submitted	Comments
FA85	Records the retirement of an asset according to the following categories:			
FA86	Sold			
FA87	Destroyed			
FA88	Donated			
FA89	Other user-defined categories (describe limits in comments column)			
FA90	Retirement transactions permit notes to be entered about a transaction (e.g., destroyed by fire, etc.)			
FA91	Automatically updates all GAAP ledgers when asset is retired.			
FA92	<b>QUERYING / REPORTING</b>			
FA93	Ability to drill-down from any field within the Fixed Assets screen.			
FA94	Ability to create ad hoc queries and reports.			
FA95	Ability to report all fixed asset balances in the standard CAFR format.			



**Attachment E**

**Court Accounting and Reporting System  
Functional Requirements: Treasury Management**

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Reference Number	Functional Requirements	Response	Answer Submitted	Comments
TM1	<b>Treasury Management Design</b>			
TM2	Maintains the following portfolio information:			
TM3	issues held			
TM4	date of purchase			
TM5	date of settlement			
TM6	maturity date			
TM7	rate			
TM8	amortized cost			
TM9	value			
TM10	Categorizes investments by:			
TM11	Issuer			
TM12	municipal securities			
TM13	agency securities			
TM14	treasury securities			

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**Court Accounting and Reporting System  
Functional Requirements: Treasury Management**

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Reference Number	Functional Requirements	Response	Answer Submitted	Comments
TM15	repurchase agreements			
TM16	certificates of deposit			
TM17	commercial paper			
TM18	others			
TM19	Produces a ledger of investment activity			
TM20	Produces liquidity forecasts			
TM21	<b>Portfolio Maintenance</b>			
TM22	System records the following investment information:			
TM23	confirmation ticket to record the purchase			
TM24	market value of entire portfolio			
TM25	market value of individual holdings			
TM26	Calculates discount and premium pricing for investments			
TM27	Calculate yield on an individual holding			
TM28	Computes accrued interest on individual holdings and totals the accrued interest			

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**Court Accounting and Reporting System  
Functional Requirements: Treasury Management**

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Reference Number	Functional Requirements	Response	Answer Submitted	Comments
TM29	Automatically posts earnings on coupon/maturity date for any interest-bearing investment			
TM30	Automatically calculates the rate of return on an investment			
TM31	Supports different methods of rate of return calculation such as 360 day year, 365 day year, etc.			
TM32	Computes days to maturity on an individual holding			
TM33	Lists coupon dates and amounts on a cash basis for bonds			
TM34	Converts investments from cash basis to accrual basis			
TM35	Keeps track of transaction costs from banks for investment management activities			
TM36	Determines risk profiles of investments (e.g., standard deviations)			
TM37	Monitors/limits investments with certain risk profiles			
TM38	Perform relevant portfolio arbitrage calculations			
TM39	Maintains collateral information			
TM40	Calculates the collateralization of a repurchase agreement (REPO)			
TM41	Investments can be changed after entry to reflect same day, last minute renegotiations (with appropriate security clearance)			
TM42	System calculates the following:			

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Functional Requirements: Treasury Management**

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Reference Number	Functional Requirements	Response	Answer Submitted	Comments
TM43	Average portfolio yield			
TM44	Average coupon			
TM45	Average days to maturity			
TM46	Average days to call			
TM47	Average daily balances			
TM48	Automatically posts purchased interest on first coupon date			
TM49	System can calculate duration			
TM50	System can produce cash flows and earnings			
TM51	System can calculate liquidity/demand			
TM52	System tracks by CUSIP # or include CUSIP # in identification			
TM53	System computes cash received and interest earned over user-specified time intervals			
TM54	System handles multiple coupon changes			
TM55	System handles variable rate securities			
TM56	System allocate interest to other funds based upon average balances (i.e. user inputs a series of fund balances, system allocates interest earnings to funds proportionately)			

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**Court Accounting and Reporting System  
Functional Requirements: Treasury Management**

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Reference Number	Functional Requirements	Response	Answer Submitted	Comments
TM57	System generates reports by investment type, broker, safekeeping location			
TM58	System performs what-if analysis on projected interest rate changes, security swaps, etc			
TM59	<b>Interfaces</b>			
TM60	Interfaces with bank(s) for account information? Please identify any limits as to numbers of bank accounts in the comments section.			
TM61	Can access more than one bank account through the same interface.			
TM62	Accommodates the following types of system interfaces between AOC and bank:			
TM63	Dial-up			
TM64	EDI			
TM65	HTTPS			
TM66	VPN (or other secured network, please specify)			
TM67	other (Please specify)			
TM68	System produces the following types of data from bank interface(s):			
TM69	current account balance			
TM70	available account balance			

**Attachment E**

**Court Accounting and Reporting System  
Functional Requirements: Treasury Management**

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Reference Number	Functional Requirements	Response	Answer Submitted	Comments
TM71	average collected balance			
TM72	automated clearing house deposits			
TM73	after hours deposits			
TM74	all debits and credits			
TM75	<b>QUERYING / REPORTING</b>			
TM76	Ability to drill-down from any field within the Treasury Management screen.			
TM77	Ability to create ad hoc queries and reports.			
TM78				
TM79	Provides ad-hoc summary reports on user-defined time basis of what investments are coming due			



**ATTACHMENT F  
DISABLED VETERANS BUSINESS ENTERPRISE (DVBE) FORM**



**ATTACHMENT F – DVBE**

Proposer Name: \_\_\_\_\_  
RFP Project Title: \_\_\_\_\_  
RFP Number: \_\_\_\_\_

The State’s goal of awarding at least three percent (3%) of the total dollar contract amount to Disabled Veterans Business Enterprises (DVBE) has been achieved for this project. *Check one:*

Yes \_\_\_\_\_ (**Complete Parts A & C only**)  
No \_\_\_\_\_ (**Complete Parts B & C only**)

*“Contractor’s Tier” is referred to several times below; use the following definitions for tier:*

- 0 = Prime or joint contractor
- 1 = Prime subcontractor/supplier
- 2 = Subcontractor/supplier of level 1 subcontractor/supplier

**PART A – COMPLIANCE WITH DVBE GOALS**

*Fill out this part ONLY if DVBE goal has been met; otherwise fill out Part B.*

INCOMPLETE DOCUMENTATION MAY RESULT IN DISQUALIFICATION FROM FURTHER PARTICIPATION IN THE SELECTION PROCESS FOR THIS CONTRACT.

**PRIME CONTRACTOR**

Company Name: \_\_\_\_\_

Nature of Work: \_\_\_\_\_ Tier: \_\_\_\_\_

Claimed Value: \_\_\_\_\_ DVBE \$ \_\_\_\_\_  
Percentage of Total Contract Cost: \_\_\_\_\_ DVBE \_\_\_\_\_ %





**SUBCONTRACTORS/SUBCONTRACTOR/PROPOSERS/SUPPLIERS**

1. Company Name: \_\_\_\_\_

Nature of Work: \_\_\_\_\_ Tier: \_\_\_\_\_  
 Claimed Value: \_\_\_\_\_ DVBE \$ \_\_\_\_\_

Percentage of Total Contract Cost: DVBE \_\_\_\_\_%

2. Company Name: \_\_\_\_\_

Nature of Work: \_\_\_\_\_ Tier: \_\_\_\_\_  
 Claimed Value: \_\_\_\_\_ DVBE \$ \_\_\_\_\_

Percentage of Total Contract Cost: DVBE \_\_\_\_\_%

3. Company Name: \_\_\_\_\_

Nature of Work: \_\_\_\_\_ Tier: \_\_\_\_\_  
 Claimed Value: \_\_\_\_\_ DVBE \$ \_\_\_\_\_

Percentage of Total Contract Cost: DVBE \_\_\_\_\_%

GRAND TOTAL: DVBE \_\_\_\_\_%

**PART B – ESTABLISHMENT OF GOOD FAITH EFFORT**

*Fill out this Part ONLY if DVBE goal will not be met but you have made a good faith effort to meet such goal.*

INCOMPLETE DOCUMENTATION MAY RESULT IN DISQUALIFICATION FROM FURTHER PARTICIPATION IN THE SELECTION PROCESS FOR THIS CONTRACT.

- List contacts made with personnel from state or federal agencies and with personnel from DVBEs to identify DVBEs.

<i>Source</i>	<i>Person Contacted</i>	<i>Date</i>



STATE OF CALIFORNIA ADMINISTRATIVE OFFICE OF THE COURTS  
Court Accounting and Reporting System

2. List the names of DVBEs identified from contacts made with other state, federal, and local agencies.

<i>Source</i>	<i>Person Contacted</i>	<i>Date</i>

3. If an advertisement was published in trade papers and/or papers focusing on DVBEs, attach proof of publication.

<i>Publication</i>	<i>Date(s) Advertised</i>

4. List the solicitations that were submitted to potential DVBE contractors (company name, person contacted, and date) to be subcontractors. Solicitation must be job-specific to the plan and/or contract.

<i>Company</i>	<i>Person Contacted</i>	<i>Date Sent</i>



5. List the available DVBEs that were considered as subcontractors or suppliers or both. (*Complete each subject line.*)

<b><i>Company Name:</i></b>	
<b><i>Contact Name and Title</i></b>	
<b><i>Telephone Number:</i></b>	
<b><i>Nature of Work</i></b>	
<b><i>Reason Why Rejected</i></b>	

<b><i>Company Name:</i></b>	
<b><i>Contact Name and Title</i></b>	
<b><i>Telephone Number:</i></b>	
<b><i>Nature of Work</i></b>	
<b><i>Reason Why Rejected</i></b>	

<b><i>Company Name:</i></b>	
<b><i>Contact Name and Title</i></b>	
<b><i>Telephone Number:</i></b>	
<b><i>Nature of Work</i></b>	
<b><i>Reason Why Rejected</i></b>	



**Court Accounting and Reporting System**

**CERTIFICATION** *(to be completed by proposer)*

I hereby certify that I have made a diligent effort to ascertain the facts with regard to the representations made herein and, to the best of my knowledge and belief, each firm set forth in this bid as a Disabled Veterans Business Enterprise complies with the relevant definition set forth in section 1896.61 of Title 2, and section 999 of the Military and Veterans Code, California Code of Regulations. In making this certification, I am aware of section 10115 et seq. of the Government Code that establishes the following penalties for State Contracts:

Penalties for a person guilty of a first offense are a misdemeanor, civil penalty of \$5,000, and suspension from contracting with the State for a period of not less than thirty (30) days nor more than one (1) year.

Penalties for second and subsequent offenses are a misdemeanor, a civil penalty of \$20,000, and suspension from contracting with the State for up to three (3) years.

IT IS MANDATORY THAT THE FOLLOWING BE COMPLETED ENTIRELY; FAILURE TO DO SO WILL RESULT IN IMMEDIATE REJECTION.

<b><i>Firm Name of Proposer:</i></b>	
<b><i>Signature of Person Signing for Proposer:</i></b>	
<b><i>Name (Printed) of Person Signing for Proposer:</i></b>	
<b><i>Title of Above-Named Person:</i></b>	
<b><i>Date:</i></b>	

**PART C – CONTRACT AMOUNT CERTIFICATION**

*To be filled out by all proposers.*

I hereby certify that the “Contract Amount,” as defined herein, is the amount of \$ \_\_\_\_\_. I understand that the “Contract Amount” is the total dollar figure against which the DVBE participation requirements will be evaluated.

<b><i>Firm Name of Proposer:</i></b>	
<b><i>Signature of Person Signing for Proposer:</i></b>	
<b><i>Name (Printed) of Person Signing for Proposer:</i></b>	
<b><i>Title of Above-Named Person:</i></b>	
<b><i>Date:</i></b>	

