



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

FINANCE DIVISION

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

**FROM:** ADMINISTRATIVE OFFICE OF THE COURTS  
INFORMATION SERVICES DIVISION

**DATE:** April 24, 2009

**SUBJECT/PURPOSE OF MEMO:** **REQUEST FOR PROPOSALS**  
Information Services Division, a division of the Administrative Office of the Courts, seeks the services of one (1) consultant to provide assistance for the e-Filing Deployment Program.

**ACTION REQUIRED:** You are invited to review and respond to the attached Request for Proposal (RFP),  
Project Title: E-FILING DEPLOYMENT PROGRAM  
RFP Number: ISD 200817-LM

**QUESTIONS TO THE SOLICITATIONS MAILBOX:** Questions regarding this RFP should be directed to [Solicitations@jud.ca.gov](mailto:Solicitations@jud.ca.gov) by **Friday, May 1, 2009, at close of business.**

**DATE AND TIME PROPOSAL DUE:** There will not be a pre-proposal conference for this RFP.  
Proposals must be received by **Friday, May 8, 2009, at close of business.**

**SUBMISSION OF PROPOSAL:** Proposals must be sent to:  
**Judicial Council of California**  
**Administrative Office of the Courts**  
**Attn: Nadine McFadden, RFP No. ISD 200817-LM**  
**455 Golden Gate Avenue, 7th Floor**  
**San Francisco, CA 94102-3688**

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

### **1.0 GENERAL INFORMATION**

#### **1.1 BACKGROUND**

The Judicial Council of California, chaired by the Chief Justice of California, is the chief policy making agency of the California judicial system. The California Constitution directs the Council to improve the administration of justice by surveying judicial business, recommending improvements to the courts, and making recommendations annually to the Governor and the Legislature. The Council also adopts rules for court administration, practice, and procedure, and performs other functions prescribed by law. The Administrative Office of the Courts (AOC) is the staff agency for the Council and assists both the Council and its chair in performing their duties.

#### **1.2 INFORMATION SERVICES DIVISION**

The Information Services Division (ISD) coordinates court technology statewide, and supports coordination throughout the Judicial Branch; manages centralized statewide technology projects; manages centralized statewide technology projects; and optimizes the scope and accessibility of accurate statewide judicial information.

#### **1.3 E-FILING PROGRAM**

1.3.1 The e-Filing Program, a component of the Administrative Office of the Courts Data Integration Unit, is charged with supporting the design and implementation of e-filing systems for the courts of California.

1.3.2 The e-Filing Program is now preparing to support the deployment of e-filing functionality in Version 3 and Version 4 of the California Courts Case Management System (CCMS).

1.3.3 The deployment of e-filing functionality includes supporting courts in the procurement of e-filing service provider services, the testing of e-filing functionality, the connection of systems to the California Courts Technology Center, supporting the evaluation and approval of functionality up and to the point of bringing a system into production.

1.3.3.1 The effort will be broken into several phases:

1.3.3.1.1 Establishment of a deployment timeline for the courts using CCMS V3. (Month 1)

1.3.3.1.2 Deployment of one or more CCMS V3 proof of concept courts for e-filing, including project management of product testing, defect resolution, system connectivity, vendor management, and

communication to court management up to and through the successful deployment of e-filing. (Month 8)

- 1.3.3.1.3 Initiate deployment of e-filing with one or two additional courts using CCMS V3. (Month 10 and 11)
- 1.3.3.1.4 Participation in and review of a proposed “E-Filing Center of Excellence,” which will include tools and documents to assist the team management to prepare for the statewide deployment of e-filing with CCMS V4. (Month 12)

## 2.0 TIMELINE FOR THIS RFP

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

EVENT	KEY DATE
Issue date of RFP	Friday, April 24, 2009
Deadline for questions to <a href="mailto:solicitations@jud.ca.gov">solicitations@jud.ca.gov</a>	Friday, May 1, 2009 at close of business
Posting of Answers to Questions	Tuesday, May 5, 2009
Latest date and time proposal may be submitted	Friday May 8, 2009 at close of business
Evaluation of proposals ( <i>estimate only</i> )	Monday through Thursday May 11-14, 2009
Interview of top ranked candidates ( <i>estimate only</i> )	Monday through Wednesday May 18-20, 2009
Notice of Intent to Award ( <i>estimate only</i> )	Tuesday, May 26, 2009
Negotiations and execution of contract ( <i>estimate only</i> )	Friday, June 12, 2009

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

- 3.1 The AOC seeks the services of one consultant to perform Deployment responsibilities for *twelve (12) months* relating to e-filing. Thereafter, the State, in its sole discretion, has the option to extend the term of the Agreement by amendment for an additional period on the same terms and conditions applicable during the first 12-month term.
- 3.2 The expected contractual responsibilities and work requirements are set forth in *Exhibit D, Work to be Performed*.

#### **4.0 RFP ATTACHMENTS**

Included as part of this RFP are the following attachments:

- 4.1. Attachment 1 - Administrative Rules Governing Request for Proposals. Proposers shall follow the rules, set forth in *Attachment 1*, in preparation and submittal of their proposals.
- 4.2. Attachment 2 - Contract Terms. Contracts with successful firms will be signed by the parties on a State of California Standard Agreement form and will include terms appropriate for this project. Terms and conditions typical for the requested services are attached as *Attachment 2* and include *Exhibits A through F*.
- 4.3. Attachment 3 - Vendor's Acceptance of the RFP's Contract Terms. Proposers must either indicate acceptance of Contract Terms, as set forth in *Attachment 2*, or clearly identify exceptions to the Contract Terms, as set forth in this *Attachment 3*.
  - 4.3.1 If exceptions are identified, then proposers must also submit (i) a redlined version of *Attachment 2*, that clearly tracks proposed changes to this Attachment, and (ii) written documentation to substantiate each such proposed change.
- 4.4. Attachment 4 - Payee Data Record Form. The AOC is required to obtain and keep on file, a completed Payee Data Record for each vendor prior to entering into a contract with that vendor. Therefore, vendor's proposal must include a completed and signed *Payee Data Record Form*, set forth as *Attachment 4*.

#### **5.0 EVALUATION OF PROPOSALS**

Proposals will be evaluated by the AOC using the following criteria, in order of descending priority. Each proposed candidate will be evaluated separately in accordance with these criteria:

- 5.1 *Specialized expertise and technical competence (36 Total Possible Points)*. Proposals will be evaluated considering the type of services required and the complexity of the project, with special consideration as listed in section 6.1.1, below.
- 5.2 *Past record of performance (26 Total Possible Points)*. Proposals will be evaluated considering past performance, especially on contracts with government agencies or public bodies, including such factors as quality of work, ability to meet schedules, cooperation, responsiveness, and other IT technical considerations.
- 5.3 *Reasonableness of cost projections (20 Total Possible Points)*. Proposals will be evaluated in terms of reasonableness of cost, proposed rate structure for the position, including breakdown of salary, overhead and profit.
- 5.4 *Ability to meet requirements of the project (10 Total Possible Points)*. Proposals will be evaluated in terms of compliance with proposed contract terms and project scheduling.

5.5 *Company Stability and Capabilities (8 Total Possible Points)*. Proposals will be evaluated in terms of the agency's stability and capabilities as demonstrated in 6.5, below.

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

**Proposals must not contain more than two (2) candidates for consideration as key personnel.**

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

6.1 *Specialized expertise and technical competence.*

6.1.1 Demonstrate the proposed key personnel's relevant experience and technical competence, especially in the areas below:

- Minimum of 10 years of IT overall experience.
- Minimum of 5 years for Project Management experience.
- Good communication skills, with both technical and non-technical audiences including creating and presenting executive summaries to steering committees and other executive level leadership.
- Ability to manage programs and develop and maintain complex project plans.
- Ability to identify and evaluate alternative solutions, costs and benefits.
- Strong analytical capabilities and the ability to breakdown complex ideas into manageable pieces.
- Knowledge of the principles of systems design, implementation, and development.
- Court Systems experience is a plus.

6.1.2 Provide the most recent resume and the names, physical and electronic addresses, and telephone numbers of a minimum of three (3) clients for whom the proposed key personnel has conducted similar services. The AOC may check references listed by the proposer.

6.2. *Past record of performance.* Discuss the proposed key personnel's record of performance on past projects, especially on contracts with government agencies or public bodies, including such factors as breadth of document management and capture experience, complexity and scope of past analysis work, quality of work, ability to meet schedules, cooperation, responsiveness, and other managerial considerations.

6.2.1 Provide the most recent resume and the names, physical and electronic addresses, and telephone numbers of a minimum of three (3) clients for whom the proposed key personnel has conducted similar services. The AOC may check references listed by the proposer.

6.3 *Reasonableness of cost projections.*

6.3.1 Provide the fully burdened hourly rate of each proposed key personnel, and include the salary, overhead, and profit rate structure breakdown for the rate per year for two (2) years using the following formula:

Amt Payable To The Key Personnel	\$XX.XX	XX%
+ Amt Allocated to Proposer's Overhead	\$XX.XX	XX%
+ Amt Allocated to Proposer's Profit	\$XX.XX	XX%
= Total For Key Personnel	\$XXX.XX	100%

6.3.2 The cost proposal should also include separate line items for travel and lodging. Travel expenses, if any, will be reimbursed in accordance with the provisions set forth in *Exhibit C, Payment Provisions*. For purposes of this RFP, vendors are to assume allowable travel expenses will not exceed **\$25,000.00** per year, as set forth in *Exhibit C, Payment Provisions, paragraph 4*. In order to achieve travel cost projections for this project, the AOC prefers candidates with a local presence in the San Francisco Bay Area.

6.3.3 Include a total not to exceed contract sum for the work and allowable expenses considered by this RFP, bearing in mind that (i) the total cost for any one consultant's services will range between **\$175,000.00 - \$230,000.00** per year, inclusive of personnel, materials, overhead, profit, and travel costs and expenses, and (ii) the method of payment to the consultant is anticipated to be by cost reimbursement.

6.4 *Ability to meet requirements of the project.*

6.4.1 Discuss the key personnel's availability and ability to complete the work within the project schedule, set forth in *Exhibit D, Work to be Performed*.

6.4.2 For purposes of this RFP, vendors are to estimate a total of **1,984 hours** of work per year for two (2) years; additionally, the eventual contractor will not work more than thirty-six (36) hours per week unless pre-approved, in writing, by the Project Manager.

6.4.3 Compliance with Contract Terms. Complete and submit Attachment 3, *Vendor's Acceptance of the RFP's Contract Terms*. Also, if changes are proposed, submit a version of *Attachment 2* with all tracked changes, as well as written justification supporting any such proposed changes.

6.4.4 Tax recording information. Complete and submit *Attachment 4, Payee Data Record Form*, or provide a copy of the form previously submitted to the AOC.

6.5 *Company Stability and Capabilities*

Provide the following information about your agency:

- 6.5.1 Proposer's point of contact, including name, physical and electronic addresses, and telephone and facsimile numbers in a cover letter.
- 6.5.2 Number of years your agency has been in the business of providing technical staffing.
- 6.5.3 Number of full time employees (do not count placed candidates unless they are employees of your agency).
- 6.5.4 Disclose any judgments, pending litigation, or other real or potential financial reversals that might materially affect the viability of the proposer's agency.
- 6.5.5 Annual gross revenue from your most recent audited or reviewed profit and loss statement and balance sheet. State the audit/review year and the annual gross revenue. The AOC may request a copy of your most recent audited or reviewed profit and loss statement and balance sheet.
- 6.5.6 Pre-screening, background checks, testing, and interview procedures.
- 6.5.7 Process regarding replacing a candidate if necessary.
- 6.5.8 Provide a description of what, if any, health benefits, or other benefits your agency provides to your proposed candidates.

## **7.0 SUBMISSIONS OF PROPOSALS**

- 7.1 The proposer shall provide their point of contact, including name, physical and electronic addresses, and telephone and facsimile numbers in a cover letter.
- 7.2 Responsive proposals should provide straightforward, concise information that satisfies the requirements noted in items *RFP: 6.0 Specifics of a Responsive Technical Proposal*, above. Expensive bindings, color displays, and the like are not necessary or desired. Emphasis should be placed on conformity to the state's instructions, requirements of this RFP, and completeness and clarity of content
- 7.2 Proposers will submit **one (1) original and three (3) copies** of the technical proposal signed by an authorized representative of the company, including name, title, address, and telephone number of one individual who is the proposer's designated representative. Proposers are also required to submit an electronic version of the **entire proposal on CD-ROM**.

**IMPORTANT. Proposers may submit up to two (2) candidates for consideration as key personnel. Proposals with more than two (2) candidates may not be evaluated.**

- 7.3 Proposals must be delivered to the individual listed under Submission of Proposals, as set forth on the cover memo of this RFP.
- 7.4 Only written responses will be accepted. Responses should be sent by registered or certified mail or by hand delivery.
- 7.5 In addition to submittal of the original and three copies of the proposals, as set forth in Section 7.2, above, proposers are also required to submit an electronic version of the entire proposal on CD-ROM.

## **8.0 INTERVIEWS**

The AOC anticipates conducting interviews with top ranked proposed key personnel candidates to clarify aspects set forth in the written proposal. If conducted, interviews will likely be conducted at the AOC's offices in San Francisco. The AOC will not reimburse candidates for any costs incurred in traveling to or from the interview location. The AOC will notify prospective vendors regarding interview arrangements.

## **9.0 RIGHTS**

The AOC reserves the right to reject any and all proposals, in whole or in part, as well as the right to issue similar RFPs in the future. This RFP is in no way an agreement, obligation, or contract and in no way is the AOC or the State of California responsible for the cost of preparing the proposal. One copy of a submitted proposal will be retained for official files and becomes a public record.

## **10.0 CONFIDENTIAL OR PROPRIETARY INFORMATION**

The Administrative Office of the Courts policy is to follow the intent of the California Public Records Act (PRA). If a vendor's proposal contains material noted or marked as confidential and/or proprietary that, in the AOC's sole opinion, meets the disclosure exemption requirements of the PRA, then that information will not be disclosed pursuant to a request for public documents. If the AOC does not consider such material to be exempt from disclosure under the PRA, the material will be made available to the public, regardless of the notation or markings. If a vendor is unsure if its confidential and/or proprietary material meets the disclosure exemption requirements of the PRA, then it should not include such information in its proposal.

***END OF FORM***