

# REQUEST FOR INFORMATION

ADMINISTRATIVE OFFICE OF THE COURTS (AOC)

## **REGARDING:**

STATEWIDE DOCUMENT MANAGEMENT & CAPTURE SOLUTIONS RFI# ISD-2010DMS-RB

## **RESPONSES DUE:**

CLOSE OF BUSINESS, AUGUST 30, 2010

### I. Invitation to Respond

You are invited to respond with information (submissions) to assist the Judicial Council of California, Administrative Office of the Courts (AOC), in identifying prospective service providers that have the capabilities to provide Document Management System (DMS) solutions for the California Judicial Branch. Please use the information contained in this document and the format requested as the basis for your response. Responses to this Request For Information (RFI) may be used to draft a Request For Proposals (RFP) for a pilot opportunity at a trial court.

#### A. Background

The Judicial Council of California, chaired by the Chief Justice of California, is the chief policy making agency of the California judicial branch. The AOC is the staff agency of the Judicial Council. The AOC is responsible for a number of Judicial Branch programs and services to improve access to a fair and impartial judicial system in the State of California. It provides statewide support to the Courts in the fields of information technology, personnel, finance, legal, research, and purchasing. The Information Services Division (ISD) coordinates and supports court technology statewide, manages centralized statewide technology efforts, and optimizes the scope and accessibility of accurate statewide Judicial Branch information. DMS products and services that can benefit statewide courts and AOC divisions are to be considered in this RFI.

#### **B.** Description

The objective of this RFI is to gather information on vendors capable of providing solutions to address in-full or categories of the required DMS solutions.

A DMS is defined as that subset of enterprise content management features that are required to fulfill the requirements of the State of California Judicial Branch to capture, store, manage, preserve and deliver electronic content. The term "content" here includes paper of any size, Microfilm, Electronic Documents - (PDF, XML, and DOC), Rich Media - (picture, video, audio and Computer Aided Design drawings).

Please use the information contained in this document and the format requested as the basis for your submission.

#### II. Requirements

The AOC is requesting vendors with products, services and/or solutions in the Document Management & Capture domain to respond with information on their resources, capabilities, pricing methodology, experience and qualifications to the California Judicial Branch in this RFI.

## **III.** Response Format

The following is an outline for responding to this RFI. This outline is intended to minimize the effort of the respondent and structure the responses for ease of analysis by the AOC. Please adhere to this format without compromising your response.

#### **Section 1: Profile**

Describe your company, including its:

- history;
- ownership and management structure;
- business practices;
- products and services;
- locations;
- human, technological and other resources;
- financial profile; and
- other information you deem relevant.

## **Section 2: Experience and Capability**

- Describe your firm's experience and capabilities in providing document management and capture product and service solutions.
  - Please provide examples of previous and ongoing implementations, including courts or other judicial branch departments in California or in other states.
  - Please describe your firm's ability to deploy DMS solutions to an organization of similar size and/or operational mission of the California Judicial branch.

#### **Section 3: Functional**

- Briefly describe the functionality of products and services that your firm currently offers. Please do not include sub-contracted services, as we are interested in your firm's capabilities.
  - o Document management and capture products or services currently offered.
  - The extent of functionality that can be achieved with your DMS software solutions with configuration only – without custom delivery of programming code.
  - Briefly describe how your products and or services support an integrated enterprise environment including distributed, regional and centralized document capture, storage and retrieval

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- Briefly describe how your product or service solutions align more closely than others in the marketplace with Current AOCNetworking and Computing Environments as describe in Attachment 1 of this RFI.
- o Briefly describe how your products or service solutions align more closely than others in the marketplace with the AOC DMS Technical Focus Areas as described in Attachment 2of this RFI.
- Briefly describe how your products or service solutions exceed others in the marketplace in enabling the AOC to efficiently meet State of California Government Code § 68150, "Preservation of trial court records; standards; copies; storage; accessibility of records" as set forth in Attachment 3 of this RFI.

## **Section 4: Pricing**

- Describe how pricing is calculated and include, where appropriate, information and cost drivers on:
  - o Availability of Multi-year enterprise wide master agreements
  - o Existing cost-sharing models with courts.
  - o What products or services are one-time costs
  - o Ongoing costs (per transaction, per subscription, etc.)
  - o Onsite scanning and index services
  - o Maintenance
  - Volume discounts
  - o Other pricing information you deem relevant

#### **Section 5: Additional Information**

 Provide any other information, materials, suggestions, and discussion you deem appropriate.

#### **IV.** Submission Information

#### A. Disclaimer

This RFI is issued for information and planning purposes only and does not constitute a solicitation. Responses to the RFI will not be returned. A response to this notice is not an offer and cannot be accepted by the AOC to form a binding contract. Responders are solely responsible for all expenses associated with responding to this RFI.

#### CONFIDENTIAL OR PROPRIETARY INFORMATION

The Administrative Office of the Courts is bound by California Rules of Court 10.500, which can be found at <a href="http://www.courtinfo.ca.gov/rules/">http://www.courtinfo.ca.gov/rules/</a> with respect to disclosure of its administrative records. Respondents may note or mark portions of the information submitted in response to this RFI indicating that the information contains material that is confidential and/or proprietary. If the AOC disagrees, the respondent will be given an opportunity to withdraw the information.

If the AOC receives a request for public access to material submitted in response to this RFI, the AOC will determine, in its sole opinion, whether marked material is exempt from disclosure under rule 10.500 or other applicable law. If the AOC, in its sole opinion, finds or reasonably believes that the material so marked is exempt from disclosure, that material will not be disclosed. If the AOC finds or reasonably believes that the material so marked is **not** exempt from disclosure, the AOC will contact the respondent with a request to substantiate its claim for confidential treatment, but may disclose the information pursuant to rule 10.500 and other applicable law regardless of the marking or notation seeking confidential treatment.

## **B.** Closing Date for Submission and Contact Information

All communication with the AOC must be in writing and must be directed to the AOC single Point of Contact (POC) for this RFI at the following email address: solicitations@jud.ca.gov

Interested parties must not contact any court or other judicial branch entity regarding this RFI except as provided above. Submissions should provide straightforward and concise responses to the requests for information set forth in this RFI.

#### The closing date for submissions is August 30, by Close of Business.

Submissions may be emailed to: solicitations@jud.ca.gov

Or, you may deliver your submission and any supplemental hardcopy materials to:

Judicial Council of California Administrative Office of the Courts Attn: Nadine McFadden – RFI# ISD-2010DMS-RB 455 Golden Gate Avenue San Francisco, CA 94102-3688

#### C. Information Exchange

After the AOC has reviewed the submitted material, your firm may be contacted and asked to participate in an information exchange with the AOC. The objective of this forum is to gain further understanding of your proposed approach.

#### D. Rights of AOC

Notwithstanding anything else in this RFI, the AOC has the unqualified right to:

- change any of the dates, schedule, deadlines, process and requirements described in this RFI
- supplement, amend or otherwise modify this RFI
- elect to cancel or to not proceed with the RFI for any reason whatsoever, without incurring any liability for costs or damages incurred by any interested parties or potential interested parties.

The AOC has the right to require clarification or accept or request new or additional information from any or all interested parties without offering other interested parties the same opportunity, and to interview any or all interested parties. The AOC may independently verify any information in any submission.

The AOC reserves the right to amend or modify one or more provisions of this RFI by written notice posted on the RFI website prior to the closing date.

The AOC reserves the right to invite one or more interested parties to meetings, for interviews or to make individual presentations.

# **Current AOC Networking and Computing Environment**

- 1.1 The Administrative Office of the Courts (AOC) seeks information that may provide a solution that will integrate well with the existing technical architecture. Additionally, the solution should be scalable to support continued growth of the California Judicial Branch (Branch) throughout the state.
- 1.2 The majority of the Branch is using Microsoft Exchange 2003 as well as the Microsoft Office professional suite of applications (Word, Excel, etc) for office automation. However, Microsoft Exchange is not an established standard and some courts are using other products. The AOC is migrating to the Windows 7 Client operating system.
- 1.3 The solution needs to integrate with existing DMS solutions already deployed throughout the Branch.
- 1.4 The AOC has developed a centrally hosted shared services model with an outsourced co-location facility California Court Technology Center (CCTC) where all servers are to be hosted in a highly available and secure manner. The Managed Service Provider has standardized monitoring with BMC patrol and a preferred solution will include integration with the implemented monitoring toolset. Larger trial Courts may have locally hosted deployments with customized toolsets.
- 1.5 The solution will be highly available with a redundant infrastructure that supports automated failover in case of component failure. Load sharing based solutions are preferable over hot standbys. As part of the co-location's business contingency strategy, there is a secondary site for Disaster Recovery (DR). The DR strategy relies heavily on Storage Area Network (SAN) to (SAN) data replication, so a solution that would allow utilizing the existing solution would be preferred.
- 1.6 The network connecting the different business units (AOC, trial/appellate courts and others) is an IP network hub and spoke model with leased lines between the co-location facility and the offices. The AOC has standardized on a Cisco Network infrastructure.
- 1.7 The current identity management solution implemented within the co-location facility is based on Oracle's suite of security products to provide a standard solution for user authentication. It is important that all new solutions implemented are fully integrated to work with the security framework designed at the co-location facility and can operate within a federated security model. The DMS vendor will be responsible to prove the integration and support it as part of the maintenance of the DMS product.

# **Current AOC Networking and Computing Environment**

- 1.8 The AOC, California Supreme Court and Courts of Appeal are trying to standardize on Microsoft and Sun Solaris Unix based solutions with off the shelf or original equipment manufacturer (OEM) products customized to the AOC environment.
- 1.9 Oracle is the preferred choice of the AOC for relational database management. Other database solutions are currently used as part of the core AOC hosted service offering, but in an effort to standardize, any solution that supports the most current version of Oracle in a multi-host real application clustering implementation will be preferred.
- 1.10 The solution needs to be capable of seamlessly integrating into our Integrated Service Backbone (ISB) for exchanging data to and from any other systems hosted either within the co-location facility or externally in local Court document management system. The AOC has implemented the Integrated Services Backbone based on the product suite from TIBCO. A solution that has a J2EE, Java API and exposes its functionality with web-services will be preferred.
- 1.11 The AOC utilizes an enterprise level EMC solution for centralized storage (storage area network) that should be used for any storage of live data. The Managed Service Provider is utilizing standard enterprise solutions for backups and restores.
- 1.12 The AOC will seek a solution that can be implemented in an n-tier environment with a thin client front-end. The proposed solution must be able to operate in a 'defense in depth' infrastructure environment.
- 1.13 All communication between clients and applications needs to be HTTPS.

## **AOC DMS Technical Focus Areas**

#### **Training**

- Resources available
- Level of difficulty for administrators
- · Level of difficulty for end-users
- Train-the-Trainer capabilities

#### Capture

- Software integrated, external, or both
- Image formats
- XML (inbound files from Line of Business systems )
- · Amount of human interaction required
- How duplex documents are handled
- Index mechanism
- OCR mechanism
- Quality assurance process
- Support for distributed and centralized document capture
- Importing mechanism, requirements, and limitations
- Electronic reports from Line of Business Systems

#### Manage

- Document annotations
- Multi-level configurable security model
- Revision control
- Image markup
- Administrative reporting
- Integrated workflow capabilities
- Electronic forms capabilities
- Redaction technology

#### Store

- Search capabilities (federated electronic search and retrieval across multiple content repositories)
- Metadata model, configuration, manipulation, maintenance, and retrieval
- Supported file formats
- Infrastructure, architecture, , redundancy,
- XML (from Line Of Business systems )
- Repositories (Check In/Out, Audit Trails, Version Control)

#### **Preserve**

- Mechanism for implementing retention policies
- Document audit history
- Integration with physical storage management

## **AOC DMS Technical Focus Areas**

- Long-term storage and archival
- Capabilities for conversion or migration of legacy media

#### **Deliver**

- Encryption and security
- Document distribution methods
- Types of print functionality
- Notification mechanisms
- Web and Portal technologies
- XML output

## Integration

- Web services interface
- J2EE (JAVA) API for integration with SOA's
- Microsoft Office integration
- Functional capabilities that can achieved through configuration of the Out-of-the-Box product without custom delivery of programming code.

# State of California Government Code § 68150.

#### § 68150. Preservation of trial court records; standards; copies; storage; accessibility of records

(a) Trial court records may be preserved in any form of communication or representation, including optical, electronic, magnetic, micrographic, or photographic media or other technology capable of accurately producing or reproducing the original record according to minimum standards or guidelines for the preservation and reproduction of the medium adopted by the American National Standards Institute or the Association for Information and Image Management.

Specifications for electronic recordings made as the official record of the oral proceedings shall be governed by the California Rules of Court.

- (b) No additions, deletions, or changes shall be made to the content of the record. The records shall be indexed for convenient access.
- (c) A copy of the record preserved or reproduced according to subdivisions (a) and (b) shall be deemed the original court record and may be certified as a correct copy of the original record.
- (d) A court record preserved or reproduced in accordance with subdivisions (a) and (b) shall be stored in a manner and in a place that reasonably assures its preservation against loss, theft, defacement, or destruction for the prescribed retention period under Section 68152. Electronic recordings made as the official record of the oral proceedings shall not require a backup copy unless otherwise specified in the California Rules of Court.
- (e) The court record that was reproduced in accordance with subdivisions (a) and (b) may be disposed of in accordance with the procedure under Section 68153, unless it is subject to subdivision (f).
- (f) The following court records may be preserved or reproduced under subdivisions (a) and (b) but shall also be preserved on paper, microfilm, or in another form of communication or representation approved by and in accordance with standards that are defined as archival by the American National Standards Institute for the duration of the record's retention period:
- (1) The comprehensive historical and sample superior court records preserved for research under the California Rules of Court.
- (2) Court records that are preserved permanently.

Court records that must be preserved longer than 10 years but not permanently may be reproduced on media other than paper or microfilm using technology authorized under subdivisions (a) and (b). However the records shall be reproduced before the expiration of their estimated lifespan for the medium in which they are stored as specified in subdivision (g).

- (g) Instructions for access to data stored on a medium other than paper shall be documented. Each court shall conduct a periodic review of the media in which the court records are stored to assure that the storage medium is not obsolete and that current technology is capable of accessing and reproducing the records. The court shall reproduce records before the expiration of their estimated lifespan for the medium in which they are stored according to minimum standards and guidelines for the preservation and reproduction of the medium adopted by the American National Standards Institute or the Association for Information and Image Management.
- (h) Court records preserved or reproduced under subdivisions (a) and (b) shall be made reasonably accessible to all members of the public for viewing and duplication as would the paper records. Reasonable provision shall be made for duplicating the records at cost. Cost shall consist of all costs associated with duplicating the records as determined by the court.

# State of California Government Code § 68150.

#### § 68151. Definitions

The following definitions apply to this chapter:

- (a) "Court record" shall consist of the following:
- (1) All filed papers and documents in the case folder; but if no case folder is created by the court, all filed papers and documents that would have been in the case folder if one had been created.
- (2) Administrative records filed in an action or proceeding, depositions, paper exhibits, transcripts, including preliminary hearing transcripts, and tapes of electronically recorded proceedings filed, lodged, or maintained in connection with the case, unless disposed of earlier in the case pursuant to law.
- (3) Other records listed under subdivision (j) of Section 68152.
- (b) "Notice of destruction and no transfer" means that the clerk has given notice of destruction of the superior court records open to public inspection, and that there is no request and order for transfer of the records as provided in the California Rules of Court.
- (c) "Final disposition of the case" means that an acquittal, dismissal, or order of judgment has been entered in the case or proceeding, the judgment has become final, and no postjudgment motions or appeals are pending in the case or for the reviewing court upon the mailing of notice of the issuance of the remittitur.

In a criminal prosecution, the order of judgment shall mean imposition of sentence, entry of an appealable order (including, but not limited to, an order granting probation, commitment of a defendant for insanity, or commitment of a defendant as a narcotics addict appealable under Section 1237 of the Penal Code), or forfeiture of bail without issuance of a bench warrant or calendaring of other proceedings.

(d) "Retain permanently" means that the original court records shall never be transferred or destroyed.

#### § 68152. Destruction of records; notice; retention periods

The trial court clerk may destroy court records under Section 68153 after notice of destruction and if there is no request and order for transfer of the records, except the comprehensive historical and sample superior court records preserved for research under the California Rules of Court, when the following times have expired after final disposition of the case in the categories listed:

- (a) Adoption: retain permanently.
- (b) Change of name: retain permanently.
- (c) Other civil actions and proceedings, as follows:
- (1) Except as otherwise specified: 10 years.
- (2) Where a party appears by a guardian ad litem: 10 years after termination of the court's jurisdiction.
- (3) Domestic violence: same period as duration of the restraining or other orders and renewals, then retain the restraining or other orders as a judgment; 60 days after expiration of the temporary protective or temporary restraining order.

# State of California Government Code § 68150.

- (4) Eminent domain: retain permanently.
- (5) Family law, except as otherwise specified: 30 years.
- (6) Harassment: same period as duration of the injunction and renewals, then retain the injunction as a judgment; 60 days after expiration of the temporary restraining order.
- (7) Mental health (Lanterman Developmental Disabilities Services Act and Lanterman-Petris-Short Act): 30 years.
- (8) Paternity: retain permanently.
- (9) Petition, except as otherwise specified: 10 years.
- (10) Real property other than unlawful detainer: retain permanently if the action affects title or an interest in real property.
- (11) Small claims: 10 years.
- (12) Unlawful detainer: one year if judgment is for possession of the premises; 10 years if judgment is for money.
- (d) Notwithstanding subdivision (c), any civil or small claims case in the trial court:
- (1) Involuntarily dismissed by the court for delay in prosecution or failure to comply with state or local rules: one year.
- (2) Voluntarily dismissed by a party without entry of judgment: one year.

Notation of the dismissal shall be made on the civil index of cases or on a separate dismissal index.

- (e) Criminal.
- (1) Capital felony (murder with special circumstances where the prosecution seeks the death penalty): retain permanently. If the charge is disposed of by acquittal or a sentence less than death, the case shall be reclassified.
- (2) Felony, except as otherwise specified: 75 years.
- (3) Felony, except capital felony, with court records from the initial complaint through the preliminary hearing or plea and for which the case file does not include final sentencing or other final disposition of the case because the case was bound over to the superior court: five years.
- (4) Misdemeanor, except as otherwise specified: five years.
- (5) Misdemeanor alleging a violation of the Vehicle Code, except as otherwise specified: three years.
- (6) Misdemeanor alleging a violation of Section 23103, 23152, or 23153 of the Vehicle Code: 10 years.
- (7) Misdemeanor alleging a violation of Section 14601, 14601.1, 20002, 23104, 23105, 23109, or 23109.1 of the Vehicle Code: five years.
- (8) Misdemeanor alleging a marijuana violation under subdivision (b), (c), (d), or (e) of Section 11357 of the Health and Safety Code, or subdivision (b) of Section 11360 of the Health and Safety Code in accordance with the

# State of California Government Code § 68150.

procedure set forth in Section 11361.5 of the Health and Safety Code: records shall be destroyed two years from the date of conviction or from the date of arrest if no conviction.

- (9) Misdemeanor, infraction, or civil action alleging a violation of the regulation and licensing of dogs under Sections 30951 to 30956, inclusive, of the Food and Agricultural Code or violation of any other local ordinance: three years.
- (10) Misdemeanor action resulting in a requirement that the defendant register as a sex offender pursuant to Section 290 of the Penal Code: 75 years. This paragraph shall apply to records relating to a person convicted on or after September 20, 2006.
- (11) Infraction, except as otherwise specified: three years.
- (12) Parking infractions, including alleged violations under the stopping, standing, and parking provisions set forth in Chapter 9 (commencing with Section 22500) of Division 11 of the Vehicle Code: two years.
- (f) Habeas corpus: same period as period for retention of the records in the underlying case category.
- (g) Juvenile.
- (1) Dependent (Section 300 of the Welfare and Institutions Code): upon reaching age 28 or on written request shall be released to the juvenile five years after jurisdiction over the person has terminated under subdivision (a) of Section 826 of the Welfare and Institutions Code. Sealed records shall be destroyed upon court order five years after the records have been sealed pursuant to subdivision (c) of Section 389 of the Welfare and Institutions Code.
- (2) Ward (Section 601 of the Welfare and Institutions Code): upon reaching age 21 or on written request shall be released to the juvenile five years after jurisdiction over the person has terminated under subdivision (a) of Section 826 of the Welfare and Institutions Code. Sealed records shall be destroyed upon court order five years after the records have been sealed under subdivision (d) of Section 781 of the Welfare and Institutions Code.
- (3) Ward (Section 602 of the Welfare and Institutions Code): upon reaching age 38 under subdivision (a) of Section 826 of the Welfare and Institutions Code. Sealed records shall be destroyed upon court order when the subject of the record reaches the age of 38 under subdivision (d) of Section 781 of the Welfare and Institutions Code.
- (4) Traffic and some nontraffic misdemeanors and infractions (Section 601 of the Welfare and Institutions Code): upon reaching age 21 or five years after jurisdiction over the person has terminated under subdivision (c) of Section 826 of the Welfare and Institutions Code. May be microfilmed or photocopied.
- (5) Marijuana misdemeanor under subdivision (e) of Section 11357 of the Health and Safety Code in accordance with procedures specified in subdivision (a) of Section 11361.5 of the Health and Safety Code: upon reaching age 18 the records shall be destroyed.
- (h) Probate.
- (1) Conservatorship: 10 years after decree of termination.
- (2) Guardianship: 10 years after the age of 18.
- (3) Probate, including probated wills, except as otherwise specified: retain permanently.
- (i) Court records of the appellate division of the superior court: five years.
- (j) Other records.

# State of California Government Code § 68150.

- (1) Applications in forma pauperis: any time after the disposition of the underlying case.
- (2) Arrest warrant: same period as period for retention of the records in the underlying case category.
- (3) Bench warrant: same period as period for retention of the records in the underlying case category.
- (4) Bond: three years after exoneration and release.
- (5) Coroner's inquest report: same period as period for retention of the records in the underlying case category; if no case, then permanent.
- (6) Court orders not associated with an underlying case, such as orders for destruction of court records for telephone taps, or to destroy drugs, and other miscellaneous court orders: three years.
- (7) Court reporter notes: 10 years after the notes have been taken in criminal and juvenile proceedings and five years after the notes have been taken in all other proceedings, except notes reporting proceedings in capital felony cases (murder with special circumstances where the prosecution seeks the death penalty and the sentence is death), including notes reporting the preliminary hearing, which shall be retained permanently, unless the Supreme Court on request of the court clerk authorizes the destruction.
- (8) Electronic recordings made as the official record of the oral proceedings under the California Rules of Court: any time after final disposition of the case in infraction and misdemeanor proceedings, 10 years in all other criminal proceedings, and five years in all other proceedings.
- (9) Electronic recordings not made as the official record of the oral proceedings under the California Rules of Court: any time either before or after final disposition of the case.
- (10) Index, except as otherwise specified: retain permanently.
- (11) Index for cases alleging traffic violations: same period as period for retention of the records in the underlying case category.
- (12) Judgments within the jurisdiction of the superior court other than in a limited civil case, misdemeanor case, or infraction case: retain permanently.
- (13) Judgments in misdemeanor cases, infraction cases, and limited civil cases: same period as period for retention of the records in the underlying case category.
- (14) Minutes: same period as period for retention of the records in the underlying case category.
- (15) Naturalization index: retain permanently.
- (16) Ninety-day evaluation (under Section 1203.03 of the Penal Code): same period as period for retention of the records in the underlying case category, or period for completion or termination of probation, whichever is longer.
- (17) Register of actions or docket: same period as period for retention of the records in the underlying case category, but in no event less than 10 years for civil and small claims cases.
- (18) Search warrant: 10 years, except search warrants issued in connection with a capital felony case defined in paragraph (7), which shall be retained permanently.
- (k) Retention of the court records under this section shall be extended as follows:

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- (1) By order of the court on its own motion, or on application of a party or an interested member of the public for good cause shown and on those terms as are just. A fee shall not be charged for making the application.
- (2) Upon application and order for renewal of the judgment to the extended time for enforcing the judgment.

#### § 68153. Order for destruction of records; methods and record of destruction

Upon order of the presiding judge of the court, court records open to public inspection and not ordered transferred under the procedures in the California Rules of Court, confidential records, and sealed records that are ready for destruction under Section 68152 may be destroyed. Destruction shall be by shredding, burial, burning, erasure, obliteration, recycling, or other method approved by the court, except confidential and sealed records, which shall not be buried or recycled unless the text of the records is first obliterated.

Notation of the date of destruction shall be made on the index of cases or on a separate destruction index. A list of the court records destroyed within the jurisdiction of the superior court shall be provided to the Judicial Council in accordance with the California Rules of Court.