

TO: POTENTIAL PROPOSERS

FROM: Administrative Office of the Courts
Information Services Division

DATE: November 21, 2006

SUBJECT/PURPOSE OF MEMO: Request for proposals
The AOC, California Supreme Court and Courts of Appeal seek an enterprise content management solution capable of solving challenges around collaborative document management, learning content management, web content management, digital asset management and business process management.

ACTION REQUIRED: You are invited to review and respond to the attached Request for Proposal (“RFP”) as posted at <http://www.courtinfo.ca.gov/reference/rfp/>:
Project Title: Enterprise Content Management
RFP Number: ISD2006ECM-SS

SOLICITATIONS MAILBOX: solicitations@jud.ca.gov

DUE DATE & TIME FOR SUBMITTAL OF QUESTIONS: Deadline for submittal of questions pertaining to solicitation document is:
1:00 p.m. (PST) on December 11, 2006.

PROPOSAL DUE DATE AND TIME: Proposals must be received by **1:00 p.m. (PST) on January 16, 2007**

SUBMISSION OF PROPOSAL: Proposals should be sent to:
**Judicial Council of California
Administrative Office of the Courts
Attn: Nadine McFadden, RFP No. ISD2006ECM-SS
455 Golden Gate Avenue
San Francisco, CA 94102**

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1.0 GENERAL INFORMATION

1.1 Background

1.1.1 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.

1.1.2 The AOC assembled a team of key stakeholders to gather requirements and prepare this RFP in an effort to meet the growing needs of the AOC, California Supreme Court and California Courts of Appeal to capture, manage, deliver, store and preserve content. The requirements expressed in this document represent requirements gathered via discovery interviews during the first half of 2006. These interviews revealed disconnected tools and processes currently in use across the agency to track and manage content. Current tools were developed out of necessity within each department or court to capture, store, and preserve key content for analysis, tracking, and search. Their continued use fosters a culture of information isolation that hinders collaboration and growth. An enterprise content management solution shall provide the AOC and appellate courts with tools to manage and leverage informational assets from their creation through to their long-term storage and preservation.

2.0 PURPOSE OF THIS RFP

2.1 The State of California Administrative Office of the Courts (AOC) invites, from all interested software and implementation software vendors (hereinafter “vendor,” “proposer” or “service provider”) with proven experience, proposals to license and implement an enterprise content management (ECM) solution for use by the AOC, California Supreme Court, California Courts of Appeal and, indirectly, all California trial courts.

2.2 Project Objectives:
The AOC, California Supreme Court and Courts of Appeal seek to:

- 2.2.1 Establish a precedent for enterprise content management best practices for the entire California court system
- 2.2.2 Provide an integrated strategy for the capture, storage, collaboration, management and delivery of electronic content
- 2.2.3 Establish standards for content creation, storage, metadata, workflow, publication and security
- 2.2.4 Provide a secure, stable repository for AOC and court content, integrating with and/or complimenting existing repositories and systems of record as required
- 2.2.5 Enable the AOC to provide the courts a consistent, reliable source of knowledge, resources, processes and policies
- 2.2.6 Provide intuitive search and retrieval of content across the AOC and appellate courts
- 2.2.7 Provide a scalable repository to meet the growing needs of the AOC and the appellate courts, including expansion of user base and processing volumes
- 2.2.8 Integrate or replace existing stand-alone systems to eliminate duplication of effort and streamline information capture, creation, management, retrieval, preservation and delivery to internal and external audiences
- 2.2.9 Enable collaboration between internal and external content providers and project team members
- 2.2.10 Facilitate and manage the creation, approval and publication of web content in a distributed environment
- 2.2.11 Provide technology to support the success of the redesign effort for internal and external AOC web presences
- 2.2.12 Empower Education Division faculty and other AOC educators to leverage a library of reusable educational materials
- 2.2.13 Provide a secure repository for case documents associated with the Appellate Court Case Management system, and enable electronic filing of case documents within the Courts of Appeal and California Supreme Court by integrating with and supporting the ACCMS system

2.3 Single Vendor Partnership

- 2.3.1 The AOC seeks to engage a single vendor partner for design, configuration, anticipated deployment and subsequent maintenance and support of a scalable ECM framework encompassing needs related to:
 - Document Management
 - Web Content Management
 - Learning Content Management
 - Collaboration
 - Digital Asset Management (images, video, audio files)
 - Enterprise Search

- Business Process Management
- 2.3.2 Vendors are encouraged to leverage partnerships and third party tools to meet the broad scope of requirements represented by this RFP.
- 2.3.3 The AOC intends to award the contract in whole to a single vendor, but may elect to award software only and re-solicit implementation services.
- 2.4 Scope of Project Deliverables. AOC seeks proposals for an ECM Solution to include:
- 2.4.1 Application Software
 - 2.4.2 Specifications for Development and Staging Hardware
 - 2.4.3 Specifications for Production Hardware
 - 2.4.4 Project Management Services
 - 2.4.5 Sub-Contractor Management Services
 - 2.4.6 Implementation Consulting Professional Services
 - 2.4.7 Standards Development for Taxonomies, Metadata and Thesauri
 - 2.4.8 Application Configuration Services
 - 2.4.9 Systems Analysis of the Existing Environment
 - 2.4.10 Analysis, Design, Specification, Coding and Testing of Required System Interfaces
 - 2.4.11 Change Management Services
 - 2.4.12 Technical Support Training
 - 2.4.13 End User Training
 - 2.4.14 Knowledge Transfer to AOC and Hosting Personnel
 - 2.4.15 Content Analysis, Gathering, and Conversion Services
 - 2.4.16 Training Documentation
 - 2.4.17 Solution Documentation
 - 2.4.18 Solution Testing
 - 2.4.19 Post Implementation Maintenance and Support Services

3.0 RFP ATTACHMENTS

- 3.1 Attachment 1, Administrative Rules Governing Request for Proposals. Proposers shall follow the rules, set forth in Attachment 1, in preparation of their proposals.
- 3.2 Attachment 2, Minimum 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.

- 3.3 Attachment 3, Vendor's Acceptance of the RFP's Minimum Contract Terms. Proposers must either indicate acceptance of Minimum Contract Terms, as set forth in Attachment 2, or clearly identify exceptions to the Minimum Contract Terms, as set forth in Attachment 2. If exceptions are identified, then proposers must also submit (i) a red-lined version of Attachment 2, that clearly tracks proposed changes to this attachment, and (ii) written documentation to substantiate each such proposed change.
- 3.4 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.
- 3.5 Attachment 5, DVBE Participation Form. Proposers must demonstrate either (i) DVBE compliance with minimum participation goals, or (ii) written evidence of a "good faith effort" explaining why compliance with DVBE goals cannot be achieved. DVBE Participation goals are further explained under section 15.0 of this RFP.
- 3.6 Attachment 6, Cost Submission Matrix. Proposers must propose all pricing necessary to accomplish the work requirements of the eventual contract. It is expected that all proposers responding to this RFP will offer the proposer's government or comparable favorable rates and will be inclusive of all pricing necessary to provide the contracted work.
- 3.7 Attachment 7, Customer Reference Form. References supplied per section 9.16 must be provided using the form attached as Attachment 7.
- 3.8 Attachment 8, Vendor Certification Form, certifying neither proposer nor any proposed subcontractors are currently under suspension or debarment by any state or federal government agency, and that neither proposer nor any proposed subcontractors are tax delinquent with the State of California.

4.0 RFP APPENDICES

- 4.1 Appendices A-J, Functional Requirements. Detailed requirements for each functional module can be found in Appendices A-J. These requirements have been extrapolated from analysis of current process needs and future anticipated growth of the AOC and appellate courts. In the interest of eliminating repetition, requirements applicable to multiple modules may only be listed in the context of a single functional area or document. Certain requirements cross all functional areas, such as Reporting, Security, Business Process Management, Search, Administrative and Technical requirements

- 4.1.1 Appendix A: Functional Requirements: Document Management
 - 4.1.2 Appendix B: Functional Requirements: Web Content Management
 - 4.1.3 Appendix C: Functional Requirements: Collaboration
 - 4.1.4 Appendix D: Functional Requirements: Learning Content Management
 - 4.1.5 Appendix E: Functional Requirements: Digital Asset Management
 - 4.1.6 Appendix F: Functional Requirements: Enterprise Search
 - 4.1.7 Appendix G: Functional Requirements: Business Process Management
 - 4.1.8 Appendix H: Functional Requirements: Reporting and Security
 - 4.1.9 Appendix J: Technical and Administrative Requirements
- 4.2 Appendix K: Implementation and Services. Appendix K includes six narrative short answer questions and eleven general requirements. This is intended to compliment the vendor’s ECM Solution Implementation Plan, the requirements for which are outlined in Section 9.10 of this document. For the detailed requirements outlined in Appendix K, the vendor must provide a brief explanation of how they will address each line item. Do not use the numeric response key for these items.

5.0 PROCUREMENT SCHEDULE

- 5.1 The AOC has developed the following list of key events and dates, subject to change at the discretion of the AOC.
- 5.2 Key Events Table

No.	Key Events	Key Dates
1	AOC issues RFP	November 21, 2006
2	Deadline for proposers to register for Pre-Proposal Conference.	December 4, 2006
3	Pre-Proposal Conference	December 6, 2006, 10:00 A.M. PST
5	AOC posts presentation delivered at Pre-Proposal Conference.	December 8, 2006
4	Deadline for proposers to submit questions, requests for clarifications or modifications to solicitations@jud.ca.gov	December 11 2006, 1:00 P.M. PST
6	AOC posts written response to written questions and revisions to RFP.	Week of December 18, 2006
7	Proposal due date and time	January 16, 2007, 1:00 PM PST
8	Invitations for Finalists’	January 2007(estimated)

No.	Key Events	Key Dates
	Presentations	
9	Distribution of supplementary materials to finalists	January 2007 (estimated)
10	Finalists' Presentations (solution demonstrations and interviews)	February 2007 (estimated)
11	Final evaluation	Q1 2007 (estimated)
12	Notice of intent to award	Q12007 (estimated)
13	Negotiation and execution of contract	Early Q2 2007 (estimated)

5.3 Pre-Proposal Conference Details

- 5.3.1 A pre-proposal conference will be held on the date and time indicated in the Key Events Table. Proposers are invited to attend in person at the Judicial Council Conference Center (455 Golden Gate Avenue, San Francisco, CA 94102) or via teleconference.
- 5.3.2 The pre-proposal conference will serve to clarify the requirements of this RFP. It is the proposer's responsibility to become familiar with all information necessary to prepare a proposal. Although participation is not required, vendors planning to submit proposals are strongly encouraged to register for and attend the conference (in person or via conference call). Upon registration, proposers will be provided a copy of the conference presentation. The conference presentation will also be made available for download on the RFP website two (2) days after the pre-proposal conference.
- 5.3.3 Proposers planning to attend the conference must contact solicitations@jud.ca.gov by the date specified in the Key Events Table (Section 5.2) to register, indicate if they will attend in person or remotely (via conference call), and request the conference presentation.

6.0 ASSUMPTIONS PERTAINING TO PROJECT SCOPE

- 6.1 This RFP reflects requirements of the AOC and appellate courts of California. Staff within the California state trial courts will be indirect users of the system.
- 6.2 The AOC, Supreme Court and Courts of Appeal do not have an organized legacy ECM system in place. The ECM solution outlined in this RFP will replace or compliment stand-alone solutions, manual processes and workarounds.

- 6.3 Based on the assessment of requirements for identified stakeholders groups, the AOC anticipates a user base of 2,500-3,000. In time, other stakeholders within the California state judicial branch may choose to use the ECM system to meet their independent functional requirements. Therefore, the AOC seeks a fully scalable system that could, if required, support up to 20,000 users across the California state judicial branch
- 6.4 For proposing purposes, assume a user base of 1,500 employees; 10% of those being non-technical content contributors or other power users and the remaining 90% casual users. Document production volume in the appellate courts numbers in the millions of pages per year.
- 6.5 The AOC anticipates that the solution may consist of multiple instances of software able to communicate with one another as needed. For example, the document management system to store appellate court case documents and support Appellate Court Case Management System (ACCMS) e-filing would seldom be accessed by AOC personnel. As the ACCMS is housed in the California Courts Technology Center (CCTC), the corresponding document management system would also be housed in the CCTC. However, the document management system used by the AOC would seldom be accessed by court staff, and could be housed separately at the AOC main offices. AOC staff may need to access documents in the CCTC repository from time to time via search, but the systems would likely exchange/share little to no data.
- 6.6 The AOC and appellate courts maintain the following websites.

Public Site	http://www.courtinfo.ca.gov/
Intranet	Internal only
Extranet (“Serranus”)	Internal only
COMET Education Site	http://www2.courtinfo.ca.gov/comet/

- 6.7 The web content management solution will be implemented to support all AOC and appellate court web presences.
- 6.8 Below (Section 6.9) are current figures for drives on the AOC and appellate court networks. These figures account for all of the data on the network/system, including all shared and individual network drives and excluding non-network drives, such as individual hard drives.
- 6.9 Approximate current volume of files on network drives of the AOC and appellate courts:

Entity	Files	Size (GB)
AOC	2,142,572	678.00
1DC	222,609	71.00
2D1	425,084	56.00
2D6	100,185	23.00
3DC	160,688	28.30
4D1	182,807	35.00
4D2	148,143	15.30
4D3	174,665	126.00
5DC	161,862	49.00
6DC	61,232	14.50
SC	461154	42.00
TOTAL	4,241,001 Files	1,138.10 GB

7.0 CURRENT NETWORKING AND COMPUTING ENVIRONMENTS

- 7.1 The AOC and appellate courts seek a solution that will integrate well with the existing technical architecture. Additionally, the solution should be scalable to support continued growth of the branch throughout the state.
- 7.2 The solution will serve the six California District Courts of Appeal located throughout the state, the Administrative Offices of the Courts, headquartered in San Francisco with regional offices in Sacramento and Burbank, and the California Supreme Court, located in San Francisco.
- 7.3 The AOC and appellate courts use Exchange 2003 as well as the Microsoft Office professional suite of applications (Word, Excel, etc) for office automation. The AOC offices have migrated to Microsoft file/print services, and the IS Department is currently migrating the Courts of Appeals away from Novell file and print services to Microsoft. This should be completed by mid-year of 2007.
- 7.4 The AOC has developed a centrally hosted shared services model with an outsourced co-location facility (CCTC) where all servers are to be hosted in a highly available and secure manner. This also means that standard operational procedures and operational training must be part of the overall documentation of the solution. The Managed Service Provider has standardized monitoring with Mercury Interactive SiteScope and a preferred solution will include integration with the implemented monitoring toolset.
- 7.5 The preferred solution will be highly available with a redundant infrastructure that supports automated failover in case of component failure. Load sharing based solutions will be ranked higher than hot

standbys. As part of the co-location's business contingency strategy, we are also utilizing SunGard's services for Disaster Recovery.

- 7.6 The network connecting different the business units (AOC, appellate courts and others) is an IP network implemented based hub and spoke model with leased lines between the co-location facility and the offices. The AOC has standardized on a Cisco Network infrastructure.
- 7.7 The current identity management solution implemented within the co-location facility is based on a CA (former Netegrity) eTrust® SiteMinder® together with Microsoft Active Directory to provide a standard solution for user authentication. It is important that all new solutions being implemented are fully integrated to work with the security framework designed at the co-location facility.
- 7.8 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 OEM products customized to the AOC environment.
- 7.9 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.
- 7.10 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 such as a local Court document management system. The AOC has implemented the Integrated Services Backbone based on the product suite from TIBCO. A solution that exposes its functionality with web-services will be preferred.
- 7.11 The AOC utilizes an enterprise level EMC solution for centralized storage (storage attached network) that should be used for any storage of live data. The Managed Service Provider is utilizing Veritas Netbackup for backups.
- 7.12 The AOC will seek a solution that can be implemented in an n-tier environment with a thin client front-end and will prefer a solution capable of being integrated into a portal based on standard specifications like JSR-168.

8.0 SUBMISSION GUIDELINES

- 8.1 Proposers will submit one (1) original and five (5) copies of the technical proposal signed by an authorized representative of the company, including

name, title, address, and telephone number of one (1) individual who is the responder's designated representative.

- 8.2 Proposers will submit one (1) original and five (5) copies of the cost proposal in a separate envelope. Include software licensing and professional services required to design, configure and deploy the ECM solution. The cost proposal must be presented in the format provided in Attachment 6, Cost Submission Matrix of this RFP. Detailed costs must be provided and submitted on CD-ROM in MS Excel format. The AOC reserves the right to contact proposers on cost and scope clarification at any time throughout the selection process and negotiation process. Finally, it is important that proposers use the cost format presented in this RFP and not their own format. Please do not use "TBD" (to be determined) or similar annotations in the cells for cost estimates. The AOC is asking proposers to estimate costs for all categories with the understanding that they may have to make supported assumptions. Significant assumptions should be identified and elaborated.
 - 8.3 Proposals must be delivered to the individual listed under Submission of Proposals, as set forth on the cover memo of this RFP. Only written responses will be accepted. Responses should be sent by registered or certified mail or by hand delivery.
 - 8.4 In addition to submittal of the originals and copies of the proposals, as set forth in item 8.1, above, proposers are also required to submit an electronic version of the entire proposal, including requested samples and financial information, on CD-ROM. If financial information cannot be provided in an electronic format, hard copy submittal will be accepted.
 - 8.5 Proposals should be prepared as simply as possible and provide a straightforward, concise description of the vendor'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 must be numbered and clearly labeled.
- 9.0 SPECIFICS OF A RESPONSIVE PROPOSAL.** The proposal must be organized into the following major sections:
- 9.1 Title Page
 - 9.2 Letter of Transmittal. The vendor must prepare a cover letter on the prime vendor's business letterhead to accompany the proposal. The purpose of this letter is to transmit the proposal; therefore, it should be brief. The letter must be signed by an individual who is authorized to bind his or her firm to all statements, including services and prices, contained in the proposal. The cover letter must state who the proposed prime contractor

is, and name the participating vendors.

9.3 Table of Contents

9.4 Executive Summary. Limit this RFP section to a brief narrative highlighting the vendor's proposal. The summary should contain as little technical jargon as possible and should be oriented toward non-technical personnel. This section should not include cost quotations. Please note that the executive summary must identify the primary engagement contact for the software vendor, including a valid e-mail address and, telephone number.

9.5 Scope of Services. In this section, include a general discussion of the vendor's understanding of the "overall" project and the scope of work proposed.

9.6 Company /Team Background and Resource Capabilities

9.6.1 Include a narrative description of the company, the company's place in the marketplace and strengths and weaknesses of the proposed ECM solution.

9.6.2 If multiple firms are represented in the proposal, this section needs to include this information for each firm. Include here, the provided Vendor Certification Form, Attachment 8, on behalf of each firm represented in the proposal.

9.6.3 The AOC needs to evaluate the vendors' stability and ability to support the commitments set forth in response to the RFP. The AOC, at its option, may require a vendor to provide additional support and/or clarify requested information. The AOC will conduct typical business reference checks on all of the vendors participating in the proposal process. Vendors must provide the following information about the company or companies included in the proposed solution. The software vendor(s) and the professional services firm must outline the company's background, including:

9.6.3.1 The tax ID number of the proposed prime and sub-contractors (provide via Attachment 4, Payee Data Record Form).

9.6.3.2 How long the company has been in business.

9.6.3.3 A brief description of the company size and organizational structure.

9.6.3.4 If applicable, how long the company has been selling the proposed solution to public sector clients.

- 9.6.3.5 Provide an audited or reviewed profit and loss statement and balance sheet, in accordance with reporting requirement of the American Institute of Certified Public Accountants (AICPA), for the last three (3) years. Additionally, provide a statement of any bankruptcies filed by the proposer and any law suits filed against the proposer for malfeasance and a detailed listing of the adverse action, cause, number, jurisdiction in which filed and current status. The AOC requires a description of the outcome of any such legal action where there was a finding against the respondent or a settlement. The statement shall address all present and prior business relationships of those concerned. Identify any significant mergers, acquisitions, and initial public offerings. History must cover at minimum the last three (3) years.
- 9.6.3.6 Listing of software installs by name. Please list government customers first. If possible, also include the number of users, modules implemented and system integrations.
- 9.6.3.7 Any material (including letters of support or endorsement from clients) indicative of the vendor's capabilities.
- 9.6.3.8 Disclosure of any judgments, pending litigation, or other real or potential financial reversals that might materially affect the viability of the vendor(s) organization or public safety products, or the warranty that no such condition is known to exist.
- 9.6.3.9 Disclosure of any known or planned sale, merger or acquisition of vendors' company/ies.
- 9.6.3.10 In the case of partnered or combined responses, the nature of the relationship among the parties must be described. Include whether the parties collaborated previously and the intended relationship and reporting structure for the proposed project.
- 9.6.3.11 The State of California Information Practices Act of 1977 requires the AOC to notify all vendors of the following:
 - 9.6.3.11.1 The principal purpose for requesting the above information about your company is to provide financial information to determine financial qualification. State policy and state and federal statutes authorize maintenance of this information.
 - 9.6.3.11.2 Furnishing all information is mandatory. Failure to provide this information will delay or may even prevent completion of the action for

which this information is sought.

9.7 Proposed Application Software and Computing Environment

9.7.1 The vendor must present, in detail, features and capabilities of the proposed application software. This part of the response is a free narrative section. The discussion should provide comprehensive information about the actual solution and services being proposed to address the RFP. The content may overlap the content provided in other sections of the response, but should attempt to not directly replicate other content. It is acceptable to refer to the detailed information and supporting tables, charts, and graphs provided in other sections of the response.

9.7.2 At a minimum, please provide in succinct narrative form (at least one (1) paragraph per item) a description of each of the functional areas/module represented in Appendices A-J:

9.7.2.1 Appendix A. Functional Requirements: Document Management

9.7.2.2 Appendix B. Functional Requirements: Web Content Management

9.7.2.3 Appendix C: Functional Requirements: Collaboration

9.7.2.4 Appendix D: Functional Requirements: Learning Content Management

9.7.2.5 Appendix E: Functional Requirements: Digital Asset Management

9.7.2.6 Appendix F: Functional Requirements: Enterprise Search

9.7.2.7 Appendix G: Functional Requirements: Business Process Management

9.7.2.8 Appendix H: Functional Requirements: Reporting and Security

9.7.2.9 Appendix J: Technical and Administrative Requirements

9.7.2.10 Appendix K: Implementation and Services Requirements

9.7.3 In addition, the following information must be included in narrative form:

9.7.3.1 Hardware Environment: Describe the hardware environment required to utilize the proposed software. In the event there is more than one (1) suitable hardware platform, list the best options indicating the relative strengths and drawbacks (if any) of each.

- 9.7.3.2 Network Environment: Describe the network environment required to utilize the proposed software. In the event that there is more than one (1) suitable network configuration, list options indicating the relative strengths and drawbacks (if any) of each.
- 9.7.3.3 Operating System(s): Identify the operating system(s) required by the proposed applications software and database management system in the hardware environment recommended above. In the event there is more than one (1) suitable operating system, list all options indicating the relative strengths and drawbacks (if any) of each.
- 9.7.3.4 Database Platform(s): The preferred database platform of the AOC is Oracle 9.2, however Oracle 10G is also supported. The vendor should identify the ideal database platform for the proposed software. In the event there is more than one (1) suitable database platform, list all options indicating the relative strengths and drawbacks (if any) of each.
- 9.7.3.5 Desktop Requirements: Identify the desktop computer hardware and software requirements to use the ECM solution. Include typical requirements for a “power user,” occasional casual user, report viewer, system administrator and work requestor.

9.8 Responses to Functional/Technical Requirements

- 9.8.1 Responses to the Functional and Technical Requirements contained in Appendices A-J of this RFP must be provided in this portion of the vendor’s proposal. Proposers must use the format provided and add explanatory details as necessary in a separate document using the requirement number as a reference.
- 9.8.2 If selected as a finalist, vendors will be asked to identify a minimum of two (2) technical team members to attend a Finalist Presentation. During the Finalist Presentation the technical team members will be interviewed. The technical team interviews will be evaluated and scored according to section 11.9, Finalist Evaluation.
- 9.8.3 The requirements documents (Appendices A-J) contain two (2) types of questions.

9.8.3.1 Question Type One: Narrative Short Answer
For each short answer question, the respondent is asked to provide a concise narrative response in less than one (1) page, if possible.

9.8.3.2 Question Type Two: Itemized Requirements
Use the following key to indicate a single response for each itemized requirement in the appendices. For each item, you are also welcome to comment for purposes of clarification. Please do not use multiple numeric responses.

9.8.3.3 Response Key

Response	Definition
1	Item is "Out Of Box" - indicate module or software product. No modifications or customized code will be required for the system to meet this requirement.
2	Item will be included in future release - specify version and date. The requirement will be implemented as part of a scheduled update to the software package. No additional purchase or other cost will be incurred, and customized code will not be required. Please specify the planned release version for the functionality and scheduled release date, if possible.
3	Item addressed by third-party integration- specify partner. The requirement is met by third party integration or partner functionality and can be implemented seamlessly by the vendor responding to the RFP. Please specify the third-party product and partner meeting the requirement.
4	Item requires customized code to be written. To meet this requirement, custom code will be required during implementation. Please briefly describe the customization(s) required. Within the Cost Submission Matrix, also provide estimates of work required to complete the customization
5	Item not addressed by solution. This requirement cannot be met by the vendor or vendor partners and will not be included in any future release.

- 9.8.3.4 Vendors must use one (1) code only per requirement. Any requirement that is answered in any other way will be treated as a negative/non-response.
- 9.8.3.5 An answer of 5 (five) (Item not addressed by solution) for any single requirement will not preclude a vendor from consideration, but will be factored into the evaluation score.
- 9.8.4 Third-Party Products/Optional Software. The vendor must explicitly state the name of any third-party products that are part of the proposed solution to the AOC. For each third-party product there must be a statement about whether the vendor's contract will encompass the third-party product and/or whether the AOC will have to contract on its own for the product.
 - 9.8.4.1 Include a description of any products, features or other value added components available for use with the proposed ECM solution that have not been specifically requested in this RFP. The vendor must also provide proof that they have access to the third-party software source code (own or in escrow) and that the vendor has the ability to provide long-term support for the third-party software components of their ECM solution. Consideration of these products, features or other value added components will be given where these may be of value to the AOC.
- 9.9 System Security
 - 9.9.1 The vendor must include a detailed description of the proposed solution's security features. A description of how to secure transactions in a distributed network, over LAN, WAN and VPN connections must also be included.
 - 9.9.2 The vendor must also explain in-detail, the security model of the application, and describe generally the tasks required to configure and maintain application security. Please state if and how system security or user validation can be integrated with Netegrity Site Minder and MS Active Directory.
- 9.10 ECM Solution Implementation Plan
 - 9.10.1 The AOC recognizes that rollout of a full scale ECM solution is a multi-year endeavor and that there are many possible approaches to implementation. The implementation plan and associated cost

proposal (see section 9.17) should reflect a best-practice based scenario per the proposer's past experience and industry knowledge. The proposer's implementation plan should include the following:

- 9.10.1.1 Recommended approach
 - 9.10.1.2 Solution map
 - 9.10.1.3 A visual representation of the components and high-level landscape of the proposed ECM solution. Indicate partner product integration points, future modules and anticipated integration with current AOC systems (MS Exchange, Court Case Management Systems, etc).
 - 9.10.1.4 Project management methodology
 - 9.10.1.5 Change management methodology
 - 9.10.1.6 Proposed data migration methods and tools
 - 9.10.1.7 Methods for identification and capture of hard copy content
 - 9.10.1.8 Methods for migration of existing html web pages to the web content management system
 - 9.10.1.9 Sample project plan and time line
 - 9.10.1.10 Proposed project staffing, including descriptions of roles and expertise; please detail by project phase. Note that the ratio of vendor resources to AOC staff will be determined upon detailed project resource planning, following selection of a vendor partner.
 - 9.10.1.11 The proposed implementation plan will be evaluated and scored according to sections 10.0 and 11.0.
- 9.10.2 Please attach responses to Appendix K, Implementation and Services Requirements, to the ECM Solution Implementation Plan.
- 9.10.3 If selected as a finalist, vendors will be provided additional material (see section 10.5, Finalist Presentation) and asked to submit a more detailed implementation plan, expanding on each of the points in the original proposal. Additionally, the vendor should identify a minimum of two (2) project team members (including one (1) project manager/lead) to attend a Finalist Presentation. Vendors will be asked to present the detailed plan during Finalist Presentation, and the team members will be interviewed. The detailed plan and interviews will be evaluated and scored according to sections 10.0 and 11.0.
- 9.11 Development and Staging Environment Hardware & Software
- 9.11.1 The respondent in this section should include detailed specifications and a rationale for the software, services and

equipment priced in the Cost Submission Matrix for the Development and Staging Environments. Vendors should include complete hardware, software and services sufficient to procure, install and configure a development and staging environment for the proposed solution on-site at the AOC offices.

9.12 Training Plan

9.12.1 This section should outline the vendor's recommendations and plans for assisting the AOC and the AOC contractors to become self sufficient in supporting, maintaining, managing, and utilizing the proposed solution over time. AOC employees or agents must become able to manage, operate and troubleshoot the infrastructure components of the solution. Various parties of the AOC, Supreme Court and Courts of Appeal must also become proficient in developing and deploying the required interfaces in their respective environments. The vendor must provide a detailed plan for train-the-trainer training, project team training, user training and technology personnel. This information must include:

9.12.1.1 Clear identification of the proposed training methods (classroom, lab, mentoring, etc.), schedule and assumptions regarding prerequisite skills of the employees receiving the training. The AOC is also requesting the vendor's recommendations on the number of full time employees (FTEs) required to support this solution.

9.12.1.2 Use of third-party training resources. Vendor should identify third party partners that provide training on the use of their application.

9.12.1.3 Education on the use of application and interface development tools and services included in the proposed solution.

9.12.1.4 Change management processes, procedures and tools needed to host, maintain and support the solution.

9.13 Testing Plan

9.13.1 The vendor must provide a general testing strategy. Include the intended plan to develop scripts with the AOC, track results and conduct unit, integration, functional and user-acceptance tests (UAT).

- 9.14 Maintenance and Support Program. Specify the prime contractor and software vendor(s) plans to carry out post-implementation and on-going support including:
 - 9.14.1 Post-Implementation support (e.g., three (3) months of on-site support after go-live).
 - 9.14.2 Telephone support (include toll-free support hotline, hours of operation, availability of 12 x 7 hotline, etc.).
 - 9.14.3 Special plans defining “levels” of customer support (e.g., gold, silver, etc.).
 - 9.14.4 Availability and locality of user groups.
- 9.15 Hosting Arrangement
 - 9.15.1 The AOC may be using the California Courts Technology Center (CCTC) to host all or part of the ECM solution. Please provide information about any existing hosted arrangements you have to deliver similar ECM solutions. Please indicate what hardware, security, operating system, relational database management system and personnel are used by the hosting facility to provide the service. Provide samples of typical system promotion methodology and upgrade or patch checklists from other implementations.
 - 9.15.2 Provide a proposed methodology for interaction between the hosting facility and the proposed ECM solution vendor team to ensure appropriate system support. For example, indicate what type of access, if any, to the CCTC the vendor requires to initially setup the production environment and what type of access is typically required for routine activities, once the environment is established.
- 9.16 Customer References
 - 9.16.1 The AOC considers references an important part of the process in awarding a contract and will be contacting references as part of this selection. Vendors are required to provide the AOC with reference information as part of their proposals using the reference form included in this RFP (Attachment 7). Vendors must provide at least five (5) client references for software and services that are similar in size and complexity to this procurement and have utilized a solution similar to that proposed in a comparable computing environment. Vendors should submit references for

fully completed (live) installations. Please inform references that they will be called by the AOC in January or February of 2007.

9.16.2 The AOC will not call vendors to tell them that their references will be contacted because all references provided will be contacted by the AOC during the selection process. Similarly, AOC will not work through a vendor's Reference Manager to complete a reference. The names and phone numbers of the project manager/customer contact must be listed. Failure to provide this information may result in the vendor not being elevated to the Finalist Presentation.

9.17 Cost Proposal

9.17.1 Submit cost proposal separately from the rest of the technical proposal and in sealed envelope(s).

9.17.2 Use Attachment 6, Cost Submission Matrix, to propose all costs, fees, expenses, and pricing for this project.

9.17.3 Costs should include firm pricing for all procurement items (see Section 2.4) and a schedule of costs, aligned with the proposed project plan, to deploy all functional areas/modules as set forth in appendices A-K.

9.17.4 Work Effort Estimates. Please use the cost spreadsheets and the proposed project plan to provide work effort estimates for the AOC and contractor staff by task during the certification process.

9.17.5 Submit Attachment 5, DVBE Participation Form, as part of this section.

9.18 Exceptions to the RFP.

9.18.1 Exceptions shall be clearly identified in this section and written explanation shall include the scope of the exceptions, the ramifications of the exceptions for the AOC, and the description of the advantages or disadvantages to the AOC as a result of exceptions. The AOC, in its sole discretion, may reject any exceptions within the proposal.

9.18.2 Submit Attachment 3, Vendor's Acceptance of the RFP's Minimum Contract Terms and the proposer's markup of Attachment 2, Minimum Contract Terms, if applicable, as part of this section.

9.19 Sample Documents.

9.19.1 To establish a complete and competitive proposal, vendors must include sample copies of the following documents:

- 9.19.1.1 Five (5) URLs for websites using the vendor's web content management solution
- 9.19.1.2 Case studies focusing on document management and web content management for past implementations of similar scope. If possible, also include case studies for the digital asset management and learning content management components.
- 9.19.1.3 Sample project plan for past implementation of similar scope
- 9.19.1.4 Sample ECM software user documentation (CD-ROMs would be preferred)
- 9.19.1.5 Sample business process flows to use the proposed ECM solution.

9.19.2 The AOC prefers non-proprietary samples to fulfill the requirements outlined in Section 9.19. Proposers should submit any questions related to this requirement by the deadline for submission of questions, requests for clarifications or modifications in the Key Dates Table (Section 5.2).

10.0 EVALUATION PROCESS

10.1 Initial Review

10.1.1 The initial review is based on pass/fail criterion and addresses the responsiveness of a proposal to the RFP requirements outlined in Section 9.0, Specifics of a Responsive Proposal. A proposal can be eliminated if it does not contain all proposal elements outlined in Section 9.0.

10.2 Second Review

10.2.1 The second review will be conducted by a subset of the ECM Core Team (hereinafter "Second Review Team"). The Second Review Team will compile scores for each vendor based on weighted evaluation criteria and functional requirements outlined in section 11.0 of this document. These scores will be presented in a matrix format and the highest ranking will be identified and recommended to ECM Core Team Proposer Review for review and approval.

10.3 ECM Core Team Proposer Review

10.3.1 The ECM Core Team is comprised of representatives of the AOC, Supreme Court of California and California Courts of Appeal. The ECM Core Team worked collectively, with guidance of an outside project consultant, to compile the contents of the RFP Document. The ECM project consultant retained by the AOC will serve the ECM selection team in a non-voting advisory capacity.

10.3.2 During this review, the ECM Core Team will be asked to approve the recommendations of the Second Review team. This review determines those proposers that will be invited to present their solutions. Criteria and weighting are outlined in section 11.0 of this document.

10.4 ECM Steering Committee Proposer Review

10.4.1 The Second Review Team will present proposer scores to the Steering Committee and identify the highest ranked proposers as approved by the ECM Core Team. The Steering Committee will be asked to approve the recommendations of the ECM Core Team.

10.5 Finalist Presentations

10.5.1 Following Steering Committee approval, the highest ranked proposers (hereinafter “finalists”) will be invited to present their solution to the ECM Core Team. The finalists will be provided additional information to assist in preparation of their Finalist Presentation, including a detailed Summary of Findings outlining the context for stated RFP requirements and detailed Use Case Scenarios for key ECM modules.

10.5.2 Finalist Presentations will tentatively take place in two (2) blocks of time during the months of February and March 2007. Presentations will be recorded to provide any absent ECM Core Team member the opportunity to view each Finalist’s Presentation.

10.5.3 Finalists will be informed of possible dates for their Finalist Presentation upon invitation to present.

10.5.4 Finalists will be provided with the Summary of Findings and Use Case Scenarios upon invitation to present, no less than two (2) weeks prior to the agreed date of the Finalist’s Presentation.

10.5.5 Finalist Presentations to include:

- 10.5.5.1 Product Demonstration
- 10.5.5.2 Detailed Implementation Proposal
- 10.5.5.3 Implementation Team Interviews
- 10.5.5.4 Technical Team Interviews.

10.6 ECM Core Team Finalist Review

10.6.1 Following completion of all Finalist Presentations, the Second Review Team will calculate composite scores for each finalist (as adjusted by each Finalist Presentation) and present these scores in a Finalist Selection Matrix to the ECM Core Team. The complete ECM Core Team will be asked to approve the Finalist Selection Matrix.

10.6.2 The top vendors (e.g. one (1) leader and two (2) runners up) from the Finalist Selection Matrix will be identified based on these composite scores and recommended for consideration by the ECM Steering Committee.

10.7 ECM Steering Committee Finalist Review

10.7.1 The Finalist Selection Matrix will be presented to the ECM Steering Committee. The decision to move forward with contract negotiations will be ultimately decided in this forum.

11.0 SELECTION CRITERIA AND WEIGHTING

- 11.1 Proposals that contain false or misleading statements may be rejected if, in the opinion of the AOC, the information was intended to mislead the state regarding a requirement of the solicitation document.
- 11.2 If a proposal fails to meet a material solicitation document requirement, the proposal may be rejected. A deviation is material to the extent that a response is not in substantial accord with solicitation document requirements. Material deviations cannot be waived. Immaterial deviations may cause a proposal to be rejected.
- 11.3 Proposals that contain false or misleading statements may be rejected if, in the opinion of the AOC, the information was intended to mislead the state regarding a requirement of the solicitation document.
- 11.4 Cost sheets will be checked only if a proposal is determined to be otherwise qualified. All figures entered on the cost sheets must be clearly legible.

- 11.5 During the evaluation process, the AOC may require a vendor's representative to answer questions with regard to the vendor's proposal. Failure of a vendor to respond and demonstrate in a timely manner that the claims made in its proposal are in fact true may be sufficient cause for deeming a proposal non-responsive.
- 11.6 A vendor is eligible for a total of 100 points for the written proposal and 100 points for the Finalist Presentation.
- 11.7 When calculating the combined score for finalists, the written proposal will constitute 70% of the vendor's total and the Finalist Presentation will constitute 30%.
- 11.8 Written Proposal Evaluation. Written proposals will be evaluated by the AOC per the following selection criteria and weighting:

Criteria	Total Possible Points	Corresponding RFP Section or Appendix document(s)
Software Functionality and Completeness	30	Scope of Services (9.5) Responses to Functional/Technical Requirements (9.8)
Technical Compliance	15	Proposed Application Software and Computing Environment (9.7) System Security (9.9) Hosting Arrangement (9.15)
Proposed Implementation Plan and Methodology	15	Responses to Implementation and Service Requirements in Appendix K ECM Solution Implementation Plan (9.10) Development and Staging Environment hardware and Software (9.11) Testing Plan (9.13) Sample Documents (9.19)

Criteria	Total Possible Points	Corresponding RFP Section or Appendix document(s)
Customer References	10	Customer References (9.16)
Training and Support	10	Training Plan (9.12) Maintenance and Support Program (9.14)
Long Term Viability/Corporate Health	10	Company /Team Background and resource capabilities (9.6)
Total Cost of Ownership and Exceptions to RFP	10	Cost Proposal (9.17) Exceptions to the RFP (9.18)

11.9 Finalist Evaluation. Finalist Presentations will be evaluated by the AOC per the following selection criteria and weighting:

Criteria	Total Possible Points	Explanation of Criteria
Presented Solution to Use Cases	35	How well does the vendor address each use case? Are the solutions presented viable for the AOC? Does the software functionality address stated concerns and challenges within the Use Case Scenarios and Summary of Findings documents?
Software Ease of Use	35	Is the solution: Effective? Efficient? Engaging? Error tolerant? Easy to learn?
Technical Capability	15	How well does the vendor's technical representative(s) respond to in-depth questions or challenges raised by AOC staff?

Criteria	Total Possible Points	Explanation of Criteria
		Consideration will be given to the content, quality and relevancy of the vendor’s team response.
Detailed Implementation Plan and Interviews	15	<p>Does the detailed implementation plan presented consider additional information provided in the Summary of Findings?</p> <p>How well do the vendor’s proposed implementation team members respond to in-depth questions or challenges raised by AOC staff?</p> <p>Consideration will be given to the content, quality and relevancy of the implementation plan and vendor’s team response</p>

12.0 RIGHTS

12.1 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 (1) copy of a submitted proposal will be retained for official files and becomes a public record.

13.0 ADDITIONAL REQUIREMENTS

13.1 It may be necessary to interview prospective service providers to clarify aspects of their submittal. If conducted, interviews will likely be conducted by telephone conference call. The AOC will notify prospective service providers regarding the interview arrangements.

14.0 CONFIDENTIAL OR PROPRIETARY INFORMATION

14.1 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 sole opinion of the AOC, 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.

- 14.2 If any information submitted in a vendor's proposal is confidential or proprietary, the vendor must provide that information on pages separate from non-confidential information and clearly label the pages containing confidential information "CONFIDENTIAL."
- 14.3 In addition to labeling each confidential page, the vendor must include the following statement on a separate page, indicating all page numbers that contain confidential or proprietary information:

14.3.1 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 the right of the AOC to use the information contained herein if obtained from another source.

- 14.4 PROPOSALS WILL BE MAINTAINED IN CONFIDENCE BY THE AOC UNTIL ISSUANCE OF A NOTICE OF INTENT TO AWARD. UPON ISSUANCE OF A NOTICE OF INTENT TO AWARD, ALL PROPOSALS, INCLUDING PROPOSAL INFORMATION LABELED AS CONFIDENTIAL BY A VENDOR, WILL BECOME PART OF THE PUBLIC RECORD AND SUBJECT TO DISCLOSURE UNDER THE CALIFORNIA PUBLIC RECORDS ACT, EXCEPT TO THE EXTENT INFORMATION IS PROTECTED FROM DISCLOSURE BY LAW.

15.0 DISABLED VETERAN BUSINESS ENTERPRISE PARTICIPATION GOALS

- 15.1 The State of California Executive Branch requires contract participation goals of a minimum of three percent (3%) for disabled veteran business enterprises (DVBEs). The AOC, as a policy, follows the intent of the Executive Branch program. Therefore, your response should demonstrate DVBE compliance; otherwise, if it is impossible for your company to comply, please explain why, and demonstrate written evidence of a "good faith effort" to achieve participation. Your company must complete the DVBE Compliance form and include the form with your Cost Proposal. If your company has any questions regarding the form, you should contact

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the individual listed in the Submission of Proposal section on the coversheet of this RFP. For further information regarding DVBE resources, please contact the Office of Small Business and DVBE Certification, at 916-375-4940 or access DVBE information on the Executive Branch's Internet web site at:
<http://www.dgs.ca.gov/default.htm>

END OF FORM