

**Administrative Office of the Courts
State of California**



**REQUEST FOR PROPOSALS FOR
ORACLE FINANCIAL SYSTEM 11i UPGRADE**

MARCH 2002

**SUBMIT PROPOSALS
by April 15, 2002 at 5:00 PM (Pacific Time) to:**

Ms. Alice Wu
Administrative Office of the Courts
Information Services Division
455 Golden Gate Avenue, 3rd Floor
San Francisco, CA 94102

**Administrative Office of the Courts
RFP for Oracle Financial System 11i Upgrade**

Table of Contents

BACKGROUND INFORMATION

Introduction.....	2
Project Background.....	3
Current AOC Technology Environment Overview.....	3
System Performance	4
AOC Financial System Flow and Interfaces (Graph)	5
High-Level Process Descriptions	6
Context Diagram.....	7
AOC Budgeting Process.....	8
AOC Purchasing Process.....	8
AOC Accounts Payable Process	9
Claim Schedule Process.....	10
Revolving Fund Process	10
Grant Accounting Process.....	10
Court Appointed Counsel Payment Process.....	11
Court Interpreter Accounting Process	11
Fixed Assets Inventory Process	11
General Ledger Process.....	11
Current Financial System.....	12
Hardware and Software Environment	12
Scheduled Changes	12
Customizations.....	13

PART I **PURPOSE AND SCOPE**

1-1	Purpose.....	21
1-2	Scope.....	22

PART II **SUBMITTAL REQUIREMENTS**

2-1	Issuing Agent	24
2-2	Submission Requirements.....	24
2-3	Delivery of Proposal.....	25
2-4	Proposal Costs	25
2-5	Acceptance	25
2-6	Interpretations, Discrepancies, Omissions	25
2-7	Rejection.....	26
2-8	Indemnification	26
2-9	Confidential Matters.....	26
2-10	Retention of Firm Material	26

**Administrative Office of the Courts
RFP for Oracle Financial System 11i Upgrade**

2-11	Compliance with the DVBE	26
2-12	Proposal Format.....	27
2-13	Letter of Transmittal	27
2-14	Executive Summary	27
2-15	Scope of Services.....	28
2-16	Company Background.....	28
2-17	Third-Party Products/Optional Software.....	28
2-18	Implementation Plan.....	29
2-19	Training Plan.....	29
2-20	Maintenance and Support Program.....	29
2-21	Cost Proposal.....	30
2-22	Client References	30
2-23	Exceptions to the RFP.....	30

PART III **CONTRACT REQUIREMENTS**

3-1	Firm Performance.....	32
3-2	Warranty.....	32
3-3	Acceptance Test.....	32

PART IV **EVALUATION OF PROPOSALS**

4-1	Required System Functions	34
4-1	Evaluation Method.....	34
4-2	Selection Criteria.....	34
4-3	Selection Process	34

PART V **RFP FORMS**

Reference Form
Disabled Veterans Business Enterprise Compliance

**Administrative Office of the Courts
RFP for Oracle Financial System 11i Upgrade**

Background Information

**Administrative Office of the Courts
RFP for Oracle Financial System 11i Upgrade**

INTRODUCTION

The State of California Administrative Office of the Courts (AOC) seeks proposals to upgrade an Oracle Financial Management System from all interested implementation software firms that have proven experience in public sector enterprise resource planning (ERP) systems and tools.

The AOC seeks to upgrade the following modules to Oracle Release 11i:

- Oracle Government General ledger/budget control
- Oracle Government Accounts payable
- Oracle Government Purchasing
- Oracle Government Fixed Assets
- Oracle Government California Extension

For ease of reference, each firm receiving this RFP is referred to as a “firm” and the firm selected to provide services for the AOC is referred to as the “selected firm”.

The selected firm will be responsible for upgrading the AOC’s existing financial application, Oracle Financial System Release 10.7 SC including the customizations, to Oracle Application Release 11i Application software to meet the AOC’s financial automation needs for the future fiscal years.

This project will consist of two phases. The first phase is the upgrade process. The AOC will work with the selected firm and its consultants to upgrade and configure the Oracle Government Financial Systems Release 11i software package, using existing setup and business processes, while making all necessary setup and programming changes to accommodate the AOC’s new Chart of Accounts. The AOC’s current plan is to exclude data conversion from the first phase. The AOC is looking for a solution where the implementation partner serves as the prime contractor with limited assistance from Oracle Consulting for leadership in the California Extension module, General Ledger setup, and Q/A.

Target completion date for the first phase is October 1, 2002. This date should be used in developing project plans and estimating recourses and cost. However, if a firm can identify a more cost effective solution with a different target date, that solution should be presented with clear justification for the alternative target date.

After a successful implementation of the first phase, the second phase is rollout. In the second phase, historical data will be converted into the new Oracle 11i Financial System.

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RFP for Oracle Financial System 11i Upgrade**

PROJECT BACKGROUND

About the Administrative Office of the Courts

The Administrative Office of the Courts (AOC) serves as the staff agency to the Judicial Council of California. The 27-member Judicial Council is the policy-making body of the California courts, the largest court system in the nation. Under leadership of the Chief Justice and in accordance with the California Constitution, the council is responsible for ensuring the consistent, independent, impartial, and accessible administration of justice.

The AOC has the direct responsibility for the financial, human resources, and information technology services to its own administrative offices, the California Supreme Court, and the six district Courts of Appeal.

CURRENT TECHNOLOGY ENVIRONMENT OVERVIEW. The AOC Information Services Division (ISD) is responsible for court technology. ISD coordinates court technology statewide, manages centralized statewide technology efforts, and optimizes the scope and accessibility of accurate statewide judicial information. In addition to the services it provides to the AOC and appellate courts (the Supreme Court and the Court of Appeal), the division supports coordination of judicial branch technology statewide.

ISD operates a local and wide area network to provide file and print services for 1,500+ users at the AOC and in the appellate courts. The network is centered in San Francisco.

The wide area network connects eight appellate court locations and the AOC's Sacramento office to the San Francisco hub. Sprint currently manages (24x7) the frame relay to the appellate court locations. Calnet provides a T-1 connection to the AOC's Sacramento office. TCP/IP and IPX/SPX protocols are routed through the cloud via OSPF and RIP protocols.

Internet connectivity is achieved via two T-1 lines through the ISD firewall to UNNET. The AOC external web site is hosted by Verio and users are allowed Internet access via an HTTP cache proxy router.

The ISD local area network is a 10/100 Mbps switched Ethernet network running TCP/IP and IPX/SPX protocols. The backbone architecture consists of two Cisco switches for redundancy, and it provides the framework of connecting 45 departmental switches. User workstations are switched to the network at dedicated 10/100Mbps. Servers are normally switched to a dedicated 100Mbps full duplex segment.

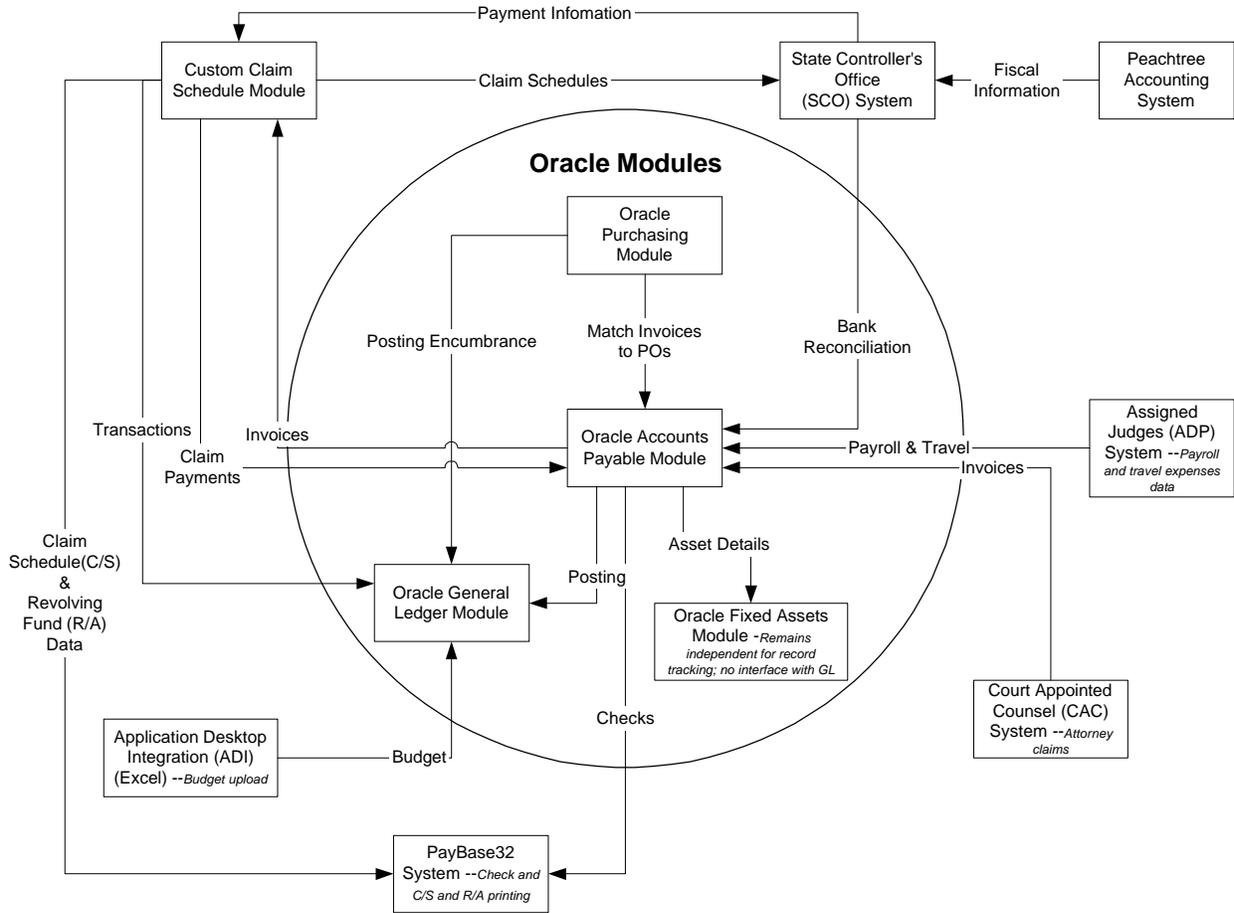
The predominant server operating system platform is UNIX for database applications (Oracle) and NetWare 5.1 for file and print services. There are some Microsoft Windows 2000 servers in various evaluation and R&D stages. Microsoft Windows 95 and 2000 are the current standard desktop operating systems and Microsoft Exchange is the messaging system.

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RFP for Oracle Financial System 11i Upgrade**

SYSTEM PERFORMANCE. The majority of the application users will normally use the system between 6:00 AM and 6:00 PM (Monday through Friday). There are times throughout the year when weekend and evening access is required. In any discussion regarding systems performance, the firm should provide any recommendations for warehousing or query database requirements necessary to meet acceptable performance standards.

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**AOC Oracle Financial System
Flow and Interfaces**



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High-Level Process Context Diagram and Descriptions

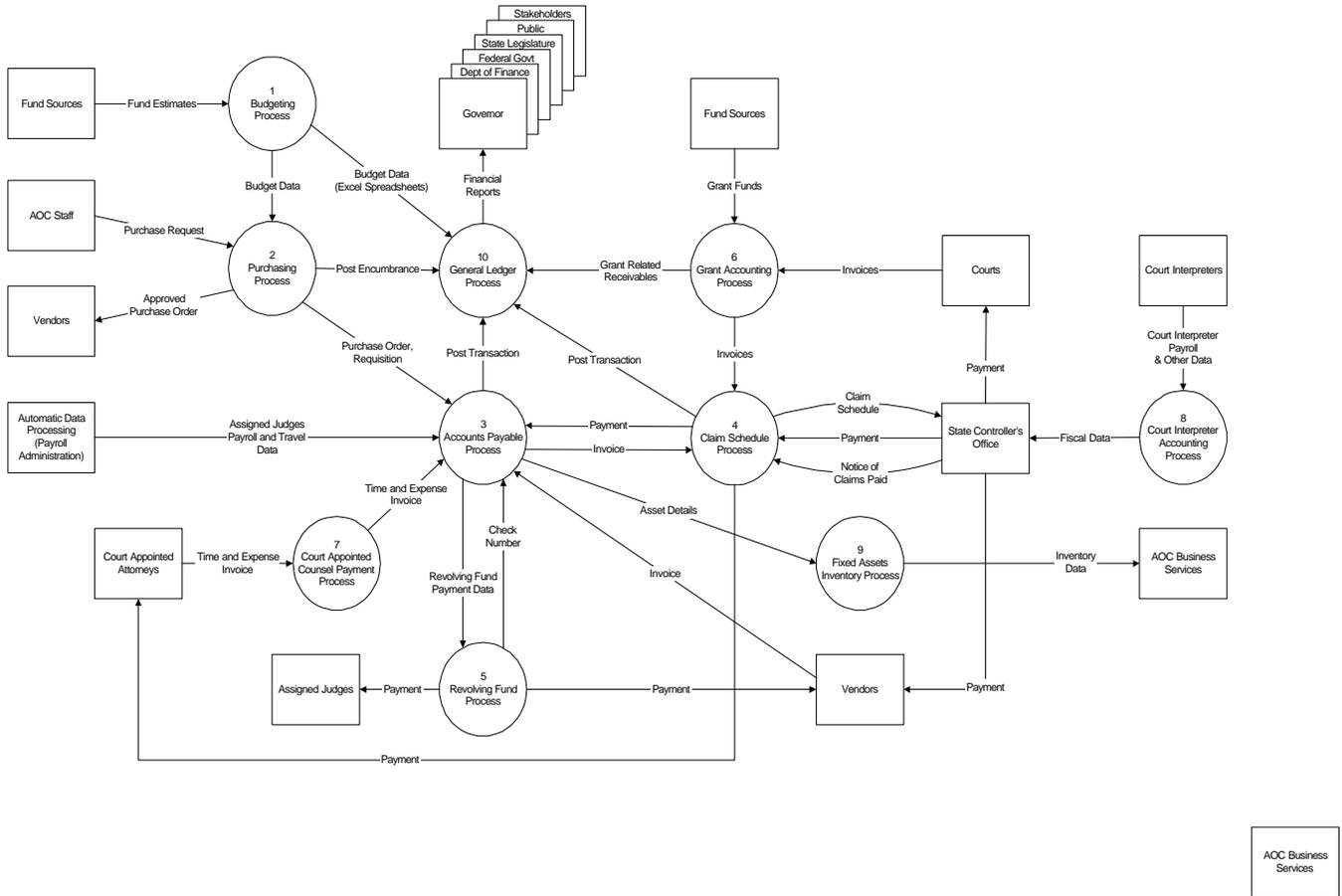
The context diagram and descriptions provide a high-level view of the major financial procedures for the AOC Financial System Requirements. Procedures in the context diagram are:

- 1. Budgeting Process*
- 2. Purchasing Process*
- 3. Accounts Payable Process*
- 4. Claim Schedule Process*
- 5. Revolving Fund Process*
- 6. Grant Accounting Process*
- 7. Court Appointed Counsel Payment Process*
- 8. Court Interpreter Accounting Process*
- 9. Fixed Assets Inventory Process*
- 10. General Ledger Process*

The context diagram appears on the next page followed by the process narratives for each of the 10 high-level processes identified in the diagram.

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Context Diagram



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OVERVIEW

The Finance Division of the AOC provides to the Judicial Branch and the Trial Courts an integrated program of budget management and coordination, accounting, internal audit, procurement, contract management, and facility coordination. The division is responsible for disbursing and accounting for over \$2.5 billion dollars annually, in addition to processing statewide appellate court-appointed counsel claims, compensating assigned judges, handling the billing and compensation of court interpreters, and providing financial administration of grant funds from multiple sources.

1. BUDGETING PROCESS

The Budgeting Process is an annual procedure that begins in May and concludes in September. During this period the AOC Budget Unit plans and develops the financial expenditures for the next fiscal year. The budget is then submitted to the State Department of Finance for review and inclusion in the Governor's Budget. The Governor's Budget is released in January and, after various legislative hearings and amendments, becomes law on July 1.

The Budget Unit develops the annual budget in Microsoft Excel spreadsheets using data from the Oracle financial system. The budget is uploaded into the Oracle system through an ADI interface.

2. PURCHASING PROCESS

The Purchasing Process involves all the activities required to purchase goods/products or services including the creation of a purchase order or contract. This process is primarily a series of approvals, verifying that the purchase is required and budget is available.

Paper requisitions with the appropriate accounting codes and manager approvals are created in each unit for all purchases or services requested. All paper requisitions are submitted to the Business Services Unit for processing. The Business Services Unit reviews and the General Ledger Accounting Unit verifies the accounting information and Business Services Unit enters each transaction into the Oracle Financial System as an encumbrance. Requisitions for goods/products, which may be bid, produce a paper purchase order that is forwarded to the vendor. When a requisition for services is submitted, there may be a bid process conducted that will result in the development of a contract. A Contract Officer tracks the status of contract approvals on an Excel spreadsheet. When all approvals are completed each contract is entered into the Financial System as an encumbrance.

Vendors submit invoices for contract tasks that have been completed to the Accounts Payable-Review Unit. The Accounts Payable-Review Unit reviews each invoice and sends it to the AOC manager to verify that the tasks/deliverables have been completed. The AOC manager approves and signs the invoice and then forwards the invoice to the Accounts Payable Unit for payment processing.

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RFP for Oracle Financial System 11i Upgrade

The invoices for goods/products are also sent to the Accounts Payable-Review Unit, which forwards the invoice to the AOC manager for approval. The AOC manager signs and then forwards the invoice to the Accounts Payable Unit for payment processing.

There is no centralized receiving department within the AOC. All goods/products are delivered to the original requesting unit.

3. ACCOUNTS PAYABLE PROCESS

The Accounts Payable (AP) Process consists of all activities required to pay AOC's vendors and employees for goods/products and services. The AP process is maintained in the Oracle financial system.

When the Accounts Payable Unit receives approved and signed invoices from the unit managers, staff match each invoice to the purchase order, re-verify that the correct account codes are being charged, and then approve payment of the invoice. Most invoices are paid through the Claim Schedule process, but if a payment must be processed quickly the Revolving Fund is utilized.

Salary and benefit calculations for Assigned Judges are contracted through Automated Data Processing (ADP). The Accounts Payable Unit imports the ADP data on a monthly basis into the Accounts Payable module for processing through the Revolving Fund.

The Accounts Payable Unit receives numerous calls from vendors regarding payment status, lost checks, change of address, etc. Research is done through the Oracle Financial System to determine if the payment was processed or the check or warrant was issued. If required, a written request to the State Controller's Office is sent to determine if the warrant has been cashed or is outstanding.

Lost payments/checks that were issued from the Revolving Fund are reissued through a manual process. A stop payment notice is sent to the State Treasury Office, the original check is voided in the Oracle system, and a new check is issued through the Revolving Fund.

Lost payments/warrants that were issued from the Claim Schedule process are reissued by the SCO after a stop payment notice is received. The SCO re-issues the warrant using the original warrant number. No change is recorded in the Oracle system regarding the re-issued warrant.

The Accounts Payable Unit is also responsible for maintaining and submitting Internal Revenue Form 1099 information to the IRS and payees. Additionally, every 20 days an "Independent Contractor Report" is submitted to the State Employment Development Department (EDD).

Administrative Office of the Courts
RFP for Oracle Financial System 11i Upgrade

4. CLAIM SCHEDULE PROCESS

The Claim Schedule Process consists of all activities required to pay AOC vendors for goods/products and services through the State Controller's Office (SCO). All firm invoices not processed through the Revolving Fund are submitted using the Claim Schedule Process. The rules for this procedure are outlined in the State Administrative Manual and involve manually preparing a paper Claim Schedule for submission to the SCO.

When invoices have been approved for payment and processed in Oracle using the Claim Schedule procedure, a number is assigned and a Claim Schedule is developed and printed. The printed Claim Schedule is then attached to the invoices and submitted to the SCO for processing. A Claim Schedule can have up to twelve different firms, each of which may have multiple invoices. The AOC creates about 4000 claim schedules each year.

The SCO processes the Claim Schedule, and then prints and mails the warrant to the firm. The SCO sends a Notice of Claims Paid report (CD102) to the AOC monthly. The warrant information is reconciled and entered by hand into the Oracle Claim Schedule module and then posted to the General Ledger and Accounts Payable modules.

5. REVOLVING FUND PROCESS

Although most invoices are paid through the Claim Schedule Process, the Revolving Fund Process consists of all activities required to pay AOC employees and vendors for goods/products and services that must be processed quickly. These payments include freight, utilities, and employee-related travel. Invoices approved for payment and processed in the Revolving Fund are exported from the Oracle financial system into the Bottomline Payment System (a product of Bottomline Technologies). The checks are printed in Bottomline and the check number and payment data are then posted to the Oracle General Ledger and Accounts Payable modules.

The Revolving Fund transactions are reimbursed by submitting a Claim Schedule to the SCO. If the Oracle Release 11i Financial Application's California Extension module is found to be compatible with AOC's Revolving Fund printing requirements, then the AOC will be interested in replacing the Bottomline software with a Revolving Fund functionality module.

6. GRANT ACCOUNTING PROCESS

The Grant Accounting Process consists of receiving, expending, and reporting all grant-related transactions. Grant expenditures are processed using the Purchasing and Accounts Payable procedures.

Grant receivables are tracked using Microsoft Excel spreadsheets. Grant receivables or the "Big Sheet" is used to track fund sources, state and federal grant amounts, limitations, timing and fund availability.

Grant reports are created using data contained in both the Oracle Financial System and the Excel spreadsheets. Even the most common grant reports must be created by hand, using data from up to three Oracle reports.

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7. COURT APPOINTED COUNSEL PAYMENT PROCESS

The Court Appointed Counsel System is a Payment and Billing Processing System, that consists of all the activities required to process court appointed attorney payment requests. When the court appoints an attorney to represent a defendant, the data is entered into the Project Office's case management system and electronically sent to the AOC's Court Appointed Counsel System (CAC). When the appointed attorney submits a claim to the Project Office requesting payment for services performed, the Project Office enters it into their case management system, and electronically submits the data to the CAC System.

The CAC System electronically creates and submits invoices to an interface table stored in Oracle Financial System's database. These invoices are then imported into the Oracle Accounts Payable module for further processing through the Claim Schedule procedure for payments.

8. COURT INTERPRETER ACCOUNTING PROCESS

The Court Interpreter Accounting Process consists of all activities required to pay court interpreters for their services. This data is entered and maintained in a Peachtree Accounting System.

Since the court interpreters program is funded with only \$240,000 and results in only 1,000 collections per year, the AOC decided that it did not need Oracle's Accounts Receivable module to manage these payments. Instead, the AOC purchased the off-the-shelf Peachtree Accounting System to manage the court interpreters' data. This data is printed and sent to the SCO, which is responsible for paying the court interpreters.

The Budget Unit uses the data in the Peachtree system, in addition to data in the Oracle system, when developing the AOC budget. The AOC would like to incorporate this functionality into the financial system and stop using the Peachtree system.

9. FIXED ASSETS INVENTORY PROCESS

The AOC utilizes the Oracle's Fixed Asset module to manage the fixed asset inventory, but the module is not connected to the Oracle Financial System. The Fixed Asset module operates as a stand-alone system.

When an invoice for goods/products is approved by the Accounts Payable Unit, a copy of the invoice is forwarded to the Business Services Unit. The descriptive details of the asset are entered into the Fixed Asset module. Fixed Assets reports are printed from this system.

10. GENERAL LEDGER PROCESS

The General Ledger process is the process by which transactions in the subsidiary Oracle Financial System modules are posted to the General Ledger module. The General Ledger Module is the primary repository for all financial information at the AOC. All financial reports, including the annual Financial Statements, are printed from the General Ledger module.

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CURRENT FINANCIAL SYSTEM

Oracle Financials character based Release 10.5 was originally implemented in July 1996. It was later upgraded to Oracle Financials Release 10.7 SC in January 1999. The AOC also has a custom "Claim Schedule" module that has been developed using Oracle Forms 4.5 and Oracle Reports 2.5. This custom module is currently invoked from a separate menu but has been interfaced with the Oracle application.

HARDWARE AND SOFTWARE ENVIRONMENT

Listed below is the current environment for the hardware and software used in the AOC.

Modules installed:

- 1) Oracle Government Payables
- 2) Oracle Government General Ledger
- 3) Oracle Government Purchasing
- 4) Oracle Assets

Although the Oracle Government Fixed Assets module is installed, it is not being actively used. All other above modules are actively used.

Hardware platform: SUN E3000

CPU: 4 at 250 MHz each

Memory: 1024 MB

Hard disk: 75 Gig total, half the space being used for mirroring

OS Version: SUN Solaris 2.6

Database version: 7.3.4.0.1

Database size: 13 GB

Oracle applications version: 10.7 SC PROD 16.1

Client platform: Windows 95 PCs and Windows 2000

Number of end users (approx): 70

Average number of users at one time: 50

SCHEDULED CHANGES

Since the Oracle financial system went online in 1996, the AOC has undergone significant organizational changes, which have greatly increased its financial responsibilities. The Chart of Accounts implemented in the AOC's financial system was created to manage the finances of a much smaller organization. Therefore, the AOC is in the process of developing a new Chart of Accounts to meet its budgeting and reporting needs. For the current financial system, Oracle Release 10.7 SC, the AOC is planning to implement a reporting set of books to be used with its new Chart of Accounts. The scheduled date for the second set of books is July 01, 2002.

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RFP for Oracle Financial System 11i Upgrade**

CUSTOMIZATIONS

The overview of the customizations below should only be used as guidance, not as the sole reference for customizations. Due to scheduled changes, the following information is subject to change.

The major customization is in the “Claim Schedule” module which was originally developed using SQL*Forms 3.0 and Oracle Reports 2.0 and has been converted to Oracle Forms 4.5 and Oracle Reports 2.5. This custom module is currently invoked from a separate menu, but it has been interfaced with the Oracle Application.

The Claim Schedules are being generated using the custom module in the Oracle system. The Claim Schedule forms are printed using a third party vendor, Bottomline’s PayBase32 system.

In addition, the following standard forms and reports have been customized. It has 4 customized reports all of which are invoked from a custom form based on passed parameters.

- 1) Print all Claim Schedules
- 2) Print selected Claim Schedules
- 3) Print all Remittance Advice
- 4) Print selected Remittance Advice

FORMS

- 1) Invoice Batch
 - a) Paygroup defaulted to Username
 - b) GL Date Field in Batch defaulted to Current Date
- 2) Payment Batch
 - a) Paygroup defaulted to Username
 - b) Bank Account defaulted to Username
- 3) Enter PO
 - a) Create a new form for manual PO numbering with the setup as Auto numbering. Both manual numbering and auto numbering forms are used.
- 4) PO Inquiry
 - a) AOC has implemented PO hierarchy. (The PO Inquiry form was not allowing all POs to be viewed. Individuals with PO Inquiry screen should be able to view all POs. For example, for PO Inquiry the hierarchy rules should not be used.)

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REPORTS

- 1) Payables Invoice Import
 - a) Transfer Descriptive Flexfields: Defaulted to Yes

- 2) Printed Purchase Order Report (Portrait)
 - a) The formatting and fields printed have been modified to fit the pre-printed purchase order per business requirement

- 3) Format Payments (Evergreen)
 - a) The format and fields have to be modified according to the preprinted checks. This program executable has been replaced by a custom report XXXPBFEG (short name). The AOC is currently using Bottomline software for check printing

OTHER CONCURRENT PROGRAMS AND REPORTS

Concurrent Programs

AOC AEL (Allotment-Expenditure Ledger)
AOC AEL - Sys Gen AP Encumbrances
AOC AP Auto Approval Add-on to create holds in special cases
AOC AR Data Load
AOC AR Detail Report by Vendor
AOC Active Vendors Report
AOC Budget by Account Report
AOC Budget by Project Report
AOC CAC Report
AOC Cash State Receipts
AOC Cash State Trust Receipts
AOC Cashbook for Judicial Council Revolving Fund
AOC Cashbook for non-Judicial Council Revolving Fund
AOC Claim Schedule Register by Claim Creation Date
AOC Claim Schedule Report by Claim Create Date
AOC Claim Schedule Report by Claim Schedule Date
AOC Claim Schedule Report by Reconciliation Date
AOC Claim Schedules Composition Report
AOC Claims Filed Report
AOC Courts Budget by Account Report
AOC Courts Expenditure by Line Item
AOC Courts Unliquidated Encumbrances (Accounting) Report
AOC Create Records for Reimbursement Invoices
AOC Custom GL - BPR_72
AOC Customized Journal - Line Report
AOC Customized Journals - General 180 Report
AOC Expenditure by Line Item

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AOC Expenditure by Project Report
AOC Expense Report by Account
AOC Format Check
AOC General Ledger
AOC General Ledger - (132 Char)
AOC General Ledger - (180 Char)
AOC Invoice Register
AOC Outstanding Claims Schedule Register
AOC PO Encumbrance Status Report
AOC Payments on Hold Report
AOC Printed Purchase Order Report (Portrait)
AOC Purchase Order Report for Courts
AOC RF Cash Balances Report
AOC RF Cash Book for Checks Report
AOC RF Cash Book for Deposits Report
AOC RF Check Register Report
AOC RF Receivables Balances Report
AOC Report of Unapproved Purchase Orders
AOC Unliquidated Encumbrances (Accounting) Report
AOC Vendor Summary Report
AOC Unliquidated Encumbrances Summary (Accounting) Report
AOC Unliquidated Encumbrances (Business Services) by PO Number Report
AOC Load AJ data
AOC Convert AJ Data
AOC Printed Change Orders Report (Portrait)
AOC Outstanding Checks Report
AOC Purchase Order Status Report
AOC CCIDS: Clean Out Bad CCIDS
AOC CCIDS: Extract AJ's ccids
AOC CCIDS: Extract Previous Year's CCIDS
AOC CCIDS: Load ccids via Zero-Amt JE
AOC Purchase Order Count for Entity and Sub Entity
AOC Cancelled Claim Schedule Report
AOC APJ Expense Report
AOC Duplicate CAC Report
AOC CS without Expenditure Report
AOC Expenditure without CS Report
AOC 1099 Vendor Exceptions Report
AOC Flexfields Fill
AOC Contracts Status Report

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FSG Report:

JC - FTF 250
JC - FTF 275
JC - FTF 295
JC - FTF 680
JC - GF REIMB 230
JC - GF REIMB 240
JC - GF REIMB 280
JC - GF REIMB 295
JC - GF REIMB 410
JC - GF REIMB 650
JC - GF REIMB 680
JC - LAFTF 250
JC - LAFTF 275
JC - LAGF 230
JC - LAGF 235
JC - LAGF 285
JC - LAGF 295
JC - LAGF 680
JC -LAFTF
Jud- My Report
Judicial Council All Funds
Judicial Council Local Assist
Judicial Council Sppt GF 110
Judicial Council Sppt GF 130
Judicial Council Sppt GF 140
Judicial Council Sppt GF 180
Judicial Council Support
Judicial Council Support GF
Judicial Council Suppt Fed Tr
Judicial Council Suppt GF Reim
Judicial Council Suppt Mtr Veh
Judiciary All Funds
Program 10 Supreme Court
Program 20 Courts of Appeal
Trial Court - All Funds
Trial Court - IF 0159
Trial Court - MF 0556
Trial Court - TF 0932
Trial Court TCTF 0932 Pgm 10
Trial Court TCTF 0932 Pgm 25
Trial Court TCTF 0932 Pgm 35
Trial Court TCTF 0932 Pgm 45

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RFP for Oracle Financial System 11i Upgrade**

Discoverer 3.1 Reports:

AJ Expenditure By Court (Trial Courts)
AJ Expenditure By County
AJ Expenditure By Court (Appellate Courts)
AUGUST 2001 - AOC
August 2001 - Courts
BudrptBEA
CAC Vendors - (for 1099 purposes)
COURT September 2001
CS Invoice of Federal Funds Recap
DEC 2001 - Courts
DEC 2001 - AOC only
Edd - Vendor report
FEB 2001 - AOC
July 2001 - COURTS
July 2001 - AOC
Nov 2001 - COURTS
November 2001 - AOC
OCT 2001 - COURTS
OCT 2001 - AOC
Payment Report
RF Invoice of Federal Funds Recap
SEPT 2001 - AOC
Sept 2001 -Courts
Supplier Information
bud_exp
expenditure
glbudget
po_balance

In Addition to the above Forms and reports there are stored procedures, triggers and views created in the application. They are listed below.

FUNCTIONS: 2

CX_CALC_CLAIM_AMT
CX_CALC_NO_OF_VENDORS

PACKAGES: 5

CX_AP_APPROVAL_MATCHED_PKG PACKAGE
CX_AP_APPROVAL_MATCHED_PKG PACKAGE BODY
CX_AP_APPROVAL_PKG PACKAGE

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CX_AP_APPROVAL_PKG	PACKAGE BODY
CX_AP_CANCEL_PKG	PACKAGE
CX_AP_CANCEL_PKG	PACKAGE BODY
CX_AP_FUNDS_CONTROL_PKG	PACKAGE
CX_AP_FUNDS_CONTROL_PKG	PACKAGE BODY
CX_GL_FUNDS_CHECKER_PKG	PACKAGE
CX_GL_FUNDS_CHECKER_PKG	PACKAGE BODY

PROCEDURES: 17

CXGREMIN
CXGREMIN_A
CXGREMIN_AJ
CX_CREATE_JE1
CX_CREATE_JE2
CX_CS_AUTOASSIGN
CX_CS_PAYALONE_AUTOASSIGN
CX_HOLD_INV
CX_INS_CLAIM_DB
CX_MANUAL_PMTS
CX_RCS_AUTOASSIGN
CX_REL_INV
CX_UPD_INV_HEADER1
CX_UPD_INV_HEADER2
INS_XX_GL_RF_CHECKS
XXRFCBA4
XX_AR_UPDATE

TRIGGERS: 8

CX_INS_SCH_NUM_GEN
XX_AP_BATCH_TRIG
XX_AP_CCID_TRIG
XX_AP_PAYP_CALC1
XX_AP_PAYP_CALC2
XX_AP_PAYP_CALC3
XX_GL_B_CW_TRIG
XX_PO_TAX_CALC

VIEWS: 17

CX_INVOICE_DISTRIBUTIONS_V
CX_INVOICE_DISTRIBUTIONS_V2

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RFP for Oracle Financial System 11i Upgrade**

CX_INVOICE_PAYMENT_CLASSES_V
CX_INVOICE_SCHEDULES_V
CX_RF_REIM_INVOICES_V
CX_SELECTED_INVOICES_V
CX_USER_V
XX_CAC_DUP_INVOICES
XX_CAC_DUP_INVOICES_PLUSMINUS
XX_CAC_INVOICES
XX_EXPENSE_BY_ACCOUNT_V
XX_GL_RF_CHECKS_V
XX_OUT_JC_RF_CLAIMS_SCH_REG_V
XX_SAME_INVOICE_DIFF_AMTS
XX_SAME_INVOICE_DIFF_AMTS_V2
XX_UNLIQ_ENCUM_BS_V
XX_UNLIQ_ENCUM_V

IMPORTS AND INTERFACES TO THE APPLICATION

- 1) Assigned Judges Payroll Invoice Import
This import is done through the application interface tables.
- 2) Court Appointed Council (CAC) Invoice Import
This import is done through the application interface tables.
- 3) Budget Upload
Budget Upload is done using ADI.
- 4) State Controller System (SCO) AOC Bank Recon Interface
This import is done using FTP, and the data is loaded through the application interface tables.

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RFP for Oracle Financial System 11i Upgrade**

Part I

Purpose and Scope

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PURPOSE AND SCOPE

Project Objectives. This process is driven by the need for the following:

1. Change of the Chart of Accounts
2. Reliable financial information
3. Standard financial policies, reports, and procedures
4. Common technical solutions
5. Standardized information to support budget requests
6. Real-time access to information
7. Replacement of software prior to desupport dates of the current application and database releases
8. Ability to generate audit trails

Project Resources. The AOC has appointed a project manager for this project. The project manager reports to a management team that is responsible for overall policy decisions during the firm selection process. AOC accountants will be assigned to this project to provide full-time assistance to the firm in configuring the software.

1-1 PURPOSE. AOC is seeking proposals for an Oracle Financial Systems (database, application, and tools) upgrade, implementation, and training service.

The firm must have experience in the following, financial modules:

- Oracle Government General Ledger/Budget Control
- Oracle Government Accounts Payable
- Oracle Government Purchasing
- Oracle Assets
- Oracle Government California Extension

Although they are not in the scope of this RFP, the AOC is considering adding new functionalities and/or changing current functionalities to accommodate the AOC's changing business processing needs. In addition, the AOC is considering future implementation of the following modules:

- Oracle Government Accounts Receivable
- Oracle Government Grants Accounting
- Oracle Government Project Accounting
- Oracle Government Budget

Administrative Office of the Courts
RFP for Oracle Financial System 11i Upgrade

1-2 **SCOPE.** The scope of the service that the AOC is seeking for the Oracle Financial System upgrade project is:

- Upgrade Oracle Database Software 7.3.4 to the latest release of Oracle Database Software 8i.
- Install and configure the latest Oracle Release 11i Application server(s) and tools.
- Upgrade the current Oracle Application Release 10.7 SC setup to the latest release of Oracle Application 11i.
- Upgrade Application Desktop Integrator (ADI).
- Upgrade Discoverer.
- Upgrade Interfaces.
- Upgrade custom Claim Schedule programs. Access to this module should be through the main Oracle Application. (If the AOC decides to implement Oracle Government California Extension module, which is available with R11i, this bullet will not be applicable.)
- Upgrade custom reports.
- Provide training.
- Perform data conversion from current database to new system.

**Administrative Office of the Courts
RFP for Oracle Financial System 11i Upgrade**

Part II

Submittal Requirements

**Administrative Office of the Courts
RFP for Oracle Financial System 11i Upgrade**

SUBMITTAL REQUIREMENTS

- 2-1 ISSUING AGENT.** The Administrative Office of the Courts (AOC) is issuing this RFP. Firms are specifically directed NOT to contact any AOC personnel for meetings, conferences, or technical discussions that are related to the RFP. Unauthorized contact of any AOC personnel may be cause for rejection of the firm's RFP response. All communications regarding the general RFP process should be directed to Project Manager for the Financial System Upgrade for the AOC.

The RFP does not constitute a contract or an offer for employment. The awarding of any contract pursuant to this RFP is contingent upon funds being made available by the State in the appropriate fiscal year for the purposes of this project. In addition, any contract awarded as a result of this RFP is subject to any additional restriction, limitation, or condition enacted by the Legislature or established by the Judicial Council of California that may affect the provisions, funding or terms of the of the contract in any manner. The AOC reserves the right to make one award, multiple awards, or reject all proposals submitted in response to this RFP.

- 2-2 SUBMISSION REQUIREMENTS.** To facilitate evaluation of proposals, the entire proposal must be submitted. In addition, copies of responses to requirements, as well as one original and seven (7) hard copies shall be submitted to the address shown below.

The original shall be clearly marked "original." Proposals must be received no later than **5:00 PM (Pacific) on April 15, 2002.** Proposals shall be marked "Government Financial System—Sealed Proposal." Late proposals will not be considered.

Mailing Address:

Ms. Alice Wu
Administrative Office of the Courts
Information Services Division
455 Golden Gate Avenue, 3rd Floor
San Francisco, CA 94102

Administrative Office of the Courts
RFP for Oracle Financial System 11i Upgrade

Please use the following checklist to ensure that you are submitting a complete proposal:

- Upgrade assessment containing implementation scope, objectives, and approach.
- Proposed implementation plan including schedule.
- Cost Proposal.
- The entire proposal shall be submitted.
- One original and seven (7) bound copies of the proposal presented in a professional manner are to be submitted.
- Include references with government project manager names and telephone numbers.
- Current certified Financial Statements.

2-3 DELIVERY OF PROPOSAL. Each proposal **must** be received by the date and time set for closing receipt of offers. The submission shall be identified with the name of the firm and the date and time of closing.

Proposals received prior to the time of the opening will be securely kept, unopened. No responsibility will be attached to the owner for the premature opening of a proposal not properly addressed and identified.

The AOC cautions firms to assure actual delivery of mailed or hand-delivered proposals directly to AOC **prior** to the established deadline.

2-4 PROPOSAL COSTS. Those submitting proposals do so entirely at their expense. There is no expressed or implied obligation by the AOC to reimburse any individual or firm for any costs incurred in preparing or submitting proposals, providing additional information when requested by the AOC, or participating in any selection interviews.

2-5 ACCEPTANCE. Submission of any proposal indicates a firm's acceptance of the conditions contained in this RFP unless clearly and specifically noted otherwise in the proposal.

2-6 INTERPRETATIONS, DISCREPANCIES, OMISSIONS. If a firm submitting a proposal discovers any ambiguity, conflict, discrepancy, omission, or other error in this RFP, the firm shall immediately provide the AOC with written notice of the problem and request that this RFP be clarified or modified. Without disclosing the source of the request, the AOC may modify this RFP prior to the date fixed for submission of proposals by issuing an addendum to all firms to whom this RFP was sent.

**Administrative Office of the Courts
RFP for Oracle Financial System 11i Upgrade**

If prior to the date fixed for submission of proposals, a firm submitting a proposal knows of or should have known of an error in this RFP but fails to notify the State of the error, the firm shall bid at its own risk, and if the firm is awarded the contract, it shall not be entitled to additional compensation of time by reason of the error or its later correction. All written requests for clarification should be addressed to **Ms. Alice Wu** at Administrative Office of the Courts, Information Services Division, 455 Golden Gate Avenue, 3rd Floor, San Francisco, CA 94102 or they may be e-mailed to: alice.wu@jud.ca.gov.

- 2-7 REJECTION.** The AOC reserves the right to reject any and all proposals, to waive any of these procedures for submitting proposals, to waive any formality in proposals received, to accept or reject any or all of the items in the proposal, and to award the contract in whole or in part and/or negotiate any or all items with individual firms if it is deemed in the AOC's best interest. Moreover, the AOC reserves the right to make no selection if proposals are deemed to be outside the fiscal constraint or against the best interests of the government.
- 2-8 INDEMNIFICATION.** The firm agrees to indemnify and hold harmless the State of California Court System, its officers, employees, and agents, from and against all claims, damages, losses, and expenses arising out of the submission of your bid and any possible subsequent contract. This indemnification obligation shall not be limited in any way by any limitation on the amount or type of damages, compensation or benefits payable for or by the firm or any agent of the firm under the Workers' Compensation Act, disability benefit acts or other employee benefits acts.
- 2-9 CONFIDENTIAL MATTERS.** If any information submitted in firm proposals is confidential or proprietary, the firm must provide that information on pages separate from non-confidential information and clearly label the pages containing confidential information "CONFIDENTIAL."
- If the AOC concurs that disclosure would expose proprietary information, the information will be kept in confidence. If the AOC does not concur regarding the proprietary nature of the information, the AOC will notify the firm, who can then decide whether or not to submit its proposal without claim of confidentiality.
- 2-10 RETENTION OF FIRM MATERIAL.** The AOC reserves the right to retain all proposals, excluding proprietary documentation, regardless of which response is selected. No proposals will be sent back to firms.
- 2-11 COMPLIANCE WITH THE DISABLED VETERANS BUSINESS ENTERPRISE (DVBE).** This procurement is being conducted in full compliance with the Disabled Veterans Business Enterprise rules. Please refer to mandatory submittal forms for compliance procedures.

**Administrative Office of the Courts
RFP for Oracle Financial System 11i Upgrade**

2-12 PROPOSAL FORMAT. In order to facilitate the analysis of responses to this RFP, firms are required to prepare their proposals in accordance with the instructions outlined in this section. Each firm is required to submit the proposal in a sealed package.

Proposals should be prepared as simply as possible and provide a straightforward, concise description of the firm’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. The proposal must be clearly tabbed, indexed, and organized. The proposal must be organized into the following major sections:

Section	Title
	Title Page
	Letter of Transmittal
	Table of Contents
1.0	Executive Summary
2.0	Scope of Services
3.0	Company Background
4.0	Third-Party Products/Optional Software (if any)
5.0	Implementation Plan
6.0	Training Plan
7.0	Maintenance and Support Program
8.0	Cost Proposal
9.0	Client References
10.0	Exceptions to the RFP

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

2-13 LETTER OF TRANSMITTAL. The firm must prepare a cover letter on the firm'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 letter must state the length of time the proposal terms remain firm, which must be for a minimum of 120 days from the proposal due date. An unsigned cover letter will cause rejection of the proposal.

2-14 EXECUTIVE SUMMARY. (Section 1.0) This part of the response to the RFP should be limited to a brief narrative highlighting the firm’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 firm—including a valid e-mail address.

Administrative Office of the Courts
RFP for Oracle Financial System 11i Upgrade

2-15 **SCOPE OF SERVICES.** (Section 2.0) This section of the firm’s proposal must include a general discussion of the firm’s understanding of the “overall” project, the scope of work proposed.

2-16 **COMPANY BACKGROUND.** (Section 3.0) Firms must provide the following information about their company, so that the AOC can evaluate the firm’s stability and ability to support the commitments set forth in response to the RFP. The AOC, at its option, may require a firm to provide additional support and/or clarify requested information.

The implementation firm must outline the company’s background, including:

- How long the company has been in business.
- A brief description of the company size and organizational structure.
- The firm’s relationship with Oracle including certification status and partnerships.
- Most recent audited financial statements (e.g., annual sales, profitability, etc.) (i.e., attach annual report).
- Listing of public sector installs and upgrades by name and state. State government customers are to be listed first. The number of users should also be included.
- Experience on similar assignments (Oracle 11i implementation experience)
- Any material (including letters of support or endorsement from clients) indicative of the firm’s capabilities.

The State of California Information Practices Act of 1977 requires the AOC to notify all firms of the following:

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.

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.

The AOC will treat all financial information provided as confidential when designated as such. This information will only be shared with Judicial Branch personnel involved in the evaluation. All financial data will be destroyed if requested. Firms may be required to provide additional financial information as part of the RFP process.

2-17 **THIRD-PARTY PRODUCTS/OPTIONAL SOFTWARE.** (Section 4.0) The firm 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 firm’s contract will encompass the third-party product and/or whether the AOC will have to contract on its own for the product.

Include a description of any products, features or other value added components that have not been specifically requested in this RFP.

**Administrative Office of the Courts
RFP for Oracle Financial System 11i Upgrade**

2-18 IMPLEMENTATION PLAN. (Section 5.0) The firm must provide a detailed plan for implementing the system to meet AOC’s target project completion date of October 1, 2002 or the alternative target date proposed by the firm. However, if the firm can identify better alternative solution for AOC, then the solution should be presented. The implementation plan must include the following topics:

- Proposed upgrade strategy for AOC.
- Provide the minimum suggested hardware specifications that will be needed for the successful implementation of the upgrade.
- Methodology used.
- The name of any third-party products that are part of the proposed solution.
- The number of employees who will be dedicated to support, implementation, and development of the system.
- Provide information on those individuals assigned to work with the AOC indicating a description of their experience.
- The level of responsibility that firm will take for all aspects of hardware and software implementation.
- The maximum delivery time for custom programming jobs.

The plan must include an estimated time frame for configuration by module.

2-19 TRAINING PLAN. (Section 6.0) The firm must provide a detailed plan for project team training and technology personnel. This information **MUST** include:

- Overview of proposed training, including options for on-site or off-site training services, for project team and technology personnel.
- Use of third-party training resources. Firm should identify third party partners that provide training on the use of their application.

2-20 MAINTENANCE AND SUPPORT PROGRAM. (Section 7.0) Specify the nature of any post-implementation and support provided by the firm including:

- Post-Implementation support (e.g., 3 months of on-site support after go-live).
- Telephone support (include toll-free support hotline, hours of operation, availability of 24 x 7 hotline, etc.).
- Problem reporting.
- Warranties.
- Other support (e.g., on-site, remote dial-in, Web site access to patches, fixes and knowledge base).

2-21 COST PROPOSAL. (Section 8.0) Submit a detailed line item budget showing the cost of services as detailed below: The rates provided must be fully explained in a narrative entitled “Budget Justification.”

Administrative Office of the Courts
RFP for Oracle Financial System 11i Upgrade

- Describe how the AOC will be charged for all training, upgrade, customization, data conversion, and consultant services to be provided by the firm.
- Provide detailed price lists and percentage discounts applicable to the AOC. Include the cost of travel and related expenses.

2-22 **CLIENT REFERENCES.** (Section 9.0) The AOC considers references of the implementing firm to be an important part of the process in awarding a contract and will be contacting references as part of this selection. Firms are required to provide AOC with reference information as part of their proposals using the reference forms provided in this RFP. The AOC will be conducting the reference checks. **The AOC will not call firms to tell them that their references will be contacted because all references provided will be contacted by the AOC during the selection process. Similarly, the AOC will not work through a firm's Reference Manager to complete a reference.** The names and phone numbers of the government project manager must be listed. Failure to provide this information may result in the firm's exclusion from consideration.

Implementing firms must provide at least five (5) client references that are similar in size and complexity to this procurement and have utilized the proposed system in a comparable computing environment. Submit references for fully completed (live) upgrade and/or installations. Information must include at the minimum: date of installation, length of implementation, name of client reference, name of agency's project manager, jurisdiction, address, telephone and fax numbers. ***Please inform references that they will be called by AOC in April and May of 2002.***

2-23 **EXCEPTIONS TO THE RFP.** (Section 10.0) 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.

**Administrative Office of the Courts
RFP for Oracle Financial System 11i Upgrade**

Part IV

Contract Requirements

**Administrative Office of the Courts
RFP for Oracle Financial System 11i Upgrade**

CONTRACT REQUIREMENTS

- 3-1 FIRM PERFORMANCE.** The firm will be required to meet specific performance standards established during the contract negotiation process. A project schedule specifying significant benchmark events and a project completion date will be required as part of the contract. This plan will include firm delivery deadlines and will be jointly developed by the AOC and the firm.

The AOC may make such investigations as they deem necessary to determine the ability of the firm to perform the work proposed. The firm shall furnish to the AOC or its consultants within five (5) days of request all such information and data for this purpose as may be required. The AOC reserves the right to reject any proposal if the evidence submitted or investigation of the firm fails to satisfy that the firm is properly qualified to fulfill the obligations of the contract and to complete the work contemplated therein. Conditional proposals will not be accepted.

- 3-2 WARRANTY.** A warranty is sought for implementation services.

Implementation Services Firm. The AOC expects a warranty for implementation services (e.g., work products, developed modifications, and system configuration) for a minimum of 18 months after the system acceptance (configuration phase) date of the respective modules. It is assumed that firms have priced their services to recognize these warranty provisions. The extent of the warranty coverage will be evaluated as part of the overall procurement process.

- 3-3 ACCEPTANCE TEST.** Specific mutually agreeable criteria for successful system operation must be established. The selected firm will be required to participate with appropriate AOC personnel in testing the functionality of the upgraded system to ascertain conformance with the acceptance criteria before the system will be accepted by the AOC.

**Administrative Office of the Courts
RFP for Oracle Financial System 11i Upgrade**

Part IV

Evaluation Of Proposals

Administrative Office of the Courts
RFP for Oracle Financial System 11i Upgrade

- 4-1 REQUIRED SYSTEM FUNCTIONS.** The AOC does not anticipate purchasing hardware through this RFP. However, firms should submit optimal hardware requirements, desktop requirements, network requirements, operating system and platform requirements, and other sizing information when submitting responses to this proposal.
- 4-2 EVALUATION METHOD.** The AOC will evaluate all proposals deemed responsive to this proposal. The initial evaluation will consider only the qualifications and demonstrated competence of each proposal. Following the evaluation team's analysis of the written proposals and discussions, the proposals will be ranked to establish the four (4) highest scored responses. Discussions and negotiations may take place with the short-listed firms to ensure clarification, refinement of scope and costs, and to obtain a best and final offer. The award will be based upon the proposal that is determined to be the most advantageous to the AOC.
- 4-3 SELECTION CRITERIA.** The intention of the AOC is to procure a functionally complete, cost effective, integrated financial system. Firms will be evaluated according to the following criteria:
- Quality of the work plan submitted.
 - Experience on similar assignments (implementation/upgrade firm in the public sector).
 - Complexity of managing the implementation (i.e., the more firms proposed to be part of the implementation the greater the complexity).
 - Oracle Release 11i implementation and training plans.
 - Referenceable performance of implementation/upgrade services firms elsewhere in the public sector, potentially including site visits.
 - Firm financial stability.
 - Quality, clarity, and responsiveness of proposal in conformance with instructions, conditions, and format contained herein.
- 4-4 SELECTION PROCESS.** It is intent of the evaluation committee to select four (4) proposals and invite these selected firms to a question-and-answer presentation. The AOC would like to hear the presentation not from the firm's sales team but from the firm's 11i upgrade project team. After the presentations, the evaluation committee will then negotiate with the firm that has presented, in the determination of the evaluation committee, the best proposal in an attempt to reach a final agreement. If no agreement is reached, the evaluation committee can negotiate with the next ranked presenter or make no award under this RFP. At any time, the evaluation committee can reject all bids and make no award under this RFP.

**Administrative Office of the Courts
RFP for Oracle Financial System 11i Upgrade**

Part V

RFP Forms

- Reference Form
- Disabled Veterans Business Enterprise Compliance