



Judicial Council of California
Administrative Office of the Courts

Information Services Division
455 Golden Gate Avenue ♦ San Francisco, CA 94102-3660
Telephone 415-865-7400 ♦ Fax 415-865-7496 ♦ TDD 415-865-4272

RONALD M. GEORGE
Chief Justice of California
Chair of the Judicial Council

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Administrative Director of the Courts

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Chief Deputy Director

PATRICIA YERIAN
Director
Information Services Division

TO: File Tracking Application Providers

FROM: Administrative Office of the Courts
Information Services Division

DATE: September 6, 2002

SUBJECT/PURPOSE OF MEMO: **REQUEST FOR PROPOSALS**
Court Case File Tracking Application Using Bar Codes

ACTION REQUIRED: You are invited to review and respond to the attached Request for Proposals (“RFP”):
Project Title: Court Case File Tracking Application Using Bar Codes
RFP Number: IS020906

DEADLINE: **Proposals must be received by 5 p.m. on September 30, 2002**

SUBMISSION OF PROPOSAL: Send proposals to:
Judicial Council of California
Administrative Office of the Courts
Attn: Nadine McFadden
Finance Division
455 Golden Gate Avenue, 5th floor
San Francisco, CA 94102-3660

CONTACT FOR FURTHER INFORMATION: NAME: PHONE: FAX: E-MAIL:
Peter Clark 415-865-7472 415-865-7499 peter.clark@jud.ca.gov

1.0 GENERAL INFORMATION

1.1 Background: Judicial Council & Administrative Office of the Courts

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

1.2 Background: Information Services Division

The AOC Information Services Division coordinates court technology statewide, manages centralized statewide technology efforts, optimizes the scope and accessibility of accurate statewide judicial information, and supports statewide coordination of judicial branch technology.

System environment:

- UNIX platform, Sun OS5.6
- Novell Netware 5.1 file server OS
- Oracle 8.0.6 database
- Microsoft Windows 2000

Forecourt, the Court of Appeal case management system, is a client/server application. The primary development tool is Unify/Acell, a character-based 4GL tool.

2.0 PURPOSE OF THIS RFP

The AOC Information Services Division seeks a court case file tracking application using bar codes.

The file tracking application is for use by the California Court of Appeal, District 2, which has clerk's offices in Los Angeles and Ventura. District 2 adds approximately 9,000 cases per year.

3.0 SCOPE OF SERVICES

3.1 File Tracking Overview

District 2 case files are stored in doghouses. A case file may require multiple doghouses. (A doghouse is a sturdy folder with a spine, front and back covers, and tapes for tying bows to secure the contents attached at the centers of the top, bottom, and right sides of the front and back covers.)

The file tracking application will receive case-specific information from Forecourt, the Court of Appeal case management system. The file tracking application will provide bar codes and produce bar code labels for doghouses and for locations where doghouses are stored (sites, shelves, and boxes). It will provide the ability to scan the bar codes to track the storage locations of case files. Doghouse labels will include case number and other case data.

Each time a case file is put in a storage location:

- Court staff will scan the doghouse and storage location bar codes into the file tracking application.
- The file tracking application will send the case number and storage location information to Forecourt.
- Forecourt will add a file location docket event entry for the case with note text indicating the location.

3.2 Requirements

For each new case file, Forecourt will send the file tracking application the following data:

- a. Case number (example: *B123456*)
- b. Case caption (short title) (*People v. Smith*)
- c. Case type (*criminal, civil, juvenile, juvenile dependency, other*)
- d. Case cause (*appeal, original proceeding, other*)

This data will be sent as an ASCII fixed-length, space-delimited text file unless another format is agreed upon with the file tracking application vendor.

1.	The file tracking application will provide bar codes for case doghouses and will produce labels with bar code, data items (a) through (d) above, and an indication of the number of doghouses for the case file (examples: <i>doghouse 1 of 1; doghouse 4 of 7</i>). One case file can have multiple doghouses. The number of doghouses for a case file can change over time.
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2.	<p>The file tracking application will provide bar codes for storage locations:</p> <ul style="list-style-type: none"> a. Storage sites (examples: <i>file room, basement storage, off-site storage</i>) b. Individual shelves c. Boxes <p>A doghouse can be stored directly on a shelf. Or a doghouse can be put in a box with other doghouses for the same case and/or doghouses for other cases, and then the box can be stored on a shelf.</p>
3.	<p>Bar codes will be read by hand-held scanner.</p>
4.	<p>When a case file is put in a new storage location, the file tracking application will record case file location via scanned doghouse and storage location bar codes. The file tracking application will send Forecourt an ASCII fixed-length, space-delimited text file with the following case data:</p> <ul style="list-style-type: none"> a. Case number b. Date the file was put in the location c. Storage site indicator (examples: <i>file room, basement storage, off-site storage</i>) d. Depending on storage site, one of the following: <ul style="list-style-type: none"> 1) Case-shelf indicator (may be multiples for one case) 2) Storage box number (may be multiples for one case) & storage box-shelf indicator for each box 3) Storage box number (may be multiples for one case)
5.	<p>The file tracking application will be on-site at the court. No data will be sent outside the court.</p>
6.	<p>For data transfer between Forecourt and the file tracking application:</p> <ul style="list-style-type: none"> a. AOC Information Services staff—not the provider of the tracking application—will be responsible for programming for extraction of data to be sent from Forecourt to the file tracking application and for storage in Forecourt case records of data sent from the file tracking application to Forecourt. b. The timing and method of data transfer between Forecourt and the file tracking application are to be determined.

7.	<p>The file tracking application will maintain a record of the following information for each case:</p> <ul style="list-style-type: none">a. The basic case data received from Forecourt:<ul style="list-style-type: none">• Case number (example: <i>B123456</i>)• Case caption (short title) (<i>People v. Smith</i>)• Case type (<i>criminal, civil, juvenile, juvenile dependency, other</i>)• Case cause (<i>appeal, original proceeding, other</i>)b. The doghouse bar codes for the case record and the number of doghouses.c. The current storage location of the case record doghouses. The application does not need to retain a record of previous locations. <p>Court staff will be able to retrieve this information from the file tracking application by searching using case number.</p>
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3.3 Hardware and software

A vendor’s proposal must include specifications and costs for all hardware and software that must be acquired to implement the file tracking application in the District 2 court locations at Los Angeles and Ventura. The proposal must specify the number of vendor staff hours that will be required for customization.

3.4 Staff training

The vendor will train in-house staff at the District 2 court locations in Los Angeles and Ventura on installation and use of the file tracking application.

3.5 Completion date

The file tracking application will be installed, fully tested by the vendor, and operational by **January 31, 2003**.

4.0 SPECIFICS OF A RESPONSIVE PROPOSAL

The proposal shall include the following information:

- 4.1 Name, address, telephone number(s), and social security number or tax identification number of service provider.

- 4.2 Five copies of the proposal signed by an authorized representative of the service provider, including name, title, address, and telephone number of the person who is the service provider's designated representative.
- 4.3 Resumes describing the background and experience of key staff, as well as each individual's ability and experience in conducting the proposed activities.
- 4.4 Description of key staff's knowledge of the requirements necessary to complete this project.
- 4.5 Names, addresses, and telephone numbers of clients for whom the provider has provided similar services.
- 4.6 Straightforward, concise information that satisfies the requirements set forth in Section 3.0 above. Expensive bindings, color displays, and the like are not necessary or desired. Emphasis should be placed on conformity to the State's instructions, requirements of this RFP, and completeness and clarity of content.
- 4.7 An overall plan with time estimates for completion of all work required.

5.0 COST PROPOSAL

The proposal shall include a detailed line item budget showing total cost of the services, software license fees, etc. All budget line items shall be fully explained and justified in a narrative entitled "Budget Justification."

6.0 RIGHTS

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

Only written responses will be accepted. Responses should be sent by registered or certified mail or hand delivered and must be received by **5 p.m. on Monday, September 30, 2002**. Service providers may send the AOC an advance copy by fax to Peter Clark at the fax number listed in Section 7.0 below. However, sending an advance copy by fax does not satisfy the submission requirements of Section 4.0.

7.0 PROJECT MANAGEMENT

The Project Manager for this RFP process is:

Peter Clark, Business Systems Analyst
Information Services Division
Administrative Office of the Courts
455 Golden Gate Avenue, 3rd floor
San Francisco, CA 94102-3660

Phone: 415-865-7472

Fax: 415-865-7499

E-mail: peter.clark@jud.ca.gov

8.0 EVALUATION OF PROPOSALS

AOC staff will evaluate proposals using the following criteria:

- A. Quality of work plan submitted.
- B. Experience on similar assignments.
- C. Credentials of staff to be assigned to the project.
- D. Ability to meet project deadline.
- E. Favorableness of cost proposal.

9.0 ADDITIONAL REQUIREMENTS

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

10.0 PROPOSED CONTRACT TERMS AND ADMINISTRATIVE RULES

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. Generally, the terms of the contract will include, but are not limited to: (1) completion of the project within the timeframe provided; (2) no additional work authorized without prior approval; (3) no payment without prior approval; (4) funding availability subject to Legislature; (5) termination of contract under certain conditions; (6) indemnification of the State; (7) approval by the State of any subcontractors; (8) National Labor Relations Board, drug-free workplace, nondiscrimination, and ADA requirements; and (9) minimum appropriate insurance requirements.

Incorporated in this RFP, and attached as Attachment A, is a document entitled “Administrative Rules Governing Requests for Proposals.” Service providers shall follow these rules in preparing their proposals.

11.0 DISABLED VETERAN BUSINESS ENTERPRISE PARTICIPATION GOALS

The State requires contract participation goals of three percent (3%) for disabled veteran business enterprises (DVBEs). Therefore, your response should demonstrate DVBE compliance; otherwise, if it is impossible for your firm to comply, please use the DVBE participation form attached as Attachment B to explain why and demonstrate written evidence of a “good faith effort” to achieve participation. Your firm must complete the attached DVBE participation requirement form even if it is only to explain why your firm cannot achieve the participation goal. Completing the attached form to the extent feasible is mandatory to be responsive to this solicitation’s requirements. If your firm has any questions regarding the form, you should contact the AOC Contracting Officer, Stephen Saddler, at 415-865-7989. For further information regarding DVBE resources, please contact the California Office of Small Business and DVBE Certification, at 916-375-4940.

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

ADMINISTRATIVE RULES GOVERNING REQUESTS FOR PROPOSALS

A. General

1. This solicitation document, the evaluation of proposals, and the award of any contract shall conform with current competitive bidding procedures as they relate to the procurement of goods and services. A vendor's proposal is an irrevocable offer for 30 days following the deadline for its submission.
2. A nondiscrimination clause will be included in any contract that ensues from this solicitation document.
3. In addition to explaining the State's requirements, the solicitation document includes instructions which prescribe the format and content of proposals.

B. Errors in the solicitation document

1. If a vendor submitting a proposal discovers any ambiguity, conflict, discrepancy, omission, or other error in this solicitation document, the vendor shall immediately provide the State with written notice of the problem and request that the solicitation document be clarified or modified. Without disclosing the source of the request, the State may modify the solicitation document prior to the date fixed for submission of proposals by issuing an addendum to all vendors to whom the solicitation document was sent.
2. If prior to the date fixed for submission of proposals a vendor submitting a proposal knows of or should have known of an error in the solicitation document but fails to notify the State of the error, the vendor shall bid at its own risk, and if the vendor is awarded the contract, it shall not be entitled to additional compensation or time by reason of the error or its later correction.

C. Questions regarding the solicitation document

1. If a vendor's question relates to a proprietary aspect of its proposal and the question would expose proprietary information if disclosed to competitors, the vendor may submit the question in writing, conspicuously marking it as "CONFIDENTIAL." With the question, the vendor must submit a statement explaining why the question is sensitive. If the State concurs that the disclosure of the question or answer would expose proprietary information, the question will be answered, and both the question and answer will be kept in confidence. If the State does not concur regarding the proprietary nature of the question, the question will not be answered in this manner and the vendor will be notified.

2. If a vendor submitting a proposal believes that one or more of the solicitation document's requirements is onerous or unfair, or that it unnecessarily precludes less costly or alternative solutions, the vendor may submit a written request that the solicitation document be changed. The request must set forth the recommended change and vendor's reasons for proposing the change. Any such request must be submitted to **Peter Clark** at the Administrative Office of the Courts by **5 p.m. on September 20, 2002**.

D. Addenda

1. The State may modify the solicitation document prior to the date fixed for submission of proposals by faxing an addendum to the vendors to whom the solicitation document was sent. If any vendor determines that an addendum unnecessarily restricts its ability to bid, it must notify **Peter Clark** at the Administrative Office of the Courts no later than one day following the receipt of the addendum.

E. Withdrawal and resubmission/modification of proposals

1. A vendor may withdraw its proposal at any time prior to the deadline for submitting proposals by notifying the State in writing of its withdrawal. The notice must be signed by the vendor. The vendor may thereafter submit a new or modified proposal, provided that it is received at the Administrative Office of the Courts no later than **5 p.m. on September 30, 2002**. Modification offered in any other manner, oral or written, will not be considered. Proposals cannot be changed or withdrawn after **5 p.m. on September 30, 2002**.

F. Evaluation process

1. An evaluation team will review in detail all proposals that are received to determine the extent to which they comply with solicitation document requirements.
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 bid to be rejected.
3. Proposals that contain false or misleading statements may be rejected if in the State's opinion the information was intended to mislead the state regarding a requirement of the solicitation document.

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.
5. During the evaluation process, the State may require a vendor's representative to answer questions with regard to the vendor's proposal. Failure of a vendor to demonstrate that the claims made in its proposal are in fact true may be sufficient cause for deeming a proposal nonresponsive.

G. Rejection of bids

1. The State may reject any or all proposals and may or may not waive an immaterial deviation or defect in a bid. The State's waiver of an immaterial deviation or defect shall in no way modify the solicitation document or excuse a vendor from full compliance with solicitation document specifications. The AOC reserves the right to accept or reject any or all of the items in the proposal, to award the contract in whole or in part and/or negotiate any or all items with individual vendors 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 interest of the government.

H. Award of contract

1. Award of contract, if made, will be in accordance with the solicitation document to a responsible vendor submitting a proposal compliant with all the requirements of the solicitation document and any addenda thereto, except for such immaterial defects as may be waived by the State.
2. The State reserves the right to determine the suitability of proposals for contracts on the basis of a proposal's meeting administrative requirements, technical requirements, its assessment of the quality of service and performance of items proposed, and cost.

I. Decision

1. Questions regarding the State's award of any business on the basis of proposals submitted in response to this solicitation document, or on any related matter, should be addressed to:

Peter Clark, Business Systems Analyst
Information Services Division
Administrative Office of the Courts
455 Golden Gate Avenue, 3rd floor
San Francisco, CA 94102-3660
E-mail: peter.clark@jud.ca.gov

J. Execution of contracts

1. The State will make a reasonable effort to execute any contract based on this solicitation document within 30 days of selecting a proposal that best meets its requirements.
2. A vendor submitting a proposal must be prepared to use a standard state contract form rather than its own contract form.

K. Protest procedure

1. The Administrative Office of the Courts intends to be completely open and fair to all vendors in selecting the best possible system within budgetary and other constraints described in the solicitation document. In applying evaluation criteria and making the selection, members of the evaluation team will exercise their best judgment.
2. A vendor submitting a proposal may protest the award if it meets all the following conditions:
 - a. the vendor has submitted a proposal which it believes to be responsive to the solicitation document;
 - b. the vendor believes that its proposal meets the State's administrative requirements and technical requirements, proposes items of proven quality and performance, and offers a competitive cost to the State; and
 - c. the vendor believes that the State has incorrectly selected another vendor submitting a proposal for an award.
3. A vendor submitting a proposal who is qualified to protest should contact the Contracts Officer at the Administrative Office of the Courts at the address given below or call him at 415-865-7989.

Stephen Saddler
Contracts Officer
Administrative Office of the Courts
455 Golden Gate Avenue
San Francisco, CA 94102-3660

4. If the Contract Officer is unable to resolve the protest to the vendor's satisfaction, the vendor should file a written protest within five working days of the contract award notification. The written protest must state the facts surrounding the issue and the reasons the vendor believes the award to be invalid. The protest must be sent by certified or registered mail or delivered personally to:

Grant Walker
Business Services Manager
Administrative Office of the Courts
455 Golden Gate Avenue
San Francisco, CA 94102-3660

A receipt should be requested for hand-delivered material.

L. News releases

1. News releases pertaining to the award of a contract may not be made without prior written approval of the Director of the Administrative Office of the Courts.

M. Disposition of materials

1. All materials submitted in response to this solicitation document will become the property of the State of California and will be returned only at the State's option and at the expense of the vendor submitting the proposal. One copy of a submitted proposal will be retained for official files and become a public record. However, any confidential material submitted by a vendor that was clearly marked as such will be returned upon request.

N. Payment

1. Payment terms will be specified in any agreement that may ensue as a result of this solicitation document.
2. **THE STATE DOES NOT MAKE ANY ADVANCE PAYMENT FOR SERVICES.** Payment is normally made based upon completion of tasks as provide in the agreement between the State and the selected vendor. The State may withhold ten percent of each invoice until receipt of the final product. The amount withheld may depend upon the length of the project and the payment schedule provided in the agreement between the State and the selected vendor.

Attachment B

Proposer Name: _____
RFP Project Title: _____
RFP Number: _____

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

Yes _____ *(Complete Parts A & C only)*

No _____ *(Complete Parts B & C only)*

"Contractor's Tier" is referred to several times below; use the following definitions for tier:

- 0 = Prime or Joint Contractor;
- 1 = Prime subcontractor/supplier;
- 2 = Subcontractor/supplier of level 1 subcontractor/supplier

PART A – COMPLIANCE WITH DVBE GOALS

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

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

PRIME CONTRACTOR

Company Name: _____

Nature of Work _____ Tier: _____

Claimed Value: DVBE \$ _____

Percentage of Total Contract Cost: DVBE _____%

SUBCONTRACTORS/SUBCONTRACTOR/PROPOSERS/SUPPLIERS

1. Company Name: _____
 Nature of Work: _____ Tier: _____
 Claimed Value: _____ DVBE \$. _____

Percentage of Total Contract Cost: DVBE _____%

2. Company Name: _____
 Nature of Work _____ Tier: _____
 Claimed Value: _____ DVBE \$ _____

Percentage of Total Contract Cost DVBE _____%

3. Company Name: _____
 Nature of Work _____ Tier: _____
 Claimed Value: _____ DVBE \$ _____

Percentage of Total Contract Cost DVBE _____%

GRAND TOTAL: DVBE _____%

PART B – ESTABLISHMENT OF GOOD FAITH EFFORT

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

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

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

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

Attachment B

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

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

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

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

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

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

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

<i>Company Name:</i>	
<i>Contact Name & Title:</i>	
<i>Telephone Number:</i>	
<i>Nature of Work:</i>	

Attachment B

<i>Reason Why Rejected:</i>	

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

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

CERTIFICATION *(to be completed by Proposer)*

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

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

Attachment B

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

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

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

PART C – CONTRACT AMOUNT CERTIFICATION

To be filled out by ALL proposers.

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

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