



Judicial Council of California
ADMINISTRATIVE OFFICE OF THE COURTS

FINANCE DIVISION

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TO: POTENTIAL PROPOSERS

FROM: Administrative Office of the Courts
Finance Division

DATE: **May 14, 2009**

SUBJECT/PURPOSE OF MEMO: REQUEST FOR PROPOSALS
Proposals to provide an internal assessment of the Human Resources division of the Administrative Office of the Courts and provide the AOC with assessment tools.

ACTION REQUIRED: You are invited to review and respond to the attached Request for Proposals (“RFP”):

Project Title: AOC Human Resources Needs Assessment
RFP Number: HR-200905-RB

PROPOSAL DUE DATE: Proposals must be received by 3:00 pm Pacific Time, **May 29, 2009**.

SUBMISSION OF PROPOSAL: Proposals must be sent to:
Judicial Council of California
Administrative Office of the Courts
Attn: Nadine McFadden HR-200905-RB
455 Golden Gate Avenue
San Francisco, CA 94102

FOR FURTHER INFORMATION: E-MAIL:
Solicitations@jud.ca.gov

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1.0 GENERAL INFORMATION

1.1 Background

The Judicial Council of California, chaired by the Chief Justice of California, is the chief policy making agency of the California judicial system. The California Constitution directs the Council to improve the administration of justice by surveying judicial business, recommending improvements to the courts, and making recommendations annually to the Governor and the Legislature. The Council also adopts rules for court administration, practice, and procedure, and performs other functions prescribed by law. The Administrative Office of the Courts (AOC) is the staff agency for the Council and assists both the Council and its chair in performing their duties. The AOC currently has approximately 928 employees/incumbents in 201 job classifications, distributed over ten divisions and three regional offices. There are currently 47 employees in 26 classifications in the Human Resources division.

1.2 AOC Human Resources Needs Assessment

The Administrative Office of the Courts' Human Resources Division's newly created HR Infrastructure & Workforce Planning unit provides direct organizational development and workforce planning support for the employees of the AOC, and indirect support for the employees of the California Supreme Court, Courts of Appeal, and Superior Courts. This project is intended to be a comprehensive review of only the AOC Human Resources Division. The AOC Human Resources Needs Assessment is necessary to develop a comprehensive perspective of the needs and concerns of the division and to ensure proactive measures to address to future organizational development and workforce planning needs. The study would also provide a foundation for an integrated approach to sustaining a diverse statewide judicial branch workforce comprised of the best and brightest of the talent pool.

2.0 PURPOSE OF THIS RFP

2.1 The AOC Human Resources Division seeks the services of a consultant, preferably with experience and expertise in the public sector, to jointly lead the workflow analysis efforts to align critical tasks and priorities with its divisional structure.

2.2 Specifically, these goals will be met:

2.2.1 Examine existing HR workflow of major transactions to streamline existing processes.

2.2.2 Evaluate existing HR divisional structure to identify opportunities for better alignment with its system and processes.

- 2.2.3 Develop improvement strategies to enhance process flow and quality of transactions.
- 2.2.4 Establish standards for collaborative partnerships within the division to prepare for future HR initiatives.
- 2.2.5 Develop and deliver customizable processes, tools, templates, and/or instructional materials that can be used by AOC HR and other judicial branch partners in future initiatives.

3.0 RFP SCHEDULE AND GENERAL INSTRUCTIONS

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

Key Event No.	Event Description	Key Dates
1	RFP Posted	5/ 14/09
2	Deadline for Proposer’s Questions	5/ 19/09 10 am Pacific Time
3	AOC Posts Clarification / Response to Proposers Questions	5/ 20/09 (estimated)
4	Proposal Due Date and Time	5/ 29/09 1 pm Pacific Time
5	Selection of Interviewees	6/1/09 (estimated)
6	Interviews	6/4/09 (estimated)
7	Notice of Intent to Award Contract	6/6/09(estimated)
8	Execution of Contract	6/12/09 (estimated)
9	Commencement of Contracted Services	6/12/09 (estimated)

3.2 The RFP and any addenda that may be issued, including responses to proposers’ requests for clarification or modification, will be made available on the following website:

<http://www.courtinfo.ca.gov/reference/rfp> (CourtInfo Website)

3.3 Request for Clarifications or Modifications

- 3.4 Vendors interested in responding to the solicitation may submit questions by e-mail only on procedural matters related to the RFP or requests for clarification or modification of this solicitation document, including questions regarding the Terms and Conditions in Attachment B, to the Solicitations mailbox referenced below. If the vendor is requesting a change, the request must state the recommended change and the vendor's reasons for proposing the change.

Solicitations mailbox: solicitations@jud.ca.gov

- 3.5 All questions and requests must be submitted by e-mail to the Solicitations mailbox and received no later than the date and time specified in paragraph ~~3.13.1~~, above. Questions or requests submitted after the due date will not be answered.
- 3.6 All e-mail correspondence sent to the Solicitations mailbox MUST contain the RFP number and other appropriate identifying information in the e-mail subject line. In the body of the e-mail message, always include paragraph numbers whenever references are made to content of this RFP. Failure to include the RFP number as well as other sufficient identifying information in the e-mail subject line may result in the AOC's taking no action on a vendor's e-mail submission.
- 3.7 Without disclosing the source of the question or request, the AOC Contracting Officer will post a copy of both the questions and the AOC's responses on the Courtinfo Web site.
- 3.8 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 AOC 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 AOC does not concur regarding the proprietary nature of the question, the question will not be answered in this manner and the vendor will be so notified.

4.0 RFP ATTACHMENTS

- 4.1 The documents described in paragraphs 4.2 through 4.6, below, are incorporated into this Request For Proposals (RFP) by reference.
- 4.2 Attachment A, Administrative Rules Governing Request for Proposals. Proposers shall follow the rules, set forth in Attachment A, in preparation of their proposals.
- 4.3 Attachment B, Terms and Conditions. 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 B and include the following provisions:

Exhibit A, Standard Provisions.
Exhibit B, Special Provisions.
Exhibit C, Payment Provisions.
Exhibit D, Work To Be Performed.
Exhibit E, Contractor's Key Staff. (To Be Determined)
Exhibit F, Attachments

- 4.4 Attachment C, Contract Exceptions. Proposers must either indicate acceptance of the Agreement Terms, as set forth in Attachment B, or clearly identify exceptions with a written summary of relevance and rationale to substantiate each proposed change.
- 4.5 Attachment D, 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, proposer's proposal must include a completed and signed Payee Data Record Form, set forth as Attachment D.
- 4.6 Attachment E, Human Resources Division Organizational Chart

5.0 SCOPE OF SERVICES

- 5.1 Services are expected to be performed between **June 12, 2009** and **October 9, 2009** at the AOC's HR Division located in San Francisco, CA. There will be no need for travel to other areas of the AOC to perform the services.
- 5.2 The estimated cost for the services in this RFP is between **\$25,000** and **\$40,000**. Proposed pricing must be firm fixed per deliverable.
- 5.3 The scope of this study will address two key areas
 - 5.3.1 Workflow - Examine HR workflow of major transactional processes for the four HR groups identified in the division. Document existing processes and identify opportunities for increasing efficiencies.
 - 5.3.2 Infrastructure - Examine HR divisional structure to identify and recommend opportunities for better alignment with its system and processes.
- 5.4 This project will require a significant amount of data collection and interaction with each of the 10 functional areas, which comprise the four sections of the AOC Human Resources Division. The 10 functional areas of the Human Resources division are divided into four groups (not listed in any particular order):

Group A:

1. **Recruitment** develops recruitment strategies, assembles qualified candidate pools and provides HR consultation and guidance on recruitment and selection to the AOC, the Supreme Court, the Courts of Appeal, the Habeas Corpus Resource Center, Commission on Judicial Performance, and California Judicial Center Library.
2. **Payroll and Benefits** provides state payroll and benefits processing for judicial branch employees and judicial officers. A subunit, Human Resource Management Systems, works to capture the full benefits of automation and data management for the judicial branch and enhance HR services to judicial branch employees and judicial officers.
3. **Classification and Compensation** provides direct and indirect services to the judicial branch in the areas of classification and compensation. Staff conducts classification reviews, salary surveys, and statewide studies, and makes recommendations and implements total compensation policies and practices across the judicial branch.

Group B:

4. **Judicial Services Unit** provides judges with a point of contact to answer questions about judicial benefits and any issues related to a judge's quality of life and work, and supports the Working Group on Judicial Pay and Benefits.
5. **Regional Analysts** provides direct and indirect support to the trial courts on court HR issues and statewide judicial branch HR initiatives.

Group C:

6. **Trial Court Benefits, Workers' Compensation and Integrated Disability Management** manages all aspects of the workers' compensation and disability management programs for the Supreme Court, the Courts of Appeal, Habeas Corpus Resource Center, the AOC, and the majority of trial courts.
7. **Policy Development Unit** provides HR policy review and development services for the judicial branch, maintains the Judicial Branch Personnel Policies and Procedures Manual, and provides guidance on policy to the trial courts.
8. **Labor and Employee Relations** provides the judicial branch with a broad range of employee relations services related to employee performance management, discipline, and complaint investigation and resolution. Additionally, staff provides direct and indirect labor relations support and

training to the trial courts, including assistance with collective bargaining, contract interpretation and administration, union grievances, and Public Employment Relations Board charges.

Group D:

9. **HR Infrastructure & Workforce Planning Unit** provides technical and consultation assistance to the judicial branch regarding workforce management and development, human resources modernization, and change management.

10. **Budget & HR Communications** is responsible for the day-to-day management of the division's fiscal operations. In addition, the unit also provides internal and external communication services on behalf of the Division Director. The unit also partners with several HR units to provide both fiscal and communication support.

5.5 The consultant shall provide, at a minimum, the following services:

5.5.1 Conduct planning meetings as necessary with an administrative working group (hereafter referred to as the "project team"), which will consist of key stakeholders including representatives from the AOC Human Resources division and may include an inter-divisional committee.

5.5.2 Provide a detailed project plan describing stakeholder and sponsor identification process methodology, survey instruments (such as written and electronic questionnaires, telephone and in-person interviews, site visits), and data collection techniques.

5.5.3 Conduct interviews; collect and analyze relevant data (and upon completion of the project, supply the collected data to the AOC in an acceptable electronic format, e.g., MS Access, MS Excel, SPSS).

5.5.4 Create customizable templates and tools that AOC Human Resources and other judicial branch partners can use for future workflow analysis and divisional realignment efforts.

5.5.5 Draft reports and make appropriate recommendations (including deliverables and change management strategy) to the project team.

5.5.6 Communicate progress and findings to the project team on a regular basis throughout the duration of the project.

6.0 SPECIFICS OF A RESPONSIVE PROPOSAL

6.1 Proposal Content and Format – The proposal must be organized by section and contain the following information:

6.1.1 **Section 1:** Information about your company:

- A. Title page containing proposer's point of contact, including name, physical and electronic addresses, and telephone and facsimile numbers in a cover letter.
- B. Number of years your firm has been in the business of providing services similar those specified in this RFP.
- C. Number of full time employees.
- D. Disclose any judgments, pending litigation, or other real or potential financial reversals that might materially affect the viability of the proposer's firm.
- E. Annual gross revenue from your most recent audited or reviewed profit and loss statement and balance sheet. State the audit/review year and the annual gross revenue. The AOC may request a copy of your most recent audited or reviewed profit and loss statement and balance sheet.

6.1.2 **Section 2:** Description of services to be provided including:

- A. A description of key staff's knowledge of the requirements necessary to complete this project.
- B. A project plan outlining overall approach, milestones, proposed due dates, and resources needed to complete each deliverable.

6.1.3 **Section 3:** A description of the proposed methods to complete the Project, including:

- A. Data collection methods for identifying: a) workflow processes and potential gaps, and b) divisional structure and potential misalignment.
- B. Proposed methodology for ensuring content validity and reliability and the opportunity for participants to provide honest feedback and full input.
- C. Proposed methodology for evaluating data related to the workflow processes and the divisional structure
- D. Proposed process for keeping AOC contact informed of progress in the study.
- E. Proposed process for evaluating project success.

- 6.1.4 **Section 4:** References including the names, addresses, and telephone numbers of three to five (3-5) clients for whom the proposer has conducted similar services. The AOC may check references listed by the consultant.
- 6.1.5 **Section 5:** Resumes describing the background and relevant experience and credentials of key staff who would be involved in conducting the study.
- 6.1.6 **Section 6:** A list of the AOC's resources that you need to achieve the objectives of this project.
- 6.1.7 **Section 7:** Cost proposal and for evaluation purposes, a detailed line item budget showing total cost of the services and total firm fixed costs for each of the following deliverables (please note: the method of payment to the consultant will be in arrears upon completion of each deliverable). There will be no expense reimbursements for travel or proposed additional costs for tools/templates or software. All costs are to be included in each deliverable.

Deliverable 1: Initial Meetings and Action Plan- Facilitate planning session(s) with AOC Human Resources to discuss, confirm and agree on expectations, action items in written summarized action plan. Issues to be discussed will include, but not limited to: stakeholder identification, data collection methods, project timeline, project deliverables..

Deliverable 2: Preliminary Report

Workflow Review: a) approaches used for identifying and assessing workflow processes, b) key data and findings of major processes and potential gaps, c) recommendations for changes and improvement

Infrastructure Review: a) approaches used for evaluating divisional structure, b) key data and findings and identification of potential gaps, c) recommendations for changes and improvement

Deliverable 3: Assessment Tools and Data- supply all data collection and interview templates used in this study; supply all collected data in an acceptable electronic format. AOC Human Resources and all AOC divisions will have permission to use and make changes to all of the tools, flowcharts, instructional materials, and templates used in this study.

Deliverable 4: Feedback Session- facilitate a meeting to present findings of the items covered in the Preliminary Report; test reactions, present recommendations, and with AOC's input, deliver a document detailing next steps.

Deliverable 5: Final Report & Discussion- review findings and deliverables with project team and discuss recommendations; facilitate meeting with Human Resources Leadership team to identify additional feedback; integrate comments/ suggestions and produce a final report/ set of deliverables.

Deliverable 6: Customizable tools, flowcharts, templates, and/or instructional materials that can be used by AOC HR and other AOC divisions in future operational planning and workflow management efforts.

6.1.8 **Section 8:** Proposer's signed and completed Attachment C, Contract Exceptions Form, and Attachment D, Payee Data Record.

7.0 EVALUATION OF PROPOSALS

7.1 The evaluation team will first evaluate all parts of submitted proposals and score them in each category as described below. The scores will be used to create a short list of proposers to be interviewed. The maximum total available score for all categories combined will be 100 points. The evaluation categories and the maximum possible points for each category are as follows:

- A. Experience, References, Resumes and Project Staffing - Proposer's experience, references, resumes and credentials of assigned staff particularly it relates to workflow and infrastructure analysis for projects of similar type, size and scope, in the public sector. See paragraphs 6.1.2A, 6.1.4 and 6.1.5 (possible 25 points)
- B. Project Plan/ Description of Proposed Methods - Quality of proposal submitted as it relates to attaining the goals specified in paragraph 2.2, above, performing the work specified in Section 5.0 Scope of Service, and providing flexibility of work plan to allow for adjustments to project scheduling as issues arise during the study. See paragraphs 6.1.2B, 6.1.3, and 6.1.6 (possible 20 points)
- C. Costs - Reasonableness and thoroughness of proposed costs, including cost of deliverables and budget details. In order to achieve travel cost projections for this project, the AOC prefers candidates with a local presence in the San Francisco Bay Area. See paragraph 6.1.7 (possible 15 points)
- D. Compliance with Contract Terms - Compliance with RFP requirements including acceptance of Contract Terms and Conditions, and submission of the completed Payee Data Record (Attachment D). Consideration will be given to the extent of any proposed contract exceptions in Attachment C, Contract Exceptions. See paragraph 6.1.8 (possible 15 points)

- E. Communications – Ability to organize and present concepts and details to the intended audience (HR professionals in the public sector), whether the communication is written (e.g. overall clarity of proposal) and, for those selected on the short list, proposer’s oral presentation and interview. (possible 15 Points)
 - F. Company Strength/Stability – Proposals will be evaluated in terms of the firm’s stability and capabilities as demonstrated in 6.1.1, above. (possible 10 points)
- 7.2 Proposers not on the short list will not be eligible for further consideration for this Project. Those proposers selected on the short list will be interviewed on site at the AOC in San Francisco and will be asked to provide clarification of its proposal and provide a demonstration on the use of one or two of its tools. The interview/demonstration will be evaluated on the same criteria as the proposals.
- 7.3 After interviews/demonstrations are conducted, each evaluation team member will review his/her own points previously assigned to each proposer on the short list and make adjustments if necessary, and the final scores will be re-calculated.

8.0 SUBMISSION OF PROPOSALS

- 8.1 The proposer must prepare a cover letter on the proposer’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.
- 8.2 Responsive proposals should provide straight-forward, concise information that satisfies the requirements noted in section 6.0, Specifics of a Responsive Proposal. 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.
- 8.3 Proposals must be delivered by the Proposal Due Date to the individual listed in the Submission of Proposals section of the coversheet to this RFP and must include the following:
- 8.3.1 One (1) original hard copy of the entire proposal.
 - 8.3.2 Three (3) duplicate hard copies of the entire proposal.
 - 8.3.3 One (1) electronic copy of the entire proposal in MS Word compatible format on a CD-ROM.
 - 8.3.4 Only written proposals, accompanied by the CD-ROM submittal, will be accepted.

9.0 RIGHTS

- 9.1 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 copy of a submitted proposal will be retained for official files and becomes a public record.
- 9.2 The AOC reserves the right to commence negotiations with multiple vendors in the interest of reaching agreement in a timely fashion with greatest benefit to the AOC.

10.0 ADDITIONAL REQUIREMENTS

- 10.1 It may be necessary to have a conference to clarify the requirements of this RFP. If so, the time, date, and location will be determined at a later date.
- 10.2 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, but may also be conducted in person. The AOC will notify prospective service providers regarding the interview arrangements, if any.

11.0 CONFIDENTIAL OR PROPRIETARY INFORMATION

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

[END OF RFP]