

ATTACHMENT 8 – SUMMARY SCOPE OF WORK

1.0 A. Purpose

This Request for Proposal (RFP) invites written proposals for a judicial court case management system (CMS), document management system (DMS,) and associated services in support of an eighteen-month implementation plan for the Superior Court of California, County of Ventura (Court.) The associated services include system configuration, data migration, deployment, training, maintenance, and support. The purpose of the project is to provide one state-of-the-art, web-based, and open framework CMS/DMS to replace two existing legacy CMS which are used to manage civil, small claims, probate, mental health, juvenile dependency, and family law case information at the Court. The Court's preference is for a locally-hosted installation; however, an off-site vendor hosted option could be considered if all other Court needs are met.

1.1 B. Goal

The primary goal of the RFP is to replace the Court's existing V3 and ICMS (Genesis) systems with a full-featured, web-based, open framework CMS/DMS solution. This RFP seeks an experienced vendor capable of implementing a major project of this size and complexity in the allocated eighteen-month timeframe and within budget.

2.0 Scope

The scope of this RFP is to obtain a web-based, open framework CMS/DMS for the management of all civil, small claims, probate, mental health, juvenile dependency, and family law case information at the Court. The selected CMS/DMS and associated services should be accessible by any proven and reliable web browser, and must be capable of ongoing enhancements and upgrades for end-of-life longevity. The DMS component of the selected solution must provide utility for both initial bulk-scanning and on-going daily scanning of case documents, and support a gradual paper-on-demand migration path to enable the Court to make a smooth transition from paper-based to electronic workflows. The selected solution will include a robust and integrated eFiling capability and utility to offer controlled and secure case information access to the public, justice partners, and other public agencies. The preferred licensing platform will be one that is structured for cost efficiency and affordability.

Proposals should include data migration or conversion services, implementation and training services, network and infrastructure recommendations, locally hosted implementation solution, (and a vendor-hosted solution if offered as an available option.) The locally hosted solution should include detailed description of the server, storage, personal computer, network, and other infrastructure requirements at the Court, which would be necessary to support and uphold the proposed CMS/DMS solution.

Component	Essential Technology or Service
Case Management and Document Management Systems	<ul style="list-style-type: none"> • Compliant with functional requirements (<i>Attachments 9-14</i>) • Current with state laws, federal regulations, rules of court, calculations of fees & fines distribution, and administrative requirements (<i>Attachment 1</i>) • Responsive to changes in state laws, federal regulations, rules of court, and administrative requirements • Scalable system to accommodate court size, court users, data volume, and public web users • Data security and confidentiality • Database Microsoft SQL Server compatibility • Included and integrated document management system • Integrated E-filing functionality • Web-based public-facing portal • Standard desktop configuration requirements (<i>Attachment 11</i>) • State and local data exchange compliant • Configurable workflows to actively process cases • System reliability and accessibility for daily operation
Deployment Services	<ul style="list-style-type: none"> • Deployment plan with scheduled timeline and approach • Project management work breakdown by resources, resource plan loading, Project management tools • CMS/DMS environments design, acquisition specifications, and build instructions providing technical assistance to Court IT staff • Functional Requirements Gap Analysis • Data migration Plan for high degree of accuracy, data validation, data integrity, security and confidentiality • Deployment Plan • Training Plan • Integration Plan • Cutover Plan • Vendor resources for implementation, testing, training and cut over activities • Environment Specifications • Infrastructure Specifications, CMS/DMS software load, global configuration setup services • Implementation Services • Baseline Configuration • Setup and Administration • Documentation • Testing of Business Functionality and Validation using valid businesscases with known and expected results • Integration testing • End-User Training / Knowledge Transfer • User Acceptance planning, coordination, and testing, including end to end integration testing and Court acceptance • Go-Live Support • Post-implementation support and project closeout

Component	Essential Technology or Service
Local Hosting Solution	<ul style="list-style-type: none"> • Proposed CMS/DMS application, all sub-components, associated hardware and software are in compliance with infrastructure, application, and security requirements (<i>Attachment 14</i>) • Hardware requirement specifications for efficiently handling the processing needs of Ventura County Superior Court, state and local Justice Partners, and the public • Third Party Software requirements (IVR / IWR) Network security and bandwidth specifications • Systems management (administration, change management, security, data recovery, disaster recovery and version rollback)
Vendor-hosted Solution	<ul style="list-style-type: none"> • The Proposer shall describe if they offer a vendor-hosted solution and how it will meet the requirements of this RFP
Maintenance and Support	<ul style="list-style-type: none"> • Maintenance and support that complies with the Court’s Terms and Conditions including <i>Attachment 2</i> which shall include but not be limited to: • Application Software Licensing • Application Support and Technical Support for locally hosted solution End-user and technical support • Provision of periodic maintenance, legislative updates, and security upgrades • per service level standards and support agreements • Global configuration changes necessary to support business changes Emergency support for break-fix situations
Warranty	<ul style="list-style-type: none"> • Service Warranty that complies with the Court’s Terms and Conditions (<i>Attachment 2</i>) • Licensed Software Warranty that complies with the Court’s Terms and Conditions (<i>Attachment 2</i>)

2.1 The implementation of CMS/DMS includes:

- Providing CMS/DMS application software that meets the Business and Functional requirements for the Court (*Attachments 9-14*)
- Analyzing trial court operations to effectively implement the CMS/DMS solution
- Installing, configuring, and testing the CMS/DMS solution according to the business rules of the Court
- Maintaining the CMS/DMS applications for changes in regulatory requirements, application enhancements, common configuration changes, and fixing program defects
- Training technical staff on the administration and support of CMS application and the infrastructure equipment to ensure reliable service
- Cutover and post go-live services

2.2 The recommendation for a trial court network infrastructure includes:

- Desktop assessment with hardware and software recommendations Network assessment and design specifications
- Server specifications and design, with build instructions providing technical expertise to the Court's IT staff for the CMS/DMS solution
- Integration support for the network infrastructure to effectively support and uphold operation of the CMS/DMS
- Integration support ensuring connectivity for all required state and local Justice Partners.

2.3 Local Hosting Solution includes:

- Providing the design specifications and acquisition details for locally hosted CMS/DMS application, including production and non-production environments to run the CMS/DMS application, using modern proven technology that is in compliance with the infrastructure requirements (*Attachment 14*)
- Providing a network assessment with recommendations to adequately handle anticipated networking loads and access for the CMS/DMS proposed solution
- Providing a desktop workstation assessment and providing the necessary software, hardware and operating system requirements
- Integrating required CMS/DMS equipment within the network infrastructure, server, and personal computer environment
- Providing CMS/DMS configuration

3.0 Deployment Services

The objective of this Court is to select an experienced vendor capable of implementing a high-level project within the agreed-upon schedule and budget. Based on the goals detailed in section 2.0, prepare a deployment approach and implementation plan that will meet the high-level tasks for this project. The deployment approach should include resource loading necessary for implementation activities. Deployment Services proposals should consult the following project management, solution design and implementation planning suggestions.

3.1 Deployment Approach:

Project Management

The vendor will develop a comprehensive project management plan. The proposed plan will be used to track and control project progress as well as provide weekly updates. Additional project management tasks will include but may not be limited to:

- Schedule project kick-off and weekly status meetings Developing and presenting a project plan and schedule
- Manage, monitor and control project activities and progress
- Break down work by resources
- Resource Plan loading
- Use of project management tools
- Use of project change requests, issue and risk documentation, and status reporting for project tracking purposes
- Prepare and distribute weekly status reports to designated stakeholders

CMS/DMS Environments Design

Vendor will provide a formal design, acquisition inventory list, and build instruction of what will become the CMS/DMS solution implementation environment. When describing your approach to designing the solution environment keep in mind that the Court and vendor should eventually have joint validation work sessions to plan the installations, including identification of the requirements for hardware and network provisioning.

Functional Requirements Gap Analysis

Vendor will review configurations and develop business processes that take advantage of the new available functionality of the CMS/DMS solution and document the functional requirements including, but not limited to, requirements for each case type and role. When describing how you will determine and deal with functional gaps, the description should include requirements validation and gap-analysis work sessions with Court subject matter experts. This phase should include forms, notices, and reports requirements. This phase should also include reviews of any required additional modules such as financials, automation, minutes, notes, and public portal.

Implementation Plan

Provide a detailed implementation plan that includes necessary Court staff, and required skill sets:

- Implementation timeline not to exceed 18 months
- Infrastructure design, hardware and software inventory list, and build instructions
- Data migration or conversion
- Software loads
- Base system ready date
- Resources and responsibilities
- Base and local system setup
- Business process change strategy
- Testing strategy
- Training strategy
- Planned communication to stakeholders
- Go-Live support approach and planning
- Risk analysis and contingency planning
- Post-implementation approach and support planning

3.2 Vendor Resources and Implementation

Activities: Implementation Services

Vendor and the Court will implement the user acceptance test and production environments solution. Vendor and the Court will execute the implementation plan defined—that includes an emphasis on implementation, cutover, risk and contingency planning, post-implementation support planning, and knowledge transfer and transition strategy.

Set-Up and Administration

The vendor will work with the Court to have the appropriate hardware required for the CMS/DMS solution installed. Vendor will install and configure the CMS/DMS solution into the Court environment. Vendor will train the Court staff in the installation, administration, system updating, tuning, and troubleshooting procedures.

Application Configuration

With guidance from designated Court staff, vendor will work with the Court to build the application configuration that will serve as the foundation of the CMS/DMS.

Reports and Forms

The vendor will work with the Court to identify reports and forms required as well as codified values that should be included in the new CMS/DMS configuration.

Documentation

The vendor is responsible for creating the standard operational documentation. The vendor working with the Court will create user and system administration manuals that are required by the Court.

Testing of Business Functionality and Validation

The Vendor and the Court will train several groups of Court testers in the use of the system using the approved configuration and documentation. The Court testers with vendor business leads will then conduct system testing and validation of the configuration. They will draw from their experience and also use the test cases created by the vendor, working with Court subject matter experts. Configuration and application fixes will be regression tested and reexamined by Court testers with the assistance of vendor business leads until testing results meet the agreed upon exit criteria.

End User Training/Knowledge Transfer

The vendor will train the Court trainers through court acceptance. The Court trainers utilizing vendor-provided core documentation will create, with vendor's assistance, the training program, including documentation as desired. Training programs should include but not be limited to:

Baseline End-User Training

Specific Case Processing by Functional Area System Administrator Training

Technical Support & Operations Knowledge Transfer

The vendor will train the Court technical staff and provide the necessary documentation and procedures. Training programs should include but not be limited to System Operations training and documentation

User Acceptance Activities

The vendor will provide resources to coordinate and support all UAT activities utilizing the Court and vendor SMEs.

Go-Live Support

The vendor will provide resources for go-live activities ensuring a seamless business transition utilizing the new CMS solution.

Post Implementation Support and Project Closeout

The vendor will provide business and technical support of the CMS solution to ensure a successful implementation by the user community. The vendor will provide application support, track and resolve issues that are uncovered, assist the Court in performing any necessary system tuning to maintain acceptable system performance, finalize technical documentation, and finalize knowledge transfer to the Court. The vendor will perform project closeout tasks to transfer project roles to Court for ongoing operational support of the new system and document lessons learned.

4.0 Guidelines for Deployment Services Deliverables

The ultimate project goal is to have a new CMS/DMS installed and configured within Eighteen (18) months from project start date. Based upon these goals and the capacity of your company, prepare a deployment schedule, project plan, and deployment budget.

- Describe your implementation planning (including project management) process.
- Describe your recommendation for roles your company personnel will assume and the roles that Court staff should assume in the implementation process.
- Describe your process for coordinating user acceptance.
- Describe your process for change management.
- Describe your process for critical defect scenarios.
- Describe your process for coordinating software upgrades and version management.
- Describe the process employed to track and report progress in system deployment.
- Describe the process and standards employed in determining when phases of deployment are satisfactorily completed.
- Describe the process involved in implementing any required state and local configurations, e.g., implementation of state statutes and rules, creation of standard state documents, state calendar, etc. Include any Court personnel required to accomplish the task.
- Describe the process involved in assessing and recommending the required hardware and software that will ensure improved performance for the end-users is achieved, and that it is scalable to meet the future needs of the Court.

5.0 Roles & Responsibilities

5.1 Vendor Roles and Function

<u>Role</u>	<u>Function</u>
Project Sponsor	The Project Sponsor will provide executive oversight and the following: <ul style="list-style-type: none"> • Leadership and resources to support project success • Participation in escalation discussions as appropriate
Project Manager	The Project Manager will plan and manage delivery of tasks as specified. The Project Manager is responsible for: <ul style="list-style-type: none"> • Managing vendor responsibilities and resources throughout the full project lifecycle • Ensuring all activities are coordinated with Court resources
Architect	<ul style="list-style-type: none"> • The Architect will provide technical leadership as well as be responsible for The design, hardware and software acquisition list, build instructions of the CMS Solution and Associated Implementation Tasks
Business Resources (configuration)	<ul style="list-style-type: none"> • The Business resources will provide the business expertise in case management, as well as business analysis experience with “as-is” and “to-be” systems. • These resources will also bring field expertise in implementing interfaces as well as development of business rules, workflows and reports. These resources will be responsible for transitioning CMS/DMS knowledge to Court staff over the course of the project.

Testing Resources	<ul style="list-style-type: none"> • Execute functional testing of the core CMS/DMS application against the functional requirements detailed in Attachment 9-14 (including that which represents functionality provided by the Court’s current CMS configuration—including but not limited to all extracts and interfaces—plus additional functionality available to the Court, except where explicitly agreed to by both Court and vendor) • Support testing of the Court-specific configuration • Work with Court Subject Matter Experts by providing test scripts and coordinating each test phase (including unit testing, integration testing, and user acceptance testing) • Validate expected results
Programming Resources	<ul style="list-style-type: none"> • Provide expertise in development of the Core CMS application, as well as support for configuration items and required interfaces.

5.2 Court Roles and Function

Project Sponsor	<p>The Project Sponsor will provide executive oversight and the following:</p> <ul style="list-style-type: none"> • Leadership and resources to support project success • Participation in escalation discussions as appropriate
Project Manager	<p>The Project Manager will plan and manage delivery of tasks as specified:</p> <ul style="list-style-type: none"> • The Project Manager is responsible for managing Court responsibilities and resources throughout the full project lifecycle.
Business Resources	<ul style="list-style-type: none"> • The Business resources will provide the business expertise in the Court’s processing. These resources will be able to provide the vendor with case type and process-specific information for all phases of the project. Resources, including testing personnel, will be required specific to case-type processing, accounting processing, interface requirements, network and environment, and reporting.

5.3 Vendor Project Responsibilities

The vendor will meet the following responsibilities to support completion of project tasks and delivery schedule. The vendor Project Manager, in collaboration with vendor resources, will:

- Work jointly with the Court to ensure project success
- Develop and maintain a Court approved project plan and manage necessary vendor and Court resources with assistance from the Court Project Manager
- Develop and ensure timely completion of all necessary tasks required to meet the project delivery schedule
- Provide necessary assistance and support to the Court Project Manager regarding issues requiring CMS/DMS implementation decisions
- Have knowledge of Court standards, procedures and business processes, as generally implemented in the industry, and be able to designate vendor support personnel who may be required to participate on project teams
- Keep the Court Project Manager apprised of business, organizational and technical issues that may have an impact on the performance and delivery of this project
- Work with the Court Project Manager on issues and risks that may cause delays in the delivery schedule
- Maintain issue and resolution documentation and provide status reports
- Agree to timely resolution of issues and completion of tasks within the Vendor’s scope of responsibility that are causing delay to the delivery schedule

5.4 Court Project Responsibilities

- The Court will meet the following responsibilities to support implementation tasks and the delivery schedule. The Court Project Manager, in collaboration with Business resources, will:
 - Develop a separate project plan detailing all necessary Court tasks and resources required to meet the project delivery schedule
 - Work jointly with vendor to ensure project success
 - Collaborate with the vendor to ensure timely completion of Court responsibilities to support the project delivery schedule
 - Provide assistance and support to the vendor Project Manager regarding issues requiring Court- specific decisions and actions
 - Have knowledge of Court standards, procedures, business processes and strategic goals, and be able to designate support personnel who may be required to participate on project teams
 - Keep the vendor Project Manager apprised of business, organizational and technical issues that may have an impact on the performance and delivery of this project
 - Work with the vendor Project Manager on issues and risks that may cause delays in the delivery schedule
- The Court will provide the vendor access (during normal business hours and other mutually agreed-upon times) to Court functional, technical and business staff, facilities, and equipment. The Court will provide assistance and cooperation, complete and accurate information/data, and access to, if required systems and networks, current processes and procedures, workflow diagrams, architectural designs, on-site resource personnel as needed for functional and technical reviews. The Court will provide technical support for Court-supplied infrastructure and components including responsibility for network connectivity, network performance, and network configuration issues. The Court will agree to timely resolution of issues and completion of tasks within the Court's scope of responsibility that are causing delay to the delivery schedule.