

The successful proposer will demonstrate an understanding of the objectives for the State Bar Court (“court”) Case Management System (“CMS”) project and will provide the court with an approach that demonstrates understanding of industry best practices and experience in similar projects. The Vendor must propose to provide the court with services and deliverables in the following categories:

- Project Management
- System Design, Configuration, and Construction
- System Delivery
- System Implementation
- Training
- System Support

The nature of the COTS application proposed will be a determinant of the services required to successfully configure, implement, and support the application for the State Bar Court. The anticipated services in each of these categories are described in some detail in the sections that follow. The Vendor must propose to provide these services and deliverables **or propose a substitute more advantageous to the State Bar Court and clearly explain the differences and the benefits of the alternative approach.**

1. Project Management

Requirements in this category outline specific management and control services associated with the implementation of court CMS. Meeting these requirements will help ensure that the Vendor conducts proper project planning, execution, and monitoring and controlling of project activities. Required deliverables are described below.

1.1. Prepare Project Management Plan

Based on the agreed-upon scope of work and other agreements in contract negotiation, the Vendor is required to develop a comprehensive and detailed project management plan. The project management plan should reflect best practices in project management applied to the unique needs of the court CMS project. The project management plan must include the following elements:

- Project organization, including structure, roles, responsibilities, and human resource management.
- Project work breakdown structure and schedule, fully loaded with dependencies and resource requirements.
- Approach to managing scope, budget, and schedule.
- Approach to ensuring effective project communication.
- Approach for identifying, tracking, and resolving issues and risks, including roles, responsibilities, escalation process, and tools for reporting issues and risks to the court project manager.

Attachment C: Case Management System Statement of Work

- Approach to configuration management for reviewing, accepting, and maintaining version control on all project deliverables.

The Vendor is required to submit the draft project management plan to the State Bar IT project manager 10 business days after the finalization of the project contract. Upon review and acceptance, the final project management plan will serve as the basis for controlling all project management activities.

1.2. Provide Project Management

The Vendor will be responsible for the ongoing planning, monitoring, controlling, and reporting of project performance across projects within the scope of this engagement. The Vendor shall coordinate its project management efforts and reporting with the efforts of the State Bar. In addition, the Vendor will coordinate its efforts and reporting with the court. All of these efforts are under the direction of the State Bar IT project manager.

The Vendor will provide effective project management for all of the contracted services and product delivery. The Vendor shall provide sufficient project management services to:

- Ensure that all deliverables are produced according to contract schedule.
- Respond to reasonable inquiries about project status and risks in a timely manner.
- Identify issues, risks, and alternative solutions and notify the court with sufficient time for the court to effectively address these matters.

1.2.1. Produce Written Semimonthly Status Report

The Vendor will be required to deliver semimonthly project status reports to the State Bar IT project manager and the project sponsor throughout the duration of the project. Project status reports are intended to be relatively brief snapshots of the project's status and should consist of the following information:

- Updated project work plan, schedule, staff plan, and budget.
- Report of project status and performance against all plans.
 - Progress against the project work plan completed in the reporting period.
 - Variance in schedule between actual and planned activities.
- Planned activities for the subsequent reporting period.
- Report of issues and issue resolution efforts and progress.
- Report of risks and risk mitigation efforts and progress.

1.2.2. Conduct Monthly Status Meeting

In conjunction with monthly status reports, the Vendor will be required to attend a monthly status meeting to be held between the Vendor and the

Steering Committee. The Vendor will be required to provide a brief in-person presentation to the Steering Committee regarding the status of the project.

2. System Design, Configuration, and Construction

Requirements in this category include all activities necessary to develop, assemble, and otherwise prepare the proposed system for implementation. The nature of the proposed system may determine to some degree the activities necessary to complete this phase of work. However, it is anticipated that these activities will include, at a minimum:

2.1. Prepare court CMS Design, Configuration, and Construction Plan

The Vendor will be required to submit its plan for assembling the proposed components into a single system for deployment to the court. The schedule and resources required for system design, configuration, and construction should be reflected in the project management plan. This plan must include, at a minimum:

- Approach to design, configuration, and configuration/construction.
- Design, configuration, and configuration/construction schedule.
- Resources required (court, State Bar IT, and Vendor) for each step in configuration/construction.

2.2. Conduct Requirements Gap Analysis

The Vendor must (working with a representative group of subject matter experts [“SMEs”] selected by the court) conduct and complete business and technical analysis to determine the gaps between the needs of the court and what the Vendor’s system provides. This analysis must incorporate the Vendor’s response to requirements as presented in the Vendor’s proposal (and modified in contract negotiations). Major gaps that are identified must be accompanied by a plan for resolving each gap through system configuration, additional development, or additional component incorporation. This analysis must result in a detailed inventory of system customizations or other modifications required to meet the needs of the court.

2.3. Track Requirements to Implementation

The Vendor must provide a mechanism for tracking adherence to the requirements identified in this RFP as well as additional requirements identified in gap analysis and system design activities. This mechanism must support change management and system testing, including user acceptance testing. The Vendor must populate, maintain, and provide the court with access on demand to this tool and the information it maintains.

2.4. Design Court CMS

The Vendor must provide functional and technical design documentation for the court CMS along with the libraries, tools, and facilities to maintain this documentation. This documentation shall include:

- Use case documentation.
- Data dictionary.
- Information Exchange Packet documentation.
- Network design, inventory, protocols, and configuration.
- Security design.
- Hardware design, configuration, and inventory.
- Application design and inventory.
- Change control documentation for all aspects of the design.

2.5. Perform System Testing

The Vendor must provide a plan and environment for all testing efforts of every aspect of the court CMS. This must be completed and fully functional prior to key project milestones, including:

- Release 1.0.
- Release 2.0.

This plan and environment must also support the testing of interim releases produced between major releases (e.g., after Release 1.0 and before Release 2. In addition, test plans and environment structure must describe and support testing of:

- All functional requirements defined in the requirements traceability deliverable.
- All performance requirements.

Testing of individual components may be performed prior to full system assembly. However, the Vendor must provide a testable full version of the system prior to moving to implementation. The system testing deliverable must include:

- Test plans.
- Test environment and test database for unit testing, major component testing, product acceptance testing, and user acceptance testing.
- Automated test tools supporting all prototype, release, and court deployment testing.
- Automated test scripts, test data, and other testing tools/materials.
- Documented test results, to be provided to the court CMS project manager.

This deliverable must provide the State Bar with the infrastructure, licenses, and training to efficiently test new releases and deployments of the court CMS and its interaction with other court applications.

3. System Delivery

It is anticipated that the Vendor will provide and assist with the implementation of 2 releases of court CMS: Production Release 1; and Production Release 2. The Vendor will also prepare an initial and a long-term release plan for the court CMS.

3.1. Produce Production court CMS Release 1

The system will be based upon stated requirements and analysis as stated in sections 2.1 through 2.4. This release shall include and implement facilities and procedures for software promotion from construction through testing and into production (along with rollback facilities and procedures). This deliverable will include all software required for court CMS operation. This shall include both technical and functional configurations.

3.2. It shall be fully tested with fully converted data and complete configuration. The test must be complete and fully documented with no Severity Level 1 error (A critical defect or error; the system will not run or fails to meet base functions; testing cannot continue.) or Severity Level 2 error (A major defect or error; the system will operate, but some components provide incorrect results or fail; testing can continue.) Prepare Long-Term Release Plan

It is anticipated that once Release 1.0 of court CMS has been in operation for 3 months, modifications to the system based upon the lessons learned from initial production operations will be identified. In addition, it is anticipated that the Vendor will have updated plans for the evolution and releases of the underlying COTS application. The Vendor shall prepare a plan for the design, development, and testing of what will be the second major release of the production court CMS. In addition, the Vendor will outline the plans for the next two versions of court CMS.

3.3. Produce Production court CMS Release 2

This will be the second major release of court CMS. It will be based upon stated requirements, analysis, and results of the initial production implementation of court CMS.

The system will be based upon stated requirements, analysis, and experience of Production court CMS Release 1. This release shall include and implement facilities and procedures for software promotion from construction through testing and into production (along with rollback facilities and procedures). This deliverable will include all software required for court CMS operation. This shall include both technical and functional configurations.

It shall be fully tested with fully converted data and current configuration and data from the Release 1 implementation. The test must be complete and fully documented with no Severity Level 1 error or Severity Level 2 error.

4. System Implementation

System implementation services and deliverables include all of the activities necessary to configure and deploy the system assembled in the previous subsection into both court locations. Services associated with this phase of work are anticipated to be:

4.1. Prepare Deployment Plan

The Vendor shall develop a plan that provides details on the schedule, approach, and resources necessary to deploy Production Release 1.0 of the court CMS to the court locations. The plan will include:

- Location(s).
- Schedule.
- Scope and objectives of Production Release 1.0 deployment.
- Steps required to roll back the Production Release 1 implementation to pre-implementation operations.
- Tasks, human resources, and other resources required for implementation, including:
 - State Bar IT Staff.
 - Court Staff.
 - Vendor.

It must effectively factor in lead time for resource ordering, data conversion, and deployment. It must also address parallel processing procedures if appropriate.

4.2. Assist Configuration

It is anticipated that the system will be configured to meet the needs of the court and the Probation Department. The Vendor will train the management and technology support staff of the court and State Bar to make optimal configuration decisions and assist them in implementing and testing their court's initial configuration. The Vendor will assess the configuration requirements of each location and assist the court managers and technology support staff with the configuration.

4.3. Perform Data Conversion

It is expected that the Vendor will begin conversion efforts upon contract completion. The Vendor must perform an in-depth analysis of current data structures and values and develop a plan for converting data and procedures for migrating and validating data. It is anticipated that this will include three or more tests of the conversion to ensure that conversion expectations are met. After

receiving court approval, the Vendor must convert existing data based on the combined efforts of State Bar IT staff, the court, and the Vendor.

4.4. Assist Testing

The Vendor will assist the management and staff in preproduction testing of the configured application and converted data. The Vendor shall work with the court and design a structured and repeatable testing protocol that:

- Supports the implementation schedule.
- Employs automated testing tools to minimize the staff required to fully test the implementation of the system.
- Enables testing of parallel processes as appropriate.

Court staff will lead and perform testing. The Vendor will be responsible for:

- Implementation of the testing environments, data, and tools required.
- Development of the repeatable testing protocols and scripts.
- Component and business analysis support.
- Troubleshooting.

The Vendor shall resolve all errors discovered in this testing in a timely manner and prior to production operations.

4.5. Support Production System Deployment

The Vendor will provide on-site support of management, court administration, and technical activities for each court location in the successful implementation of court CMS production Release 1.0.

5. Training

Implementing a new case management system and ancillary applications will require specific training services for all software and court CMS components. These services will include planning and coordination, development of training materials and tools, and delivery of training to State Bar IT and the court management, staff, and judges.

5.1. Plan for Training

The Vendor must provide a training plan that details the approach to training and how training for the users and administrators of the system will be delivered. The plan should detail how training will be tailored to specific roles within the State Bar and the court. Training deliverables must include classroom sessions. All training materials shall be effectively cataloged, reusable, and modifiable by the court.

5.2. Provide Predesign Training of Personnel

It is anticipated that court CMS project staff and management will need to make well-informed design decisions throughout this engagement. The Vendor will

provide training on all court CMS software components to the court CMS project staff and management upon contract completion. This should include training on the technical and functional features and controls of all of the components that make up the system. This training should identify the design decisions that will be made in preparing the system for implementation.

5.3. Provide court CMS User and Administrator Training

The Vendor will be required to provide training on all court CMS software components. The training approach should be tailored to the various roles within the court. The training approach should:

- Account for specific roles.
- Focus training to develop the knowledge and skills needed to effectively use new court CMS components according to the daily activities of each role.
- Assist the court in managing, changing, and improving court business processes using court CMS.
- Employ a train-the-trainer approach at a minimum.
- Employ in-application help.
- Deliver on-site training at both court work sites.
- Consider the limitations of training facilities in each site.

5.4. Produce Training Documentation

The Vendor will be required to provide training and technical documentation for all court CMS software components. Documentation should include, but is not limited to:

- Step-by-step process instructions.
- Standard operating procedures.
- General system administration.
- Technical configuration.
- System maintenance.
- Troubleshooting procedures.

6. System Support

System support services include all of the activities necessary to maintain, efficiently update, and generally support the system in the event of technical or other issues. At a minimum, the Vendor will be expected to provide the following services:

6.1. Version and Patch Release Management

The Vendor must provide a plan and structure for managing requests for system modifications and bug fixes. This structure shall be designed to operate under the direction of the State Bar IT project manager. Any issue that requires a system-

wide change must be tracked and included in either a patch for critical issues or a future release for functionality expansions or noncritical issues.

Given the component-based nature of the court CMS, a critical element of release management will be the methods used to ensure that a version update to a single court CMS component does not “break” the interactions that the component has with other court CMS components by altering data structures or processing models. Releases must be well documented, identifying the nature of the changes made, configuration issues, and changes in business processes. The Vendor must provide a plan and protocol for planning, announcing, developing, testing, and deploying releases to ensure that software updates do not interrupt critical business processes.

6.2. Backup and Recovery Procedures and Tools

The Vendor must provide procedures and tools for system and data backup and recovery to support the system availability performance requirements. Backup and recovery practices and procedures must be consistent with State Bar IT standards. They should leverage State Bar IT backup and recovery facilities and procedures.

6.3. On-Site Support

The Vendor shall provide on-site technical support for activities associated with implementation of court CMS. This will be provided throughout the course of implementation. This support must be provided for a period of 3 months after Court CMS Release 1.0 is in production operation.

6.4. Level 1 Help Desk Support

The Vendor must assist the court in establishing a Level 1 help desk support structure and staff the help desk until such time as the State Bar IT is fully capable of operating the help desk using its own staff. This Level 1 help desk support must meet the court response and problem resolution time requirements for case management applications. It will apply to all Vendor-provided hardware, software, infrastructure, and services. It shall provide complete, accurate, and timely information about each request for service in the State Bar IT incident tracking application.

The Vendor shall provide documentation and training to State Bar IT help desk staff and management. This should establish full help desk capability (at the level required for long-term system maintenance) within 6 months of the successful completion of the Court CMS Production Release 1.0 implementation. The Vendor shall augment State Bar IT help desk staff until the State Bar IT has realized full help desk capability and shall provide additional resources sufficient to meet the additional short-term demand resulting from the implementation of court CMS.

6.5. Ongoing Level 2 Support and Problem Resolution

The Vendor shall provide Level 2 help desk support that meets response and problem resolution time requirements. It will apply to all Vendor-provided hardware, software, infrastructure, and services. It will be coordinated through up to three designated State Bar IT points of contact. In addition, it shall provide complete, accurate, and timely information about each request for service in the State Bar IT incident tracking application. The Vendor shall provide support by a variety of channels, including telephone, e-mail, and Web application.

Problem resolution protocol shall be as follows:

For a Severity Level 1 event, the Vendor:

- Responds to call for service in 30 minutes or less.
- Reports recommended resolution and estimated fix date/time for all affected System components in 2 hours or less.
- Resolves the deficiency within 24 hours.

For a Severity Level 2 event, the Vendor:

- Responds to call for service in 30 minutes or less.
- Reports recommended resolution and estimated fix date/time for all affected System components in 2 hours or less.
- Resolves the deficiency within 24 hours if the affected System component is on the Vendor site.
- Resolves the deficiency within 48 hours if the affected System component is on the State Bar site.

For a Severity Level 3 event (A business function or System component does not work as required, but a work-around that is acceptable to the court is available.) the Vendor:

- Responds to call for service in 30 minutes or less.
- Reports recommended resolution and estimated fix date/time for all affected System components in 2 hours or less.
- Resolves the deficiency within 72 hours if the affected System component is on the Vendor site.
- Resolves the deficiency within 96 hours if the affected System component is on the State Bar site.

For a Severity Level 4 event (A cosmetic deficiency is discovered that is noncritical but effects business function or a System component.) the Vendor:

- Responds to call for service in 30 minutes or less.
- Reports recommended resolution and estimated fix date/time for all affected System components in 4 hours or less.
- Resolves the deficiency within 10 business days.

6.6. Other Software and Hardware Maintenance

The Vendor shall provide the following support and maintenance services for the products delivered and/or licensed to the State Bar IT as a part of this engagement:

- Provision of known error corrections by delivery of available patches via electronic communication and for download via the Internet.
- Provision of available minor updates (bundling of several error corrections in one version) for download via the Internet.
- Provision of available medium upgrades (version with additional/enhanced functions) for download via the Internet.
- Provision of available major upgrades (version with substantially enhanced volume of functions).
- Provision of information via electronic communication (e-mail) when new minor/medium/major updates are available.
- Extension of hardware manufacturer and third-party software provider warranties.

The granting of rights of use and the delivery of the relevant license files for all minor, medium, and major upgrades shall be limited to the number and type of products provided by the Vendor in this engagement.