RFP Prepared by



Request for Proposals for a Hosted Case Management System RFP Number 2011-1

Attachment 1 - SCO CMS Solution Proposal Template

4 August

**NOTICE**

R.C. Section 9.24 prohibits SCO from awarding a contract to any Vendor against whom the Auditor of State has issued a finding for recovery if the finding for recovery is unresolved at the time of award. By submitting a proposal, a Vendor warrants that it is not now, and will not become subject to an unresolved finding for recovery under R.C. Section 9.24, prior to the award of any contract arising out of this Request for Proposals, without notifying SCO of such finding.

This Template ***must*** be used to prepare Solution Proposals. Vendors are not to change or alter the document in any way other than to provide the information requested. Exceptions or concerns with any aspect of this document are to be brought to the attention of the designated contact for this project as indicated in the Instructions.

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Introduction

This document provides the response template that prescribes the mandatory format for proposals. Format instructions must be followed, all requirements and questions in the RFP must be answered and all requested data must be supplied. The Vendor shall carefully examine the RFP and be satisfied as to the conditions to be complied with prior to submitting a proposal. Vendors whose proposal deviates from the proposal template will be considered non-responsive and will be disqualified. No cost information can be included in the Solution Proposal. If cost information is included in the Solution Proposal the vendor will be disqualified.

Vendors ***must*** use this template and place responses within the allocated response areas. Vendors are not to change or alter the document in any way other than to provide the information requested. Exceptions or concerns with any aspect of this document are to be brought to the attention of the designated contact for this project as indicated in the Instructions.

**Organization of the Proposal Template**

This document is organized into the following major sections:

**Section 1:** General

**Section 2:** Vendor(s’) Information

**Section 3:** Technical Solution

**Section 4:** Implementation Services

**Section 5:** Functional Requirements

1. GENERAL
   1. Cover Letter / Executive Summary

Provide a Cover Letter / Executive Summary for your proposal (NOTE: this does not need to be included within this template). The Executive Summary is to highlight the most important features of the proposal, providing a broad understanding of the vendor’s proposal and explaining how the proposed solution and approach provides the best value in meeting the needs of the SCO. The Executive Summary should additionally include an explanation as to why this project is important to your organization and why yours is the right organization for this project.

A statement that the solution satisfies the functional, technical, and support/implementation requirements outlined in the RFP should be included. The Executive Summary should contain as little technical “jargon” as possible, and is not to contain any cost information.

|  |  |
| --- | --- |
| **Attached? (Y/N):** |  |

* 1. Contact Information

Provide contact information for this proposal:

| **CONTACT INFORMATION** | | |
| --- | --- | --- |
|  | **Primary** | **Alternate** |
| Name: |  |  |
| Title: |  |  |
| Company: |  |  |
| Mailing Address: |  |  |
| City, State, Zip: |  |  |
| Phone Number: |  |  |
| E-mail Address: |  |  |

* 1. Products and Services

As indicated in the RFP, the core functions of the Pilot Project for the SCO Hosted Case Management system include the following:

* ***Case Management –*** a robust case management system, including all case-related financial functions and extensive reporting capabilities that can be shared by multiple courts;
* ***Electronic Content Management –*** enabling the effective management of case documents and other content with online access to all electronic copies of system-generated documents and documents scanned locally at the courts which have been linked with their cases;
* ***Electronic Filing Workflow Management –*** providing the courts with the ability to receive, review and process case documents filed electronically, and manage the workflow associated with those documents. Note that the scope of the Electronic Filing capability does not include the functionality to submit filings; as providing that capability to their constituents is currently the responsibility of the local courts;
* ***Web-based Public Access* –** enabling the public to access court records published by the courts, including the ability for case participants to perform lookups and make payments on their own cases;
* ***Digital Signature Capability*** – providing the ability to incorporate digital signatures onto system generated documents;
* ***Information Exchange*** capabilities, including selected interfaces to be implemented during the Pilot project and the ready ability to incorporate additional interfaces both during the Pilot and in the future;

Using the table below, identify all products or services proposed that enable the proposed solution to meet the functions described above, the vendors providing that product or service, why that product / vendor was selected and, if the vendor is a subcontractor (i.e., they will be providing staff to the project which the Vendor must manage), identify prior experience working with that vendor in similar projects.

Note that the SCO requires the Vendor submitting the Proposal to become the “Prime Contractor” for the project, with all associated responsibilities.

| **PRODUCTS AND SERVICES OVERVIEW** | | |
| --- | --- | --- |
| **Product / Service** | **Vendor / Product Name**  **/ Version (as applicable)** | **Why selected, including prior experience working with Prime Contractor** |
| Prime Contractor |  |  |
| Case Management |  |  |
| Document Management |  |  |
| e-Filing Manager |  |  |
| Workflow |  |  |
| Reporting |  |  |
| Integration software |  |  |
| Integration services |  |  |
| Data Conversion |  |  |
|  |  |  |
|  |  |  |

Add additional lines if needed.

* 1. Assumptions

Using the following table, state the assumptions or dependencies presumed in this proposal. Please identify each item with a unique identifier:

| **Item #** | **Assumption or Dependency** |
| --- | --- |
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Add additional lines if needed.

* 1. Proposed Changes to Agreement for Services

Vendors may propose modifications to the SCO’s Agreement for Services – Appendix A – SCO Agreement for Services. The SCO reserves the right to accept and incorporate into the final contract any and all of the Vendor’s proposed modifications or additions, negotiate modifications to proposed additions, or reject any and all proposed modifications or additions. If proposed modifications or additions are not submitted with the Vendor’s proposal, however, they may not be accepted at a later date.

* + 1. Modifications

In the table below, identify any proposed modifications to any terms and conditions in the SCO’s standard Agreement for Services.

| **PROPOSED MODIFICATIONS TO SCO AGREEMENT FOR SERVICES** | | |
| --- | --- | --- |
| **Section / Paragraph #** | **Proposed Revision** | **Explanation / Rationale** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

Add additional lines if needed.

* + 1. Additions

In the table below, identify any proposed additions to the SCO’s standard Agreement for Services.

| **PROPOSED ADDITIONS TO SCO AGREEMENT FOR SERVICES** | | |
| --- | --- | --- |
| **Paragraph #** | **Proposed Revision** | **Explanation / Rationale** |
|  |  |  |
|  |  |  |
|  |  |  |
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Add additional lines if needed.

1. Vendor(s’) Information

The SCO anticipates that the full scope of the CMS will involve products and services from multiple vendor organizations and requests that information on each vendor be provided.

* 1. Company Histories

In the table below, provide a brief history for each vendor included in the Proposal. Information provided should include how long the company has been in the business of providing the product or service which that vendor is providing for this project, a description of the company’s ownership structure (e.g., stock company, privately held), and other information relevant to the company’s history.

Note: Vendors which will not be actively participating as subcontractors in the project (e.g., a vendor for the operating system software installed on servers, hardware manufacturers or distributors) do not need to be included.

| **VENDOR COMPANIES HISTORIES** | |
| --- | --- |
| **Vendor** | **Brief Company History** |
|  |  |
|  |  |
|  |  |

Add additional lines if needed.

* 1. Prime Contractor Offices

In the table below, identify the location of the office(s) responsible for providing implementation services and post-implementation support:

| **LOCATION OF OFFICES PROVIDING SERVICES** | | |
| --- | --- | --- |
|  | **Implementation** | **Support** |
| Address Line 1: |  |  |
| Address Line 2: |  |  |
| City, State, Zip |  |  |
| Telephone |  |  |

* 1. Additional Work Performance Location

Describe any additional location (other than offices listed above and SCO locations/offices) where you anticipate performing work associated with the SOW.

|  |
| --- |
|  |

* 1. Company Staffing

In the table below, specify the number of employees by job/function (e.g., executives, sales, implementation, product development, etc.) for the case management system vendor. Additionally include an organizational chart. Note that if the vendor is a large corporation, this information is to be provided only for the business unit in the corporation directly responsible for performing this project.

| **VENDOR STAFFING** | | | | |
| --- | --- | --- | --- | --- |
| **Role** | **Current Staffing** | | **Planned Growth (5 years)** | |
|  | **Employees** | **Contractors** | **Employees** | **Contractors** |
| **Executives** |  |  |  |  |
| **Sales** |  |  |  |  |
| **Implementation Services** |  |  |  |  |
| **Product Development / Tech Support** |  |  |  |  |
| **Customer Support (e.g., Help desk)** |  |  |  |  |
|  |  |  |  |  |

Add additional lines if needed.

* 1. Vendor Experience

The SCO expects the selected vendor and its subcontractors to have demonstrated experience with implementations of shared case management systems similar to the SCO CMS project. In Attachment A4 - Vendor References, provide at least three and up to six references of relevant projects for all vendors (Prime Contractor and subcontractors) working on the project. Describe the scope of each project and the organization’s role in that project.

Note that the SCO reserves the right to assess any vendor’s experience from implementations other than those identified in the Attachment.

* + 1. Vendor Reference Details

Provide at least 3 and up to 6 references on the ‘References’ tab of Attachment A4 - Vendor References.

|  |  |
| --- | --- |
| **Attached? (Y/N):** |  |

* + 1. Recent Projects and Contracts

Provide a list of your most recent six projects and contracts using the ‘Recent Projects & Contracts’ tab of Attachment A4.

|  |  |
| --- | --- |
| **Attached? (Y/N):** |  |

* + 1. Subcontractor References

Provide details of references for each subcontractor using the ‘Subcontractor References’ tab in Attachment A4. Make a copy of the worksheet for each subcontractor.

|  |  |
| --- | --- |
| **Attached? (Y/N):** |  |

* + 1. Most Similar Implementation

In the space below, describe the one reference which is most similar in scope and nature to the SCO Project.

|  |
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* 1. Financial Disclosures

The SCO requires that the vendor and subcontractors provide the following financial information and legal disclosures. The SCO reserves the right to investigate and validate any financial or legal information provided below.

* + 1. Recent Revenue and Earnings

Provide revenue and net earnings during the last three fiscal years. For companies with multiple lines of business, column 1 is for the Line of Business specific to this implementation. Additionally, provide audited financial statements for each year as attachments.

|  |  |
| --- | --- |
| **Attached? (Y/N):** |  |

| **REVENUE (1)** | | | |
| --- | --- | --- | --- |
| **Vendor \*** | **FY2007** | **FY2008** | **FY2009** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

| **NET EARNINGS (1)** | | | |
| --- | --- | --- | --- |
| **Vendor \*** | **FY2007** | **FY2008** | **FY2009** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

\*i.e., just the division of the company responsible for this system

If there is any reason why financial information is not provided, explain the reason why and state the conditions under which it will be provided at some time in the future.

|  |
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* 1. Legal Disclosures
     1. Judgments, Litigation and Disputes

Provide information on any judgments, litigation, or other legal disputes pertaining to project activities (e.g., litigation related to shareholder disputes do not need to be disclosed) that have occurred with the Vendor and each subcontractor in the past 5 years. This includes any claims, disputes, or disallowances which have occurred, including but not limited to notices of default, unsatisfactory performance, administrative protests, or other action involving state or federal government and private companies. Please provide details including the state and court where the case is filed, the case number, name of parties, and whether the litigation has been resolved or is currently pending. If none are known to exist, state “None.”

| **JUDGMENTS, LITIGATION and DISPUTES** | |
| --- | --- |
| **Vendor** | **Explanation** |
|  |  |
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Add additional lines if needed.

* + 1. Contract Terminations

Provide information on any contract terminations which have occurred during the past 5 years for any reason for the Vendor and subcontractors. Describe the circumstances, and provide the customer’s contact information. If none, state “None.”

| **CONTRaCT TERMINATIONS** | |
| --- | --- |
| **Vendor** | **Explanation** |
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Add additional lines if needed.

* + 1. Conflicts of Interest

Provide information on any potential conflicts of interest that the Vendor and subcontractors may have with the SCO, any court in the state of Ohio, or any Clerk’s office in the state. If none, state “None.”

| **CONFLICTS OF INTEREST** | |
| --- | --- |
| **Vendor** | **Explanation** |
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Add additional lines if needed.

1. Technical Solution

The SCO anticipates implementing a case management solution that meets and enhances court operations. The solution is to be aligned with industry standards, capable of operating in a shared environment in which entities using the system are independent from each other, highly reliable for daily operations, and scalable to accommodate increases in entities, caseload and users without affecting performance.

The SCO does not require all component systems of the solution to be the product of one vendor (e.g., the CMS and content management components may be from different vendors) but it is required that the final solution operate as a single, integrated system.

The figure below provides a conceptual view of the architecture for the anticipated solution.

Figure 2 – Conceptual Architecture for Supreme Court of Ohio Hosted CMS



* 1. System Architecture & Technology

Describe the overall system architecture (e.g., browser, n-tier, thin client, etc.) and topology for your proposed solution. Note that while the SCO requires a centralized topology, it anticipates that distribution of certain components may be appropriate for redundancy and disaster recovery purposes. The primary location for hardware will be in the SCO’s data center in Columbus, Ohio, with an alternate site available for backup/DR purposes.

Include information on the underlying platforms and software on which the core components – case management, content management, filing review – are built and supported. Describe the benefits of this architecture for the CMS as well as any constraints or risks that will need to be addressed to ensure the success of the architectural approach. Provide diagrams as needed to illustrate the system’s architecture.

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* 1. Operating Configuration

The SCO envisions an operating configuration consisting of multiple environments, such as production, training, testing and development. Describe and provide a diagram of the proposed operating environment.

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* 1. Fully Integrated Components

All components of the solution, whether provided in a single software product or components from multiple vendors must be fully integrated and operate as if they are one system. Describe how the proposed solution meets the requirement for a fully integrated solution.

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* 1. Database Topology

Describe the proposed database topology (single instance, multiple instances) for your proposed solution. Describe the benefits of this architecture for the SCO as well as any constraints or risks that will need to be addressed to ensure the success of this approach. Provide diagrams as needed to illustrate the topology.

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* 1. Scalability

The system must be scalable to accommodate growth in the number of courts using the system and support for their respective caseload volumes and associated data, documents, and users. However, since use of the system is optional by all Ohio courts and each court has the ability to make the decision at their own discretion, the SCO cannot provide guidance on the rate of increase.

Describe both the scalability of the proposed solution and any constraints or risks that need to be addressed by the SCO to effectively manage growth and prevent any impact of growth on the existing user base.

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* 1. Performance

Using the table below, state the anticipated performance which the SCO can expect in terms of the response timeliness for completion of transactions – that is, the time between an action by the end-user requesting a response from the system and when the results are displayed to that user.

| **ANTICIPATED PERFORMANCE** | | |
| --- | --- | --- |
| **% of Transactions** | **Response Time** | **Explanation** |
| **80%** |  |  |
| **95%** |  |  |
| **99+%** |  |  |

In the space below, describe the approach you followed to determine the above performance metrics. Additionally, identify the estimated number of concurrent transactions per second the system can support, including benchmarking evidence as appropriate. Finally, describe any issues, constraints or expectations that would need to be addressed by the SCO to ensure that the performance metrics above are achievable.

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* 1. Reliability and Availability

The system must be highly reliable and available for daily operations with target availability of 99.9% on a 24x7 basis, and a fault-tolerant configuration to prevent failures. In the event of a system failure, the system should have the capability to recover quickly to minimize loss of data and impact on operations.

Describe how the proposed solution is designed to meet the reliability and availability requirements and to prevent failures. Identify specific capabilities that will be in place to ensure that transactions – including data entry, e-Filing or data exchange transactions – in progress at the time of a failure are fully recoverable, or explain any limitations to the ability to fully recover without loss of any data.

|  |
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* 1. Recovery and Business Continuity

Describe the recommended recovery processes and procedures for the proposed solution, including preparations which must be taken to sustain a long-term (e.g., more than 1 day) outage of any component of the system. It is suggested the vendors structure this section as described in the National Fire Protection Association (NFPA) 1600 standard.

|  |
| --- |
|  |

* 1. Core Product Technology & Lifecycle Status

The SCO requires that Vendors describe the status of the core products in the proposed solution (case management, content management and E-Filing systems) relative to the product lifecycle. Vendors, and any sub contractors, must also describe their approach for the ongoing development and enhancement of these core products, including the addition of new features and functions and migration over time to new and emerging technologies.

For each of the core functions indicated below, identify whether the product and version proposed for the SCO CMS is the vendor’s generally available (GA) release or its “next generation” release, including the year first installed and the number of Courts running the software. Explain the rationale for proposing this version.

| **CORE PRODUCTS TECHNOLOGY STATUS** | | | | | | |
| --- | --- | --- | --- | --- | --- | --- |
| **Core Product Function** | Version Proposed | Development Platform | GA or NEW | First Installed | **# of Customers** | **Why This Version is Proposed** |
| **Case Management** |  |  |  |  |  |  |
| **Content Management** |  |  |  |  |  |  |
| **E-Filing Manager** |  |  |  |  |  |  |

* + 1. Case Management System Product Direction

Describe plans for ongoing development and enhancement of the Case Management System. State whether a new version of the software is currently in development and when that version may be available. Additionally, indicate how often new releases – both major and minor – are typically provided and whether each release must be installed or not in order to implement future versions of the software.

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* + 1. Electronic Content Management System Product Direction

Describe plans for ongoing development and enhancement of the Electronic Content Management System. State whether a new version of the software is currently in development and when that version may be available. Additionally, indicate how often new releases – both major and minor – are typically provided and whether each release must be installed or not in order to implement future versions of the software.

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* + 1. E-Filing Manager Product Direction

Describe plans for ongoing development and enhancement of the E-Filing manager component. State whether a new version of the software is currently in development and when that version may be available. Additionally, indicate how often new releases – both major and minor – are typically provided and whether each release must be installed or not in order to implement future versions of the software.

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* 1. Integration Architecture / Information Exchanges

The SCO expects the solution to be capable of sharing data electronically with existing systems used by other members of the justice community and with key local, state and national information systems.

* + 1. Support of Integration Standards

Describe the extent your solution incorporates NIEM or other judicial systems integration standards or your ability to do so as part of the implementation. If the proposed solution is not yet compliant with known standards (e.g., NIEM), describe your plans to make it compliant in the future.

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* + 1. Interfaces Included in Solution

The table below lists the interfaces to be included in the pilot implementation. Appendix B – SCO Common Court Interfaces provides further details about these systems. If the interface has been previously implemented, indicate where your organization has implemented it.

| **INTERFACES TO BE INCLUDED IN PILOT SOLUTION** | | | |
| --- | --- | --- | --- |
| **Interfaced Systems** | **Interface Implemented / Developed? (Y/N)** | **Where Implemented** | **Comments** |
| OCN (Ohio Courts Network) data uploads |  |  |  |
| BMV (Bureau of Motor Vehicle) reporting |  |  |  |
| BCI&I (Bureau of Criminal Identification and Investigation) |  |  |  |

* + 1. Pre-Established Integration with Commercial Products

List any pre-established integrations between the proposed solution and commercial products (e.g., Microsoft Outlook, iPhone.) Describe the integration and how it is used in the CMS (and by the end-user, as applicable.)

| **PRE-ESTABLISHED INTEGRATION WITH COMMERCIAL PRODUCTS** | |
| --- | --- |
| **Product** | **Description of the Integration** |
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Add additional lines if needed.

* + 1. E-Citations Integration

The ability to receive and process traffic citations electronically is expected to improve productivity in the local courts. Describe how your solution enables the receiving and processing of traffic citations electronically.

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* + 1. Integration with External Content Management Systems

Local courts, or their city or county, may have invested substantially in a content management system used by the court. It is anticipated that those courts are likely to expect to continue using that system for document management.

Describe the capabilities of the solution to integrate with these systems, and any limitations which may exist relative to the functionality desired of the solution. Identify any risks or other considerations which must be addressed to effectively establish this integration.

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* + 1. Readiness for Additional Interfaces

Many courts (including Pilot courts) participating in the hosted CMS will require interfaces for information exchanges with systems specific to their local jurisdiction (e.g., the sheriff’s jail system in one particular county, etc.) These interfaces will be identified and implemented as part of the implementation for each local court. Describe how the proposed solution provides for these interfaces to be developed, including identification of included software that would be used to enable the information exchange.

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* 1. System Security

The SCO expects the solution to include controls over access to functions as well as ensuring the confidentiality of sensitive and private information. The system should:

* Provide for security between the courts;
* Provide controls based on roles and responsibilities (e.g., judge, clerk, administrator, etc.);
* Provide controls based on case types and data (e.g., juvenile and adoption cases);
* Provide secure internet-based access for system users and others (e.g., public, justice partners, etc.); and
* Log system activity.
  + 1. Security Administration

Describe the overall security features of the system. Explain security controls which are used to enable or restrict access to functions, data and documents and whether they are provided and administered within the application or externally.

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* + 1. Data Integrity

Identify features which will enable multiple courts to share the system and have secure access both to the same tables and data as well as to court-specific data while providing data integrity.

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* + 1. Authentication

Users logging into the SCO CMS must be able to be authenticated against a Microsoft Active Directory, including support for multiple OUs nested security groups. The application additionally needs to support certificate base authentication in conjunction with the standard Windows Authentication login (two-factor authentication.)

Describe the authentication capabilities provided in your solution and any restrictions or issues in supporting the SCO requirement.

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* + 1. Confidential Data

Describe how security is provided for confidential data (e.g., sensitive personal data, sealed documents, juvenile case data)

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* + 1. Encryption of Data

A future requirement for the SCO – and therefore, its selected CMS vendor – may be the encryption of sensitive and confidential personal data and storing of that data in an encrypted format. Describe whether or not your proposed solution currently supports this potential requirement or is capable of being modified to do so,

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* + 1. Security Logging and Audit Trail

Describe the logging which is done to track access within the application. Identify event types captured, how access to the log is made and how security of the log is provided.

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* + 1. Security for Internet-Based Access

Describe security provided for controlling internet-based remote access into the system for end-users, justice partners, and the public.

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* 1. System Administration
     1. Support for Multiple Jurisdictions

The system will be shared by multiple courts responsible for different jurisdictions and must be capable of providing flexibility to each court in meeting a diversity of operational needs. Where business rules would be used to define specific actions in the automation of system functions, each court should have the ability to define those business rules separately from one another.

Describe how the proposed solution meets the requirement to support multiple jurisdictions. Describe any constraints and risks that need to be addressed to ensure that the solution can meet the needs of multiple jurisdictions.

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* + 1. Responsiveness to Required Changes

The system must be designed to enable the courts to respond in a timely manner to legislative mandates and changes in regulations without the need for significant involvement by IT personnel. However, the system must have the option to secure configurable options from user manipulation. This includes the use of table-driven parameters and menuing capabilities that enable system administrators to tailor the system to meet their operational needs.

Describe how the system is designed to meet the requirement for quick responsiveness to change.

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* + 1. End-User Preferences

The system must have the capability for individual users to set their own preferences that enable them to use the system more effectively. However, the system must have the option to secure configurable options from user manipulation.

Identify and describe those features in the solution which end-users will be able to configure to their particular preferences.

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* + 1. Application Extensibility

Describe capabilities, if any, provided in the solution that will allow SCO technical staff to extend application functionality without Vendor involvement. Explain any limitations or considerations which SCO must take into account before developing any application extensions.

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* 1. System Functions and Features

Detailed application functional requirements are provided in Attachment A3 – SCO CMS Functional Requirements In addition to the coded responses to these requirements, the SCO requires a descriptive understanding of how the solution will provide or meet the following key functional needs of the courts.

* + 1. Business Intelligence / Reporting Tool

The SCO expects the solution to include a comprehensive business intelligence tool for the collection, retrieval, organization, presentation, and analysis of case data and statistics. The tool should include a dashboard feature that can display aggregate case statistics and/or specific case status data and which can be configurable by each user.

Describe the business intelligence capability included with your proposed solution.

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* + 1. Non-Cash Payment Capability

The SCO expects that the CMS will support payments made in forms other than by cash, such as by:

* Checks
* Credit card (both in person and online via Internet)
* Debit account
* Bank transfer / Automatic drafts
* PayPal

Describe each non-cash payment capability supported in your proposed solution, including any additional hardware which may be required. Also, identify any constraints or potential issues which must be addressed by the SCO to support each capability.

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* + 1. Reports and System Generated Documents

The CMS must be capable of producing reports and system generated documents. A system generated document uses data from the CMS, both on demand or on a specific schedule, to produce a court document which typically is to be given or sent to parties in the case (e.g., a judicial order) or external entities, and which may or may not require additional editing or the affixing of a signature by the user before issuing. A non-editable copy of the final document should be stored in the database and linked to the case and/or party.

A list of common reports produced, and forms used by the Ohio courts is provided in Appendix C – SCO Reports and Forms. In addition to these defined reports and forms, the courts need the ability to create ad-hoc reports and documents.

Describe in detail how the proposed solution will meet the requirements for reports and system generated documents, including those which are pre-defined and those which are created on an ad-hoc basis.

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* + 1. Document Workflow and Collaboration

The SCO expects the solution to enable multiple persons to be involved in the review and processing of documents, with controls that ensure protection for the document and workflow process that enables the routing of a document (or documents) among the individuals working on them.

Describe how your proposed solution meets this requirement.

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* + 1. Electronic Public Access

Describe how the proposed solution supports electronic public access, including the identification of features included in the solution that will address privacy and security in such. Additionally identify the hardware technologies which are supported (e.g., PCs, smart-phones or other personal devices, etc.), and any constraints or potential issues which must be addressed by the SCO or local courts to support this capability.

Note: While the solution requires the capability for supporting electronic public access, the SCO does not require Vendors to provide the user hardware associated with this capability.

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* 1. WORKFLOW PROCESSES

The SCO and Ohio Courts have developed multiple use cases and workflows that describe and depict key case management functions and court case workflows. These use cases and workflow diagrams can be found in the Appendices – Appendix D contains the Use Case Narratives and Appendix E contains the workflow diagrams associated with the Use Cases. As additional reference materials, Appendix F contains workflow diagrams for multiple types of court cases, though these workflows are not separately described in narrative form. Functional specifications based on these materials have been incorporated into the detailed application functional requirements, Attachment A3.

In the table below, identify variances between the use case narrative and your system’s process workflow for that use case and describe how the SCO use case would need to be adapted to take advantage of your solution’s processes. NOTE: it is not the SCO’s intention to have Vendors describe in detail each of its systems processes that corresponds to a use case. If the process in your proposed solution is consistent with the SCO use case, it is acceptable to indicate so with a minimal response (such as…The current process in the proposed supports the SCO use case workflow as described.)

| **SCO USE CASES** | | |
| --- | --- | --- |
| **Item #** | **Use Case Name** | **Vendor Comment** |
| 3.14.1 | Case Initiation |  |
| 3.14.2 | Party Entry |  |
| 3.14.3 | Judge Assignment |  |
| 3.14.4 | Service & Service Returns |  |
| 3.14.5 | Answers |  |
| 3.14.6 | Event Scheduling |  |
| 3.14.7 | Event Rescheduling |  |
| 3.14.8 | Waivable Appearance |  |
| 3.14.9 | Bond Management |  |
| 3.14.10 | Arraignment |  |
| 3.14.11 | Diversion Programs |  |
| 3.14.12 | Resource Change |  |
| 3.14.13 | Case Transfer |  |
| 3.14.14 | Case Consolidation |  |
| 3.14.15 | Docket Entry |  |
| 3.14.16 | Case Communications |  |
| 3.14.17 | Calendar Setup |  |
| 3.14.18 | Calendar Override |  |
| 3.14.19 | Document Management – System Generated Documents |  |
| 3.14.20 | Document Management – Hardcopy Documents |  |
| 3.14.21 | Financial Management – Accounts Receivable |  |
| 3.14.22 | Financial Management – Process Payments |  |
| 3.14.23 | Financial Management – Checks |  |
| 3.14.24 | Financial Management – Deposit Accounts |  |
| 3.14.25 | Applicant / Nominee Validation |  |

* 1. Operating Environment(s) and Hardware

The SCO requires vendors to specify the hardware configuration on which the solution will be implemented – including servers, and peripherals such as credit card readers, scanners, bar-code device, etc. – and the minimum configuration for workstations to make the best use of the solution.

The SCO anticipates an implementation configuration with multiple operating environments, including development, test, training, and production. Primary production databases and hardware would be located at the SCO data center. Databases supporting the non-production environments would also be located at the SCO data center.

Secondary databases located at the SCO disaster recovery (DR) site, which would be kept closely in sync with the operating database. It is anticipated this database would be used both for failover in the event of an outage affecting the primary operating database and for running reports. These databases would be considered part of the production environment.

* + 1. Proposed Solution Recommended Hardware Configuration

Vendors must list all hardware necessary to ensure the successful implementation and ongoing operation and maintenance of the proposed Solution for a minimum of two years after implementation. Indicate whether the hardware is required or optional for the software included in the proposal. Note that SCO reserves the right to purchase the hardware under a separate contract and is not requesting hardware pricing from Vendors in their proposals.

Provide details for recommended hardware in Attachment A5 - Recommended Hardware.

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| **Attached? (Y/N):** |  |

* + 1. Hardware Configuration Standards

A description of current and future infrastructure architecture for SCO systems can be found in Appendix G – SCO Infrastructure. Describe the extent to which your proposed hardware is different with this configuration, and identify any constraints or risks to being consistent with the SCO’s configuration standards and your approach for mitigating those risks.

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* 1. Application Software

The following table identifies the anticipated number of users for the two Pilot courts and typical Municipal and Common Pleas courts.

| **NUMBER OF USERS – PILOT AND FUTURE COURTS** | | |
| --- | --- | --- |
| **Court / Type** | **Number of Users** | **Notes** |
| **Pilot Court 1 – Lucas County General Division** | **91** |  |
| **Pilot Court 2 – Holmes County Juvenile / Probate** | **12** |  |
| **Future – Typical Municipal Court** | **20** | Range is from 5 to 35 |
| **Future – Typical Common Pleas Court** | **25** | Range is from 7 to 250 |

* + 1. Licensed Software

Vendors must list and describe all application software included in the proposed solution, including supplemental software such as report writers, configuration management tools and others.

Provide details for Application Software in Attachment A6 – Proposed Software.

|  |  |
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| **Attached? (Y/N):** |  |

* + 1. Growth into Enterprise Licenses

Using the table below, list all proposed application software and identify at what number of users an Enterprise License would become effective for each. If there are no restrictions on the number of users (i.e., an Enterprise License is either provided initially enter “1” for the number of users.

| **NUMBER OF USERS – ENTERPRISE LICENSE EFFECTIVENESS** | | |
| --- | --- | --- |
| **Software** | **Number of Users** | **Comments** |
|  |  |  |
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Add additional lines if needed.

* + 1. Local Court Direct Licensing

The SCO will be the license holder for the application software installed in the Pilot. It is possible, though, that any local court in the state may choose to directly obtain, install and operate the same CMS under its own control.

Describe how you will ensure that any court pursuing this approach obtains value in choosing to separately implement the same CMS proposed for the SCO Hosted CMS.

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* + 1. Post-Pilot Go-No Go Decision

It is the SCO’s intention with the Pilot phase of this project to determine whether the SCO Hosted CMS will be viable for the long term. If, for whatever reason, the SCO determines that hosting the CMS is not in its or the Ohio Courts’ best interest, a transfer of the licenses to from the SCO to the local Courts using the system at that time may be necessary.

Describe how this may impact licensing, and describe your approach to provide the SCO with the appropriate flexibility needed to support this potential while still providing value to the Ohio courts choosing to implement your system.

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* 1. System Software

SCO requires that the system software is considered state of the art technology and represents the most current version in production at the time of installation. List all system software included and necessary to operate the proposed Solution and hardware components. Indicate if the software listed is included in the proposal or optional for SCO.

Provide details for System Software in Attachment A6 – Proposed Software.

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| **Attached? (Y/N):** |  |

* 1. Workstation Software

List all software which must run on user workstations for the proposed solution to operate properly, including software which may be provided as part of the proposed solution (e.g., a “client” component to the application), and software which must be provided by the SCO (e.g., OS, browser.)

| **Workstation Software** | | | |
| --- | --- | --- | --- |
| **Software** | **Release(s) Supported** | **Provided By** | **Comments** |
|  |  |  |  |
|  |  |  |  |
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Add additional lines if needed.

Describe any issues which may exist for users of workstations which do not have the proper software installed.

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* + 1. Workstation Hardware Configuration

Specify the minimum specifications for desktops/workstations which will be used with the system. If different user types require different configurations, please show the configuration for each different user type.

| **WORKSTATION HARDWARE CONFIGURATION** | | |
| --- | --- | --- |
| **Component** | **Minimum Specification** | **Comments** |
| Processor |  |  |
| Hard Drive |  |  |
| Memory |  |  |
| Monitor Size |  |  |
| Video Card |  |  |

Add additional lines if needed.

Describe any issues which may exist for users of workstations which are not at the recommended configuration.

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1. Implementation Services

SCO requires that Vendors describe all aspects of services provided for the implementation of the Hosted CMS. Such Implementation Services expected by SCO include:

* Managing all aspects of the project including coordination of Supreme Court and Ohio courts’ staff assigned to support project activities;
* Risk management;
* System analysis;
* Design and configuration activities;
* Interface planning and implementation;
* Data conversion to import data and documents from existing case management and document management systems;
* Testing the solution prior to deployment;
* Deployment of the solution;
* Training of end-users and technical support staff; and
* Post-implementation support
  1. Statement of Work

The SCO requires the Vendor to develop and provide a preliminary Statement of Work (SOW) that describes the full life cycle of the development, deployment, transition and support for the implementation of the proposed solution, including all deliverables to be produced.

The SOW is to be provided as Attachment A8 – SCO CMS Project Statement of Work.

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| **Attached? (Y/N):** |  |

* + 1. Deliverables

Based on your proposed approach and statement of work, please provide a detailed list and description for all services to be delivered in both the Pilot Phase and each individual court implementation (Statewide Rollout) following the Pilot:

| **DELIVERABLES – PILOT PHASE** | |
| --- | --- |
| **Deliverable** | **Description of Deliverable** |
| **Phase: Project Management and Preparation** | |
|  |  |
|  |  |
| **Phase: Organizational Change Management** | |
|  |  |
|  |  |
| **Phase: Requirements Analysis and Design** | |
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| **Phase: Solution Installation and Testing** | |
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|  |  |
| **Phase: Training and Preparation for System Go-Live** | |
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|  |  |
| **Phase: Go-Live and Deployment** | |
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|  |  |
| **Phase: Service and Support** | |
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Add additional lines as needed

| **DELIVERABLES - STATEWIDE ROLL-OUT** | |
| --- | --- |
| **Deliverable** | **Description of Deliverable** |
| **Phase: Project Management and Preparation** | |
|  |  |
|  |  |
| **Phase: Organizational Change Management** | |
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|  |  |
| **Phase: Requirements Analysis and Design** | |
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| **Phase: Solution Installation and Testing** | |
|  |  |
|  |  |
| **Phase: Training and Preparation for System Go-Live** | |
|  |  |
|  |  |
| **Phase: Go-Live and Deployment** | |
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|  |  |
| **Phase: Service and Support** | |
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Add additional lines as needed

* 1. Project Management and Control
     1. Project Management

The SCO requires Vendors to follow industry best practices for managing the project, preferably following the Project Management Institute project standards. The Prime Contractor will be responsible for providing the following project management services, subject to the direction of the SCO’s project manager(s):

* Maintaining the ongoing project schedule, including coordinating project status meetings and preparing status reports describing, at minimum, accomplishments, progress against plan, key issues and risks, risk mitigation actions, and noting upcoming activities;
* Working with the SCO to develop the milestone/deliverable review process and acceptance criteria for each defined milestone and/or deliverable;
* Ensuring that all deliverables are of high quality and meet the defined expectations of the SCO;
* Developing and following a risk identification and mitigation and issue resolution process, including the tracking and management of project risks and issues.
* Providing a change management plan outlining the process for documenting and the SCO’s review process for approving changes in project scope;
* Managing its own staff and subcontractor(s) activities, including coordinating problem resolution activities and all the products and services essential to the project’s success;

Describe the project management methodology that will be followed for managing the implementation of the CMS consistent with the State’s expectations. Include descriptions of the management tools, processes, and techniques that will be employed to guide the project, to measure and monitor progress, to identify and mitigate risks, facilitate completion of tasks, ensure quality, and to accommodate and manage unforeseen changes in scope or functionality. Include samples of project management tools and outputs that will be used on this project.

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* + 1. Project Team
       1. Key Personnel

The SCO has identified Key Personnel as the Project Director, Project Manager, Technical Manager, Conversion Lead, Functional Analysis Lead, and Training Lead. For these positions – and any others which your organization also considers a key position, list in the table below the percentage of time persons in the role will dedicated to the project, duration of the assignment and planned hours both on- and off-site per month. Additionally, as an attachment to the proposal provide representative resumes for each role named below as Attachment A9 – Representative Resumes.

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| **Attached? (Y/N):** |  |

Each Vendor selected to be a finalist will be required to identify the specific staff who will be assigned to the Project. Resumes and references for these individuals may additionally be requested by the SCO.

The SCO reserves the right to refuse any staffing assignment made initially or in replacement, and may request changes in staffing in any position at any time. In addition, individuals assigned to work under this contract may be subject to background checks including fingerprinting, state and/or federal criminal records checks, drug testing, or all of the foregoing.

| **KEY PERSONNEL** | | | | |
| --- | --- | --- | --- | --- |
| Position / Role | % of Time  on Project | Duration on Project | Monthly On-Site Hours | Monthly Off-Site Hours |
|  |  |  |  |  |
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Add additional lines if needed.

* + - 1. Vendor Resource Allocations by Project Phase

In the table below, identify the total estimated level of effort, in FTEs for each defined project phase for all Vendor and subcontractor staff which may perform project activities.

| **VENDOR RESOURCE ALLOCATIONS** | | | |
| --- | --- | --- | --- |
| **Project Phase** | Duration | **# FTEs** | Comments |
| Project Planning & Management |  |  |  |
| Requirements Analysis & Design |  |  |  |
| Solution Installation & Testing |  |  |  |
| Training & Preparation for Go Live |  |  |  |
| Go-Live / Deployment |  |  |  |
| Post Implementation Support |  |  |  |

Add additional lines if needed.

* + - 1. Ohio Courts Pilot Project Team

In the table below, identify the roles and responsibilities to be filled by the SCO during the Pilot Project. Include an estimate of the number of persons performing each role, the Phases when the resource is needed (based on the Project Phases identified previously), the duration for which the resources are needed, and the percentage of time needed for each activity.

| **OHIO COURTS ROLES AND RESPONSIBILITIES – PILOT PHASE** | | | | |
| --- | --- | --- | --- | --- |
| **Role / Responsibility** | #  of Staff | **Phase(s)** | **% of Time needed for project activities** | Comments |
|  |  |  |  |  |
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Add additional lines if needed.

* + - 1. Ohio Courts Post Pilot Implementations Project Team

In the table below, identify the project staffing resources to be provided by the SCO and Ohio Courts for the implementation of the solution in any individual court subsequently to the Pilot Project.

| **OHIO COURTS ROLES AND RESPONSIBILITIES – POST PILOT IMPLEMENTATIONS** | | | | |
| --- | --- | --- | --- | --- |
| **Role / Responsibility** | #  of Staff | **Phase(s)** | **% of Time needed for project activities** | Comments |
|  |  |  |  |  |
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* + - 1. Organization Chart

Provide a simple organizational chart and narrative description of the organizational structure for the project teams, including a description of how the Vendor will integrate project staff from the SCO and Ohio courts to form an integrated and effective project team.

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* + - 1. Continuity of Key Personnel

Describe the approach for addressing continuity of staffing for Key Personnel, including both the Vendor’s staff and its subcontractors. Additionally explain how you involve the SCO in the identification of the need to replace Key Personnel and the process that will be used to ensure the SCO’s participation in the review and approval of any proposed replacement.

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* + 1. Onsite Requirements for Work Space

Describe on-site requirements for work space during the project. Identify any specific needs which may apply to distinct phases of the project:

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* 1. Implementation Program and Timeline

The SCO anticipates a pilot project prior to statewide roll-out to be completed within two years, and requires that Vendors have a clearly articulated strategy for both the pilot project and each subsequent implementation.

* + 1. Proposed Project Work Plan – Pilot

Vendors must provide a project work plan including identification of major phases, milestones and deliverables. The schedule should be based on timeframe from the start of the project, not specific dates. If your project schedule exceeds two years, describe the level of completion the SCO can expect to have at the two year milestone target.

A detailed project plan for the pilot is to be provided as Attachment A10 – SCO CMS Pilot Project Workplan.

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| **Attached? (Y/N):** |  |

* + 1. Typical Work Plan – Future Implementations

Unlike most statewide implementation, usage of the SCO Hosted CMS by the local courts is optional, and actual growth rates cannot yet be predicted – but it must be managed. In order to do this, the SCO requires that Vendors identify – based on its available resources and experience – the number of courts which it believes it can effectively support migrating to the Hosted CMS each year. Keep in mind that the number of users associated with this project will be used in estimating growth for licensing and other user-quantity based costs.

The sustainability of that intention, however, is predicated on an adequate (but yet unknown) number of courts choosing to take advantage of the SCO CMS. In the event of a circumstance in which the SCO hosting of the CMS cannot be sustained, it may be necessary for the SCO to transfer the licensing and operation of the CMS to each court which had been running on the hosted system.

In the space below, indicate the number of courts which your organization can effectively assist in migrating to the SCO Hosted CMS each year following the Pilot.

|  |  |
| --- | --- |
| **Number of Courts** |  |

State any assumptions, constraints or considerations associated with the number provided above:

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Vendors must additionally provide a typical project work plan that details the activities for the typical court roll-out subsequent to the pilot. This project plan for future implementations is to be provided as Attachment A11 - Typical Project Workplan – Future Implementations.

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| **Attached? (Y/N):** |  |

* + 1. Deployment Strategy

Describe your strategy for sequencing the deployment of the CMS solution. Indicate whether the implementation would be based on: (a) Functions (i.e., rolling-out a function or set of functions to all courts in one phase, then rolling out additional functions in subsequent phases); (b) courts (i.e., rolling out all functions to an entire court in each Phase); or (c) some combination of both (a) and (b). Provide as much detail as possible on the activities in each phase. Describe the value of the proposed deployment strategy over alternative approaches and any constraints or risks of the strategy that will need to be addressed to ensure success.

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* + 1. Management of Deployment Risks

The SCO requires Vendors to have a defined risk identification, management and mitigation methodology. Describe the risk management methodology and tools that will be used on the project. Identify any potential risks that should be anticipated that could be a barrier to the successful implementation of the CMS, and your approach for managing/mitigating these potential risks

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* + 1. Managing Risks to Ongoing Operations

Identify any risks that would interfere with the continued operation of existing systems during implementation of the CMS. Describe your approach for managing/mitigating such risks:

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* + 1. System Analysis, Design and Configuration

The Vendor will be responsible for the analysis, design, development, and provision of systems which meet the functional and technical requirements of the SCO.

Describe your system analysis, design and development methodology, including your approach for analyzing each Court’s business processes and workflows to understand the details of each Court’s needs for configuration of the CMS. Explain how you incorporate that knowledge into your implementation program.

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* + 1. Interfaces Planning and Implementation

The SCO requires Vendors to have a defined approach for developing the interfaces included in the Pilot and to assist in the development of future interfaces outside the scope of this RFP.

Describe your approach for planning and developing interface requirements. Describe any constraints and risks associated with interfaces planning for this project and how you will address these to ensure successful interfaces development and implementation. Describe any existing interfaces which might minimize risk and effort for the interfaces required for the Pilot.

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* + 1. Testing

The SCO requires Vendors to have a defined methodology for comprehensive testing of the solution throughout its development lifecycle, including unit testing, integration testing, regression testing and user acceptance testing. This process needs to include industry best practices for system life cycle testing. The SCO and the Vendor shall jointly develop the criteria for determining significant, medium and low impact bugs. The Vendor will be responsible for resolving problems identified in the functioning of the system and integration transactions, including supporting any retesting efforts.

Describe your system life cycle testing methodology, including your system acceptance and verification processes. Explain your approach for tracking expected versus actual test results, and for tracking all errors, problems, and their resolution. Include a high level testing plan aligned with your proposed work plan for the project.

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* + 1. Data Conversion

The SCO requires Vendors to have a defined approach for conducting data conversion and experience with converting data from the technologies currently in use by the Ohio courts. The SCO requires a very high degree of conversion completeness and accuracy with special regard for elimination of duplicate records and inclusion of comments for mismatched fields.

A summary table of current court case loads is provide in the table below

| **PILOT AND TYPICAL COURTS CURRENT CASE LOAD** | | | | |
| --- | --- | --- | --- | --- |
| **Court** | Case Pending  Jan 1, 2009 | **New Cases Filed (& Reactivations) 2009** | **Total Disposed** | Cases Pending  Dec 31, 2009 |
| Pilot Court 1 – Lucas County General Division | |  |  |  |
| Criminal Cases | 666 | 2,473 | 2,602 | 537 |
| Civil Cases | 4,066 | 9,148 | 9,355 | 3,859 |
| **Total Cases** | **4,732** | **11,621** | **11,957** | **4,396** |
| **Pilot Court 2 – Holmes County Juvenile / Probate** | |  |  |  |
| Juvenile Cases | 86 | 477 | 475 | 88 |
| Probate Cases | 295 | 249 | 237 | 307 |
| **Total Cases** | **381** | **726** | **712** | **395** |
| **Future Court Type 3 –Typical Municipal Court** | | **9,200** |  | **1,300** |
| **Future Court Type 4 –Typical Common Pleas Court)** | | **1,600** |  | **900** |

* + - 1. Case Data Conversion

Appendix H contains details of existing case management systems’ databases from which case data will need to be converted into the Hosted CMS in the pilot.

Describe your strategy and involvement for conducting data conversion for the pilot courts, including the methodology to be used in developing conversion specifications and the identification of any potential issues. Describe the constraints and risks associated with data conversion for this project and how you will address these to ensure successful data conversion.

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* + - 1. Document Image Migration

Appendix H provides details of existing systems and volumes from which images will need to be migrated to Hosted CMS in the pilot.

Describe your strategy and involvement for conducting the migration of document images from the pilot courts’ document management systems into the content management component of the Hosted CMS including the methodology to be used in determining migration specifications and the identification of any potential issues. Describe the constraints and risks associated with document migration for this project and how you will address these to ensure successful document migration.

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* + - 1. Post-Pilot Data Conversion / Image Migration Approach

Describe your strategy and involvement in the effort to convert data and migrate document images for implementations subsequent to the pilot.

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* + 1. Training

The SCO expects the vendor to develop a training program to ensure that each type of individual involved with the system will have the knowledge to use and support it effectively. This section will be used to describe the training to be provided to each category of user as indicated below.

| **PERSONNEL TO BE TRAINED** | | | | |
| --- | --- | --- | --- | --- |
| **Court** | **Clerks & Deputy Clerks** | **Judicial Officers** | **Court Staff / Administration** | **Total Users** |
| **Pilot Court 1 – Lucas County General Division** | 34 | 32 | 25 | **91** |
| **Pilot Court 2 – Holmes County Juvenile / Probate** | 6 | 3 | 3 | **12** |
| **Future – Typical Municipal Court** |  |  |  | **20**  Range from 5 to 35 |
| **Future – Typical Common Pleas Court** |  |  |  | **25**  Range from 7 to 250 |

* + - 1. Training Program Overview

Describe your approach for meeting the training requirement for the SCO, including how your training methodology supports the integration of the new system into the day-to-day work activities of court stakeholders Describe any constraints and risks that can be barrier to the success of the training effort and what actions will be taken to address these constraints and risks.

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* + - 1. Direct Training to End Users For Pilot

In the table below, list and describe the training classes each pilot court end user will take and the approximate number of days (or hours) each category of user (i.e., clerk, judicial officer, etc. as described in the table above), would be in training. Indicate “ALL” in category if the same training class is to be attended by all end-users:

| **Training Class Description** | **User Category** | **Number of Days/ Hours** |
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Add additional lines if needed.

* + - 1. Technical Support Staff Training Program for Pilot

The Vendor is to provide training for technical support and system administration staff for the pilot. Staff in these roles support system and network operations, maintain the software and database, perform security administration, resolve or coordinate the resolution of problems and incidents, write queries or reports, maintain tables, and perform other technical or administration support tasks as needed.

In the table below, list and describe the technical and system administration training classes to be given during the pilot and the approximate number of days (or hours) of training that is provided.

| **Technical Support and System Administration Training** | **Number of Days/ Hours** | **# of People Per Class** |
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Add additional lines if needed.

* + - 1. Train–the-Trainer for End-User Training for State-wide Rollout

In addition to providing the direct training to end-users detailed above, the Vendor is to instruct SCO training staff in how to provide training to new end-users during the State-wide rollout. List the training classes and approximate number of hours each of the SCO’s trainers would receive as well as the number of people that may attend each class.

| **Train-the-Trainer Classes – End User Training** | **Number of Days/ Hours** | **# of People Per Class** |
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Add additional lines if needed.

* + - 1. Self Service Training

Describe any self-service training capabilities available in your solution or from your organization, such as computer-based training, video on demand, webcasts, handbooks, user manuals, or other methods which will enable end-users and or electronic filers to obtain initial and refresher training on their own schedule.

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* + - 1. Training Facilities

In the table below, describe the required for training.

| **TRAINING FACILITY REQUIREMENTS** | | | | |
| --- | --- | --- | --- | --- |
| **Training Class** | **Facility Requirements** | **A/V Requirements** | **Internet Access Req’d (Y/N)** | **Comments** |
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Add additional lines if needed.

* + 1. Documentation

The SCO requires Vendors to provide comprehensive documentation on the solution as configured and installed for the courts (i.e., not just the Vendors’ base systems), including but not limited to the following:

* User Documentation, including description of all screens, definition of all fields, all process/workflow steps, and listing and description of all reports.
* Technical Documentation, including application and interface design documentation, data flow diagrams, entity relationship diagram, database schema, etc.
* Operations and Maintenance Documentation, including description of system administration and maintenance functions, etc.
* Training manuals
* Third party software documentation

List and describe in detail all documentation that will be provided, including the formats in which the documentation is available. Additionally, address how you provide ongoing updates to documentation (e.g., operations and maintenance documentation, training manuals) during the warranty period and during out support years.

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* + 1. Knowledge Transfer to SCO

The SCO requires that the Vendor has a defined approach for a smooth transition of control of the solution to the SCO, ensuring that the SCO’s personnel are prepared with the appropriate knowledge to perform their roles and responsibilities after the Vendor has completed its responsibilities.

Describe your approach for transitioning the solution to the SCO, including any constraints/limitations and risks associated with transferring the system for this project and how you will address these to ensure successful transfer.

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* + 1. Ongoing Operations Roles and Responsibilities

List and describe the roles and responsibilities needed to support normal operations and maintenance of the solution following implementation. Include technical (e.g., database administration, forms development, etc.) and administrative (e.g., system administrator, table updates, etc.) roles, and identify the approximate level of effort required in full-time equivalent (FTE) staff. Identify any specific skills which will be needed. Insert additional lines as needed.

| **ONGOING OPERATIONS ROLES AND RESPONSIBILITIES** | | | | |
| --- | --- | --- | --- | --- |
| **Role / Responsibility** | # FTEs | Technical Skills  (e.g., SQL, VB) | **Suggested Experience (in years)** | Comments |
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Add additional lines if needed.

* 1. Service and Support

The SCO requires Vendors to provide ongoing services in support of the products comprising the solution and its usage after implementation. These services include warranties on software and deliverables provided and/or developed for the implementation, availability of a help desk to document and track problem reports and service requests and coordinate resolution of problems and requests, provision of corrective maintenance via patches and fixes, and software enhancements via version or release upgrades.

* + 1. Warranty and Maintenance
       1. Warranty Services

Describe the warranty coverage, terms and duration provided for the software and deliverables provided pursuant to this RFP.

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* + 1. Maintenance Agreement

Describe the coverage, terms and duration of the maintenance and support agreement. Note that cost information for the maintenance and support agreement is not to be provided in this Solution Proposal Template.

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* + 1. Corrective Maintenance

Corrective maintenance deals with the repair of faults or defects found. Describe the process for classifying and resolving software defects reported by the SCO after the warranty period.

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* + 1. Adaptive Maintenance

Adaptive maintenance is required to adapt software to changes in the environment, such as from new releases of an operating system, or changes to one integrated component that affects another component. Describe the extent to which adaptive maintenance is included in your support to ensure that all core products continue to operate properly when any of the core products is modified with an update issued by its vendor.

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* + 1. Support for Changes Caused by Legislative Mandates

Updates and modifications to the software are periodically needed to meet legislative mandates and statutory requirements. Describe the extent to which providing such updates is included in your support agreement or if these are considered custom enhancements.

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* + 1. Service Availability and Responsiveness
       1. Help Desk Services

The SCO’s long-term intent is to provide an internal help desk function for court users of the CMS for Tier-1 type inquiries (ID/Password management, set-up and connectivity assistance, general assistance for application usage, etc.). The SCO will coordinate with the Vendor to develop an escalation plan for service issues requiring specialized knowledge of the application and its functions, as well as court implementation issues. However, since the SCO will need time to develop the skills and staffing for the help desk services, the SCO will require that the Vendor include a plan for the initial help desk services for the court users, and a knowledge transfer plan to assist the SCO in establishing its internal help desk.

The over whelming majority of system usage will occur during normal court business hours. However, many courts in the state do operate after hours and will need limited after hours help desk services available. The Vendor’s help desk service should include toll-free access, with manned coverage from 7:00am to 6:00pm Eastern Time, Monday through Friday and on-call availability at all other times to provide the Court with 24 x 7 access to technical support staff. The help desk must be accessible by phone and email, and may include access via online chat or other interactive web-based session.

Describe how your help desk services will meet the requirements of the SCO. Additionally indicate whether or not there will be restrictions or limitations on who would be “authorized” to contact the help desk or on-call support staff.

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* + - 1. Single Point of Contact

For solutions that involve component products from multiple vendors it may be difficult for SCO staff to determine in which system a problem occurs, and thus a single point of contact to coordinate the identification and resolution of the problem is essential. Indicate whether or not the Help Desk will provide single point of contact services to the SCO, and any constraints or limitations which may exist in order to do so.

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* + - 1. Problem Resolution Responsiveness

Describe your approach for identifying the severity/priority level of reported incidents or service requests, and the service level target or guaranteed response times for responding to and resolving reported problems and requests at each level. Additionally describe your escalation process to ensure that items which become more critical are resolved properly and timely..

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* + - 1. Knowledge Base and “Self Service” Help Capabilities

Describe the availability of an online knowledge base that can be accessed directly by CMS users and Supreme Court technical staff to obtain answers to frequently asked questions (FAQs) and perform research on symptoms to identify resolutions to known issues. Describe any “Self Service” help capabilities and interactive services (e.g., an online forum for exchanging information with other customers) which are available for users of the CMS.

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* + - 1. Customer Support Program

Describe the Customer Support Program that will be available to the SCO, such as user groups or forums. Identify the benefits of participation in any user groups or forums coordinated by your organization.

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1. Functional Requirements

Vendor shall respond to the SCO’s functional requirements by indicating the appropriate response code for each of the requirements provided in Attachment A3 – SCO CMS Functional Requirements (MS-Excel). Refer to Tab ‘Response Instructions’ in the file.