

REQUEST FOR PROPOSALS

***SUPERIOR COURT OF CALIFORNIA, COUNTY OF ALAMEDA – OFFICE OF
COLLABORATIVE COURT SERVICES***

REGARDING:

COLLABORATIVE COURTS MANAGEMENT INFORMATION SYSTEM
SC 1900.2020.1

PROPOSALS DUE:

May 7, 2020 NO LATER THAN **3** P.M. PACIFIC TIME

RFP Title: Collaborative Courts Management Information System
RFP Number: SC 1900.2020.1

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1.0 BACKGROUND INFORMATION

This request for proposals (RFP) is issued by the Superior Court of California, County of Alameda (hereafter, “the Court”) to solicit proposals to provide a case management information system (MIS) for eight Collaborative Treatment Courts. Proposals from vendors will provide the Court with a customizable, web-based MIS to (1) enhance and streamline collaborative court functions and operations with interagency partners and (2) provide a performance evaluation tool for these collaborative courts.

Superior Court of California

California has the largest court system in the nation and serves a population of more than 39 million people. There are 58 superior courts, one in each of the 58 counties, with 1,732 authorized judges and hundreds of authorized commissioners and referees. The superior courts have trial jurisdiction over all criminal and civil cases.

The Superior Court in Alameda County serves the public by providing equal access to court services for all by fairly resolving disputes arising under the law consistently, impartially, and independently to protect the rights and liberties guaranteed by the Constitutions of California and the United States.

Collaborative Treatment Courts in Alameda County

The Court’s Office of Collaborative Court Services (OCCS) oversees the operation of eight Collaborative Treatment Courts in Alameda County (“Treatment Courts”) – three Family Treatment Courts, two Adult Drug Courts, one Veterans Treatment Court, and two Reentry Courts. These Treatment Courts have the capacity to serve approximately 240 adults with Substance Use Disorder and/or mental health conditions.

These Treatment Courts incorporate established drug court best practices in multi-disciplinary settings in order to meet the needs of their participants. The Treatment Courts focus on meeting the needs of some of the county’s most vulnerable residents. Many participants are experiencing homelessness, are unemployed or underemployed. All participants suffer from mental health and/or substance use disorders which further exacerbate issues of homelessness and unemployment. The population of focus for the MIS will be clients who are enrolled in any of the eight Treatment Courts administered by the OCCS in Alameda County. Each Treatment Court has separate, distinct, and established eligibility criteria, policies, and procedures, as well as its own data collection, evaluation, and referral processes.

Each Treatment Court determines a participant’s eligibility for admission, subject to certain restrictions. Participants submit to a pre-screening process and, once eligibility is determined, must agree to participate in the Treatment Court. Under certain circumstances, participants may be eligible for discharge and dismissal of proceedings upon successful completion. The Treatment Courts are required to provide the participant with:

- Consistent, continual, and close monitoring and interaction between the Court, District Attorney, Public Defender, treatment providers, probation/parole, attorneys for minors, parents' attorneys, Social Services Agency, and a host of other stakeholders.
- Testing for the presence of any controlled substance.
- Periodic assessments of the participant's circumstances and progress in treatment.
- Appropriate and graduated, but immediate, rewards for compliance, sanctions for non-compliance, and treatment adjustment for therapeutic progress or setbacks.
- Substance abuse and/or mental health treatment and related services, with linkages to education, employment, and/or housing opportunities.

Adult Drug Courts (ADC)

There are two ADCs one at the Wiley W. Manuel Courthouse in Oakland, and one at the East County Hall of Justice in Dublin. Participants are adults who are assessed to have a high criminogenic risk and high treatment needs for substance use disorder and/or co-occurring mental health disorder, and an active, eligible criminal case. The maximum capacity for these two courts is 60 and the courts serve approximately 150 people each year.

Reentry Courts (RC)

There are two RCs that operate out of the Wiley W. Manuel Courthouse in Oakland. These courts serve participants with co-occurring substance use and mental health disorders who are a high risk to recidivate and have already or are in danger of violating the terms of their probation or parole. The maximum capacity of these two courts is 60.

Veterans Treatment Court (VTC)

The VTC meets in the Wiley W. Manuel Courthouse in Oakland. Participants in the VTC are those who have served in the armed forces, have a mental health or substance use disorder resulting from their service in the military, and who are assessed to have a high criminogenic risk and high treatment need. The maximum capacity for this court is 30.

Family Treatment Courts (FTC)

The three FTCs meet in the Juvenile Justice Center in San Leandro. Participants in these courts are parents who have mental health and/or substance used disorder and are at risk of having their parental rights terminated. The maximum capacity for these three courts is 90.

Information Management Practices

While the Court has an extensive history of case and demographic data for Treatment Court participants, the existing case management system used by the Court does not have the ability to effectively collect and analyze the treatment history and outcome data for participants in the Treatment Courts. Currently, each Treatment Court case manager stores participant data in various Microsoft Excel spreadsheets. Additionally, some data are collected via handwritten paper forms that are then filed in case folders. Treatment court notes are taken by hand and information is shared across the Treatment Court teams via email and progress reports that are shared either in person or via email. Information on participant progress in treatment is faxed

or emailed to case managers and that information is then transcribed into other formats or saved as a document in an online case file.

To analyze the data that are collected in the Microsoft Excel spreadsheets, the Treatment Courts' external evaluator must comb through, de-duplicate, and reconcile the data to prepare it for analysis in statistical software. This must be done multiple times to prepare various reports for local and federal funders and various stakeholders. These spreadsheets are also currently stored on the Court's shared network which limits the number of users that can access and manipulate the data at the same time. The amount of data that can be collected in this format is limited and there is always a concern that the spreadsheet will be corrupted or damaged in a way that will make the recovery of the data impossible. The Court also received a grant to modify an existing Microsoft Access database to act as a case management system, but it was determined that the data storage limits and the amount of work that would need to be performed in order to meet the needs of the Treatment Courts far exceeded the scope of what was originally intended. The MS Access database was further limited by the fact that entering information remotely into the system required that the user be connected to the Court's network and there was no way for multiple users to simultaneously use the system.

Each Treatment Court has at least two spreadsheets into which information is entered, and there are various other spreadsheets that are used to track when various forms are and collected, when incentives and transportation vouchers are given out. There are also several documents that are used to make referrals to treatment, capture demographic information about participants, and collect information required by funders. If the evaluator wants to analyze this information, it must be entered into a spreadsheet or counted manually. The repeated entry of data leads to errors that can impact the integrity of the data. Finally, because there is no data validation process, it is sometimes unclear whether the data collected are correct and complete which makes it difficult for the external evaluator to provide comprehensive program evaluations without extra (costly) effort.

The Court has purchased each case manager a ThinkPad X1 Carbon (7th Generation). They have an Intel Core i5-8265U Processor and operate on Windows 10 Pro 64. Case managers will use these laptops to access the proposed MIS via mobile hotspot while out of the office.

The Court seeks a single subcontractor to provide this MIS and the technical support pertaining to the system.

2.0 GENERAL SCOPE OF SERVICES

2.1 The Court is seeking to implement a collaborative treatment courts management information system (MIS) in a fixed, not-to-exceed price contract. The system must be a commercially available collaborative court case management system that, in its original configuration (and likely with some customization), can adapt to the Court's specific processes, provides an integrated case management and performance and analysis tools that meets the needs of the Court. It is anticipated that each year

there will be approximately 300 new cases added to the system across the eight collaborative courts.

Specifically, the MIS must:

- a) Be able to collect, store, and summarize information obtained throughout the Treatment Court process. This includes the ability to enter information contained across forms and paperwork for each participant, such as intake and discharge forms, assessments, and workflow and treatment tracing documents, schedule and track attendance at events/hearings, and produce progress reports for case reviews and the ability to enter assessment data into the MIS and generate assessment, intake and discharge documents.
- b) Allow certain users to track, analyze, and export the data in order to meet the evaluation and reporting requirements set by multiple grant funders, including the Substance Abuse and Mental Health Services Administration (SAMHSA) and the Bureau of Justice Assistance (BJA). This includes the ability to both export raw data into specific formats for external evaluation and generate customized reports with information on outcome analyses and performance measures for reporting. Ideally, it would be highly beneficial if the MIS also had the capability to import raw data into the system, as SAMHSA has a separate reporting requirement that is completed via an online interface, and standard court case information is stored in a separate case management system.
- c) Detailed information on the scope of work is provided below. Additionally, the system to be acquired must be fully implemented and operational in at least one specialty or treatment court program of similar size and scope. The Court will consider a software-as-a-service solution hosted by the responder or a third party.
- d) Given that the current operations, data collection, and data reporting procedures vary across the eight treatment courts, we describe our specifications for the MIS that we would like to be incorporated across the Treatment courts below. Additional, but likely minimal, customizations and/or changes may be requested prior to or after the vendor selection process as data management needs and grant reporting requirements change. An updated fixed price quote from the vendor will be considered if there are significant additional customizations requested after the proposals are received.

2.2 Application Compatibility Specifications – The application compatibility specifications include, but may not be limited to, the following:

- a) Capability to support a variety of browsers, including Microsoft Edge, Firefox, Google Chrome, and Safari.
- b) Support the storage and display of all the common file formats including, but not limited to, HTML, JPEG, TIFF, PDF, MS Word, MS Excel, etc.

- c) Complies with United States Section 508 accessibility requirements.
- d) Support a configurable data retention policy that is comprehensive to both data and images.
- e) Provide interfaces with existing drug testing companies.
- f) Ability to transfer data from other case management systems at case initiation, through an integration, would be ideal in the future.
- g) The product must have all API exposed for integration with other applications and shall conform to Web Services Industry Standards. This should include REST and SOAP API service

2.3 Security and Confidentiality Specifications – The security and confidentiality specifications include, but may not be limited to, the following:

- a) Privacy and security: Capability to provide compliance with HIPAA, CJIS, and all federal and state privacy and security standards. The vendor is expected to follow best practices and standards for data security and data loss prevention.
- b) User account administration: Capability for authorized staff to be able to create and manage user accounts and assign access based on roles. Capability for authorized users to terminate a user account, but retain all history associated with the user's activity (in order to maintain a history of changes to a case in the event of staff turnover or role changes).
- c) Role-based access control: Capability to ensure that sensitive or confidential information on any displayed page is only viewable by users with the required authorization. Capability to dynamically display functions and capabilities consistent with the user's privileges (e.g. Add, View, Edit, Delete). Capability to allow supervisory data entry/modification overrides.
- d) Log-in: Login credentials should be encrypted. System configuration at the Court, role, and user levels. Supports strong password techniques. Provides a secure mechanism for password resets. Must be SAML 2.0 compliant and allow for Single Sign On (SSO) functionality with Active Directory and Azure AD.
- e) Track changes: Capability to log all user interactions, tracking what information was changed, who changed it and when, and provide an administrator access to the logs. Capability to monitor database deletes/changes/modifications.
- f) Data entry validation: Capability to mark all required data items on a data entry page. Capability to prevent read-only data items from being modified. Capability to highlight input errors (e.g. missing data, incorrect format, DOB is in the future) and prompt user for correction. Capability to provide proper validation to prevent invalid data from being entered or saved in the system. Capability to display clear error messages to help a user understand and resolve the encountered error.

- g) Save function: Capability to prompt user to save or cancel if user attempts to exit the screen or log out of system with unsaved changes.
- h) Metadata Reports: Capability to run Error reports and Usage statistics reports.

2.4 **Case Tracking and Management Specifications** – The case tracking and management specification include, but may not be limited to, the following:

- a) Unique ID generation: Capability to auto-generate a unique case and participant ID for each new case that is entered into the system. Ability to generate nested IDs that are linked to each other (e.g. with Family Treatment Court cases, generate Parent IDs, Child IDs, a Family ID and a Case ID that is primarily linked to the primary participant on the case). Capability to link multiple cases under one participant (i.e. when a participant returns to the Treatment Court program).
- b) Case creation: Capability to copy client case information to create a new case or profile related to an existing one (e.g. in situations concerning families). Once a case has been created, capability for real-time updates; ideally, each authorized user can access different parts of the same case (and/or lock certain parts of the case while in edit mode).
- c) Data entry functions: Capability to create data entry defaults including, but not limited to, dates. Capability to provide data entry formatting in applicable input fields (e.g. phone number, DOB). Capability to populate automatic time standards. Capability to assign court staff to participant (e.g. service provider, case manager, treatment provider and counselor, probation/parole officer).
- d) Customization of forms: Capability to allow local customization of screening and assessment tools and intake/discharge forms so the MIS is matched to the physical documents and data entry can be streamlined (details regarding general variables to include are described under “Data Elements”). Capability to configure system data inputs in order to generate required forms.
- e) Search functions: Capability to support searching by metadata (e.g. case type, case ID, case name, etc.). Capability to search results to be exported to file formats like PDF or Microsoft Excel.
- f) Sort and export function: Mechanism for sorting out any subgroups or subset of clients using any combination of the variables in the data system and then allow for export into a report or a file format (e.g. Microsoft Excel, Microsoft Word, or PDF).
- g) Document uploads: Able to upload scanned documents for storage and reference, such as signed consent forms, treatment progress reports, etc.
- h) Group/bulk/batch action: Capability to apply the same update to multiple cases and apply mass update. Capability to apply the same activity to a group of court

participants (e.g. assign drug test color, group treatment notes, other notes, set court dates, etc.).

- i) Notifications: Capability to support and provide the ability for user notification of events, and to generate notices (e.g. drug test, court hearing, program meeting, phase advancement etc.).
 - j) Program phases: Capability to configure program phases and track the program phases.
 - k) Tracking/Status reports: Capability to generate Status Summary screens/reports to show case where cases are in the workflow. Capability to run standard and custom ad-hoc reports related to program operations/treatment received. Capability for users to perform ad hoc database inquiries based on their role-based access.
 - l) Activity/even/case workflows: Capability to provide user/staff notification of required action triggered by prior activity regarding a court participant that includes anticipated time to complete. Workflows are also important components in the evaluation process, as SAMHSA grantees are required to submit entrance, follow-up, and exit interviews within a specified time period based on intake and discharge dates.
 - m) Court calendar events: The system must provide the capability to capture data related to scheduling/calendaring such as, but not limited to, scheduled court hearing details like date, outcome, parties present, etc. Capability to export or print certain participant case information in a report/summary format (e.g. includes data elements such as testing dates, sobriety information, provider notes, etc.) on a weekly basis to support case review meetings prior to court.
 - n) Referral status/service utilization: Capability to capture referral source and capability to track disposition of referral (i.e. screened, accepted, rejected with reason for rejection; participation rate/status, etc.).
 - o) Case/judge notes: Capability to document staffing and court hearings to include staff recommendations and comments on a case for printing or viewing by the judge during court.
 - p) Mobile compatibility: Capability to function on mobile applications, for case managers to alert participants about upcoming court hearings, drug tests, and treatment appointments, as well as to alert case managers about participants missing appointments, failing drug tests, etc.
 - q) Drug test tracking: Capability to assign a drug test color used as random drug test scheduling tool. Allow this as a group action.
- 2.5 **Analysis and Reporting Specifications** – The analysis and reporting specifications include, but may not be limited to, the following:

- a) Export to file format: Capability for report results to be exported to formats including Microsoft Excel/CSV, Microsoft Word, and PDF. Capability for all raw program data to be exported to Microsoft Excel/CSV in a pre-specified data structure which would not require data transformation/reshaping to support advanced analyses by the Court and/or external evaluator.
- b) Report specification: Where appropriate, reports should be generated for an individual participant to include specific criteria or for a group of participants who are selected from a participant list or generated based on search criteria (i.e. report generation based on who has recent drug tests or recent risk assessment outcomes). Capability to schedule reports to run at a specific time.
- c) Customized reports: Capability for an authorized user to perform ad hoc data inquiries for all or some Treatment Courts. Capability for authorized users to specify which data element(s) to export and which file format to export. Capability to sort out any subgroups for evaluation following standard Boolean logic.
- d) Participant reports: Capability to provide summary information about the participant and the case (e.g. participant name, case number, admission date, phase, status, status date, gender, race/ethnicity, probation/parole officer, court hearing date(s), treatment provider/staff, etc.). Capability for user to specify criteria based on the status of the participant's case (e.g. at intake, the participant report will summarize participant demographics; at discharge, participant report will summarize demographics, service utilization, and whether the case was successful, etc.).
- e) Participants' treatment information report: To provide details regarding treatment plan components, diagnosis, goals, objectives, methods, status, discharge data, progress notes from treatment provider, etc.
- f) Data analysis tools: Capability to interactively analyze program data and do so in real time. Capability to have at least two separate subgroups or variables actively available for analysis at the same time. Capability to describe the frequency and percent of participants having each coding value for any categorical variables in any selected subgroup. Capability to describe the mean, standard deviation, and range for each continuous variable in any selected subgroup. Capability to calculate the difference between any selected subgroups for any categorical variable.
- g) Dashboards: Capability to showcase dashboard view of court participants based on appropriate filters and/or variable selection. Capability to graphically display the coding values for any categorical variables in any selected subgroup as a horizontal bar chart ranked from highest to lowest frequency/percent without requiring the subgroup to be resorted. Capability to graphically display the distribution of values in any subgroup for any continuous variable as a histogram without requiring that the subgroup be resorted.

- h) Performance monitoring and outcome metrics: Capability to analyze overall program performance based on specified outcome measures (e.g. percentage of participants in stable housing at discharge compared to intake; length of time in program; identify treatment plans or provider who perform well). Capability to provide operational information and aggregate statistics that meet federal requirements.

2.6 **Data Elements Specifications** – The specific data elements to be captured by the MIS include, but may not be limited to, the following:

- a) Demographic and related information: e.g. gender, race, ethnicity, DOB, age, severity of substance use, education history, employment history, military, family information, health information (physical and mental), welfare, housing, child support obligations, income level, address/phone number, name and aliases, initial and plead charge, sentencing information, digital picture, insurance information, social services eligibility and status, criminal history, prior treatment court participation, etc.
- b) Referral and admission process: e.g. referral origin or source and date, referral party data (related parties), screening dates (legal and clinical), acceptance or denial date, exit status (graduated, terminated, transferred, etc.).
- c) Intake/Placement: e.g. assessment instruments (ASAM Level of Care screen, DSM diagnosis, etc.), screening tools used to determine drug court eligibility, criminal history, risk assessment (date, level, type – RANT, etc.), history of use/abuse of a controlled substance or alcohol, special circumstances, etc.
- d) Program operations/services received: e.g. date of treatment program entry, date of exit from treatment, date of completion, number of drug tests, results of drug tests, details of outpatient visits while in program, residential treatment details, program outcome (graduated, terminated), participant education and employment details upon entry and completion, treatment providers, treatment history, test results, program attendance, sanctions, incentive and therapeutic adjustments, etc.
- e) Security and alerts: e.g. warrant details, protection order, sex offender list, new crimes, phase details, etc.
- f) Sanctions and incentives: e.g. sanction details, alternative sanctions applied, reward received during the program, date of sanctions and/or rewards; incarceration in jail during the program, etc. Number/percent of participants who serve time in jail as a sanction while in the program aggregated by the reasons for sanctions. For those who serve time: the average days served per participant, the average number of incarcerations in jail during the program. Number/percent of participants who receive incentives, while in program aggregated by incentive type.

- g) Recidivism: e.g. whether participant recidivated, degree, offense, offense date, disposition, etc.
- h) Drug screen history: test date, drugs tested, drug test type, results, numeric values and cut-off levels, average and actual number of drug tests, average and actual number of drug tests that are positive, negative, adulterated, etc.
- i) Referrals tracking: e.g. number of participants referred, number referred aggregated by gender, number/percent of referrals screened, number/percent of referrals admitted, total/percent of referrals not admitted aggregated by reasons for non-admission. Total/percent of referrals not admitted aggregated by gender. Average days between arrest and referral or appointment by counsel, average days between arrest and screening for Treatment Court, average age of those admitted to program, number/percent of those admitted aggregated by gender.
- j) Time in program/phases: Average days between entering program and first treatment visit, average and actual days from entering program to removal, average and actual days from entering program to completion, average and actual days from entering program to removal or completion (combined), average days from entering program to removal, average days from entering program to completion, average days from entering program to completion, average days from entering program to removal or completion (combined).
- k) Treatment tracking: Average number of outpatient visits while in the program, average days in residential treatment while in the program, average number of treatment court hearings per participant.
- l) Program outcomes: Number/percent of those admitted who graduate from the program, number/percent of those admitted who are terminated from the program, total number terminated aggregated by reasons for termination, number/percent of participants employed upon entry/exit from the program, number/percent of participants who had no high school diploma upon entry and number/percent of participants who have a GED upon exit.
- m) Recidivism information: Number/percent of participants who had new charges while in treatment court, number/percent of participants who had charges after completing or being terminated from collaborative court.
- n) Health information: Number/percent who have a mental health diagnosis at entry, number/percent who received mental health treatment before entering treatment court, number/percent who received alcohol and drug treatment before entering drug court, number/percent aggregated by primary drug of choice, number/percent of primary diagnosis, number/percent of insurance and type upon entry.
- o) Offense information: Total admitted aggregated by type of offense (by offense category).

3.0 TIMELINE FOR THIS RFP

The Court has developed the following list of key events related to this RFP. All dates are subject to change at the discretion of the Court.

EVENT	DATE
RFP issued	<i>April 7, 2020</i>
Deadline for questions	<i>April 22, 2020</i>
Pre-proposal Conference	<i>April 20, 2020 at 2:00p.m. PDT</i>
Questions and answers posted	<i>April 27, 2020</i>
Latest date and time proposal may be submitted	<i>Thursday, May 7, 2020 at 3:00 p.m. PDT</i>
Invitations to demonstrations	<i>May 11, 2020</i>
Demonstrations	<i>May 11–13, 2020</i>
Evaluation of proposals (<i>estimate only</i>)	<i>May 18–20, 2020</i>
Public opening of cost portion of proposals	<i>May 21, 2020 at 2:00p.m. PDT (location or method TBD)</i>
Notice of Intent to Award (<i>estimate only</i>)	<i>May 22, 2020</i>
Negotiations and execution of contract (<i>estimate only</i>)	<i>May 26 – June 5, 2020</i>
Contract start date (<i>estimate only</i>)	<i>June 9, 2020</i>
Contract end date (<i>estimate only</i>)	<i>June 30, 2021</i>

4.0 RFP ATTACHMENTS

The following attachments are included as part of this RFP:

ATTACHMENT	DESCRIPTION
Attachment 1: Administrative Rules Governing RFPs (IT Goods and Services)	These rules govern this solicitation.
Attachment 2: Court Standard Terms and Conditions	If selected, the person or entity submitting a proposal (the “Prospective Bidder”) must sign the Court’s IT Standard Form Agreement containing these terms and conditions.
Attachment 3: Prospective Bidder’s Acceptance of Terms and Conditions	On this form, the Prospective Bidder must indicate acceptance of the Terms and Conditions or identify exceptions to the Terms and Conditions.
Attachment 4: General Certifications Form	The Prospective Bidder must complete the General Certifications Form and submit the completed form with its proposal.
Attachment 5: Small Business Declaration	The Prospective Bidder must complete this form only if it wishes to claim the small business preference associated with this solicitation.
Attachment 6: Payee Data Record Form	This form contains information the Court requires in order to process payments and must be submitted with the proposal.
Attachment 7: Iran Contracting Act Certification	The Prospective Bidder must complete the Iran Contracting Act Certification if bid is over \$1,000,000.00
Attachment 8: Unruh and FEHA Certification	The Prospective Bidder must complete the Unruh Civil Rights Act and California Fair Employment and Housing Act Certification for bids over \$100,000.00.
Attachment 9: Darfur Contracting Act Certification	The Prospective Bidder must complete the Darfur Contracting Act Certification and submit the completed certification with its proposal.
Attachment 10: Questions and Answer Form	Form must be submitted when Prospective Bidder has a question regarding the RFP. Answers will be posted onto the Court’s website.
Attachment 11: Check List	Prospective Bidder’s checklist detailing required documents for this RFP.
Attachment 12: Contact Information	Prospective Bidder’s contact information.
Attachment 13: Reference	Prospective Bidder’s List of Reference.
Attachment A: Documentation Strategy	Prospective Bidders shall attach forms and graphics as necessary to the application to support their technical proposal.

5.0 PAYMENT INFORMATION

- 5.1 The Court will process for payment invoices within 45 days of receipt and approval by Court's Project Manager. All invoices must reference contract number and purchase order number.
- 5.2 Court will not pay or reimburse vendor, or their employees, for travel, or any other related, expenses that are required as part of the Scope of Work.
- 5.3 Any requests made outside of the contract scope of work will be considered a separate purchase order and will be processed on a separate purchase order.
- 5.4 Vendor must provide written notice to Court of the specific excess charge and obtain Court's consent prior to performing any additional service that would incur an excess charge.
- 5.5 Payment terms will be specified in the contract document that will be executed as a result of an award made under this RFP, however, prospective Contractors are hereby advised that Court payments are made by the State of California, and the State does not make any advance payment for services. Payment will be made based upon completion of tasks as provided for in the agreement between the Court and the selected Service Provider.

Contract Payment Structure

The contract payment structure may depend on the vendor's cost structure (i.e. whether the vendor offers an annual all-fees-included subscription service, whether the vendor has a separate start-up/year 1 cost and an ongoing cost, and whether there are additional costs for ad-hoc services). For the initial term, upon receipt of the invoice(s), the Court will pay a portion (to be determined at a later date, but likely 25 – 35%) of the total initial cost up front to cover the design and implementation phase, and will pay the remaining balance at the end of the term. The vendor may also propose a "milestone-based" payment structure. For subsequent option terms, monthly invoices are due by the 15th of the following month.

Vendor Responsibilities/Deliverables

It will be the responsibility of the vendor to perform the tasks necessary to implement the new court case management system including, but not limited to, the following:

- a) Specify the recommended technical environment including hardware and software required by the proposed system.

- b) Review the requirements of general design in this RFP and work with the Court to develop a detailed design/configuration of the MIS.
- c) Install and test the new management information system. Fix any identified missing requirements and re-test to confirm all aspects of design are performing as designed.
- d) Provide 90 calendar day warranty period beginning on fixed contract end date.
- e) Provide complete user, operational, and system documentation for the new system.
- f) Provide instructor-led training for Court staff in its operation, functions, and capabilities.
- g) Provide ongoing maintenance and support subsequent to going live.
- h) Provide system-updated, new functionality releases as applicable.

6.0 QUESTIONS

Interested parties may submit a request for clarifications, modifications, or questions to the Court using the Question and Answer Submission form, provided in **Attachment 10**. Requests shall be submitted via email to bidquestions@alameda.courts.ca.gov no later than the date specified in the RFP timeline. Please indicate the RFP number (**SC 1900.2020.1**) and title in the subject line of the email. Contact with the Court shall be made only through the email address. Answers will be posted on the Court's website www.alameda.courts.ca.gov.

7.0 PRE-PROPOSAL CONFERENCE

The Court will hold a pre-proposal conference on the date identified in the timeline above. The pre-proposal conference will be via conference call. Attendance at the pre-proposal conference is optional. Prospective Bidders are strongly encouraged to attend.

Date: April 20, 2020 at 2:00 p.m.PDT

Meeting Number: (510) 267-6900

Access code: 6063#

8.0 SUBMISSIONS OF PROPOSALS

8.1 Proposals should provide straightforward, concise information that satisfies the requirements of the "Proposal Contents" section below. Expensive bindings, and the like are not necessary or desired. Emphasis should be

placed on conformity to the RFP's instructions and requirements, and completeness and clarity of content.

- 8.2 The Prospective Bidder must submit its proposal in two parts, the technical proposal and the cost proposal.
- a) The Prospective Bidder must submit **one (1) original and three (3) copies** of the Technical Proposal. The original must be signed by an authorized representative of the Prospective Bidder. The original non-cost portion of the proposal (and the copies thereof) must be submitted to the Court in a single sealed envelope, separate from the cost portion. The Prospective Bidder must write the RFP title and number on the outside of the sealed envelope.
 - b) The Prospective Bidder must submit **one (1) original and three (3) copies** of the cost portion of the proposal. The original must be signed by an authorized representative of the Prospective Bidder. The original cost portion of the proposal (and the copies thereof) must be submitted to the Court in a single sealed envelope, separate from the non-cost portion. The Prospective Bidder must write the RFP title and number on the outside of the sealed envelope.
 - c) The Prospective Bidder must submit an electronic version of the entire proposal on USB memory stick/flash drive. The files must be in PDF, Word, or Excel formats.
- 8.3 **Proposals must be delivered** by the date and time listed on the coversheet of this RFP to:
- Superior Court of California, County of Alameda**
Finance and Facilities
Attn: Procurement
RFP SC 1900.2020.1
1225 Fallon Street, Room 210
Oakland, CA 94612
- 8.4 Late proposals will not be accepted.
- 8.5 Only written proposals will be accepted. Proposals must be sent by registered or certified mail, courier service (e.g. FedEx), or delivered by hand. Proposals may not be transmitted by fax or email.

9.0 PROPOSAL CONTENTS

- 9.1 Technical Proposal. The following information must be included in the non-cost portion of the proposal. A proposal lacking any of the following information may be deemed non-responsive.
- a) **Organization Information**

- (1) The Prospective Bidder's name, address, telephone and fax numbers, and federal tax identification number. Note that if the Prospective Bidder is a sole proprietor using his or her social security number, the social security number will be required before finalizing a contract.
 - (2) Name, title, address, telephone number, and email address of the individual who will act as the Prospective Bidder's designated representative for purposes of this RFP (**Attachment 12**).
- b) **An Executive Summary** (not to exceed two (2) pages) of the information contained in all of the Proposal Statement
- c) **Experience Relevant to RFP**
- (1) Organizational experience in providing an MIS in a similar court of criminal justice setting.
 - (2) For each key staff member: a resume describing the individual's background and experience, as well as the individual's ability and experience in conducting the proposed activities. Prospective Bidders are encouraged to provide a one-page memo that focuses on demonstrating how staff are prepared to carry out the MIS design and configuration.
 - (3) If your organization/agency has previously received grant funding or outside money to provide a similar service within the last three (3) years, a list of these sources including the amount of funds and a brief description of the funded project. If necessary, note any challenges that have been experienced in meeting grant requirements and how they were addressed.
 - (4) Names, addresses, and telephone numbers of a minimum of two (2) clients for whom the Prospective Bidder has conducted similar services. The Court may check references listed by the Prospective Bidder (**Attachment 13**).
 - (5) List of partnering organizations.
- d) **Proposed Method to Complete Work** – The project design must outline how the Prospective Bidder proposes to perform its responsibilities and meet specifications. It should include the following:
- (1) **Timeline:** Description should include a complete time estimate from contract to design and configuration to implementation of the MIS based on the specifications provided in the Scope of Work section above.
 - (2) **MIS Functionality:** Description of the overall usability and user friendliness of the MIS design. This should include detailed descriptions of the Prospective Bidder MIS design and capabilities, as

well as screen captures of the MIS functionalities, using color graphics/displays as necessary, in order to showcase the full capabilities of the MIS, especially as it relates to the needs of the Court.

- (3) **MIS Functionality Specific to Court Needs:** Description of the capability of the MIS to accommodate all or most of the specifications listed in the Scope of Work section. If there are specifications that the MIS can accommodate, especially key specifications (e.g. data privacy, data security, data export, etc.), proposal should include explanations and/or solutions that can meet the specifications. If the MIS has additional functionalities that are not included in the specifications above, please included them in the proposal.
- (4) **Design and Configuration Plan:** Description and estimated timeline of the process to customize, test, modify as needed, and implement the design specifications outlined above. The plan should take into account timing necessary for paper forms and assessments specific to these Treatment Courts to be incorporated into the Prospective Bidder-provided MIS. Description should include what is required of the Court in order to facilitate this plan, including specific staff (e.g. IT staff, SME staff) who should be involved in the design and configuration plan.
- (5) **Training Plan:** How the Prospective Bidder intends to accomplish required training of users on the MIS, specifically when the training is estimated to occur and how long the training is expected to take.
- (6) **Documentation Strategy:** Prospective Bidders shall attach forms and graphics as necessary to the application as **Attachment A** to support their technical proposal. Prospective Bidders are encouraged to include a brief overview of these forms and graphics as they relate to the MIS functionality.

e) Acceptance of the Terms and Conditions.

- (1) On **Attachment 3**, the Prospective Bidder must check the appropriate box and sign the form. If the Prospective Bidder marks the second box, it must provide the required additional materials. An “exception” includes any addition, deletion, or other modification.
- (2) If exceptions are identified, the Prospective Bidder must also submit
 - (a) a document that indicates the section of the Terms and Conditions for the proposed changes, and
 - (b) a written explanation or rationale for each exception and/or proposed change.

f) Certifications, Attachments, and other requirements.

- (1) The Prospective Bidder must complete the General Certifications Form (**Attachment 4**) and submit the completed form with its proposal.
- (2) If Contractor is a California corporation, limited liability company (“LLC”), limited partnership (“LP”), or limited liability partnership (“LLP”), proof that Contractor is in good standing in California. If Contractor is a foreign corporation, LLC, LP, or LLP, and Contractor conducts or will conduct (if awarded the contract) intrastate business in California, proof that Contractor is qualified to do business and in good standing in California. If Contractor is a foreign corporation, LLC, LP, or LLP, and Contractor does not (and will not if awarded the contract) conduct intrastate business in California, proof that Contractor is in good standing in its home jurisdiction.
- (3) Proof of financial solvency or stability (e.g., balance sheets and income statements) is encouraged but not required.
- (4) The Prospective Bidder must complete the Unruh Civil Rights Act and California Fair Employment and Housing Act Certification (**Attachment 8**) and submit the completed certification with its bid.
- (5) The Prospective Bidder must complete the Darfur Contracting Act Certification (**Attachment 9**) and submit the completed certification with its proposal

9.2 **Cost Proposal.** The following information must be included in the cost portion of the proposal.

- a) A “not to exceed” total for all work and expenses payable under the contract, if awarded.
- b) A detailed line item budget showing total cost of the proposed services.
- c) A line item budget which includes all anticipated costs associated with salary, benefits (if included), program supplies, travel and training reimbursement, and indirect costs.
 - (1) Indirect costs associated with staffing to manage the program shall not exceed 10% of the overall operating costs
- d) A full explanation of all budget line items in a narrative entitled “Budget Justification.”
- e) A narrative that explains how the budget supports the staff necessary to run the program effectively.
- f) An expectation of any leveraged funding from other sources or in-kind resources that will support the proposed project.

NOTE: It is unlawful for any person engaged in business within this state to sell or use any article or product as a “loss leader” as defined in Section 17030 of the Business and Professions Code.

10.0 OFFER PERIOD

A Prospective Bidder's proposal is an irrevocable offer for one hundred twenty (120) days following the proposal due date. In the event a final contract has not been awarded within this period, the Court reserves the right to negotiate extensions to this period.

11.0 EVALUATION OF PROPOSALS

At the time proposals are opened, each proposal will be checked for the presence or absence of the required proposal contents. The cost portion of proposals will be publicly opened at the date and time noted in Section 3.0.

The Court will evaluate the proposals on a 100-point scale using the criteria set forth in the table below. Award, if made, will be to the highest-scored proposal.

5% will be assigned to total points for Prospective Bidders who are claiming Small Business Preference per section 14.0 of the RFP.

If a contract will be awarded, the Court will post an intent to award notice at <http://alameda.courts.ca.gov/Pages.aspx/Contract-Opportunities>

CRITERION	MAXIMUM NUMBER OF POINTS
MIS Design, Configuration, and Timetable <i>(Effective, efficient design meeting Court needs that can be implemented promptly)</i>	40
Experience Relevant to RFP <i>(Provision of similar MIS to other specialty treatment courts)</i>	18
Cost <i>(Line-item Budget and Budget Narrative)</i>	30
Attachment A <i>(Sample forms and exhibits provided by Prospective Bidder)</i>	7
Acceptance of the Terms and Conditions	5

12.0 INTERVIEWS AND DEMONSTRATIONS

The Court may conduct interviews with Prospective Bidders to clarify aspects set forth in their proposals or to assist in finalizing the ranking of top-ranked proposals.

The interviews will take place virtually using Zoom, GotoMeeting or similar technology chosen by the bidder. It will be the bidder’s responsibility to provide required links, passcodes, etc. for the court to access the demonstration.

Prospective Bidder’s whose proposed products meet the specifications and requirements set forth in this RFP may be asked to provide a live demonstration of their proposed product. Demonstrations will be held virtually. The date for the live demonstration is set forth in Section 3.0, Timeline for this RFP. The Court will notify eligible Prospective Bidders regarding demonstration arrangements.

13.0 CONFIDENTIAL OR PROPRIETARY INFORMATION

PROPOSALS ARE SUBJECT TO DISCLOSURE PURSUANT TO APPLICABLE PROVISIONS OF THE CALIFORNIA PUBLIC CONTRACT CODE AND RULE 10.500 OF THE CALIFORNIA RULES OF COURT. The Court will not disclose (i) social security numbers, or (ii) balance sheets or income statements submitted by a Prospective Bidder that is not a publicly-traded corporation. All other information in proposals will be disclosed in response to applicable public records requests. Such disclosure will be made regardless of whether the proposal (or portions thereof) is marked “confidential,” “proprietary,” or otherwise, and regardless of any statement in the proposal (a) purporting to limit the Court’s right to disclose information in the proposal, or (b) requiring the Court to inform or obtain

the consent of the Prospective Bidder prior to the disclosure of the proposal (or portions thereof). Any proposal that is password protected, or contains portions that are password protected, may be rejected. Prospective Bidders are accordingly cautioned not to include confidential, proprietary, or privileged information in proposals.

14.0 DISABLED VETERAN BUSINESS ENTERPRISE INCENTIVE

The Court has waived the DVBE incentive in this solicitation.

15.0 SMALL BUSINESS PREFERENCE

Small business participation is not mandatory. Failure to qualify for the small business preference will not render a proposal non-responsive.

Eligibility for and application of the small business preference is governed by the Court's Small Business Preference Procedures for the Procurement of Information Technology Goods and Services. The Prospective Bidder will receive a small business preference if, in the Court's sole determination, the Prospective Bidder has met all applicable requirements. If the Prospective Bidder receives the small business preference, the score assigned to its proposal will be increased by an amount equal to 5% of the points assigned to the highest scored proposal. If a DVBE incentive is also offered in connection with this solicitation, additional rules regarding the interaction between the small business preference and the DVBE incentive apply.

To receive the small business preference, the Prospective Bidder must be either (i) a Department of General Services ("DGS") certified small business or microbusiness performing a commercially useful function, or (ii) a DGS-certified small business nonprofit veteran service agency.

If the Prospective Bidder wishes to seek the small business preference, the Prospective Bidder must complete and submit with its proposal the Small Business Declaration (**Attachment 5**). The Prospective Bidder must submit with the Small Business Declaration all materials required in the Small Business Declaration.

Failure to complete and submit the Small Business Declaration as required will result in the Prospective Bidder not receiving the small business preference. In addition, the Court may request additional written clarifying information. Failure to provide this information as requested will result in the Prospective Bidder not receiving the small business preference.

If the Prospective Bidder receives the small business preference, (i) the Prospective Bidder will be required to complete a post-contract report; and (ii) failure to meet the small business commitment set forth in its proposal will constitute a breach of contract.

FRAUDULENT MISREPRESENTATION IN CONNECTION WITH THE SMALL BUSINESS PREFERENCE IS UNLAWFUL AND IS PUNISHABLE BY CIVIL PENALTIES. SEE GOVERNMENT CODE SECTION 14842.5.

16.0 PROTESTS

Any protests will be handled in accordance with Chapter 7 of the Judicial Branch Contracting Manual (see www.courts.ca.gov/documents/jbcl-manual.pdf). Failure of a Prospective Bidder to comply with the protest procedures set forth in that chapter will render a protest inadequate and non-responsive, and will result in rejection of the protest. The deadline for the Court to receive a solicitation specifications protest is **May 7, 2020**.

Protests must be sent to:

Superior Court of California, County of Alameda
Finance and Facilities
Attn: Procurement
RFP SC 1900.2020.1
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