

DRAFT STATEMENT OF WORK

The successful Vendor will demonstrate an understanding of the objectives for the CLJ-CMS project and will provide AOC with an approach that demonstrates understanding of industry best practices and experience in similar projects. Vendor must propose to provide AOC for the district and municipal courts, and the probation departments services and deliverables in the following categories:

- *Objectives.*
- *Project Management.*
- *Organizational Change Management Support.*
- *System Design, Configuration, and Construction.*
- *System Delivery.*
- *System Implementation.*
- *Training.*
- *System Support.*

*These categories are described in more detail in the following sections. **Appendix H - Draft Statement of Work** must be used as a reference to properly prepare a response for **EXHIBIT O –Services and Support Requirements Matrix** and **EXHIBIT P –Deliverables Compliance Matrix**, both of which must be provided in Vendor proposal.*

1. Objectives

The major objectives for the CLJ-CMS procurement are to:

- 1.1. Acquire complete case management systems and services for the courts of limited jurisdiction and probation departments. The selected systems and services must be acceptable to all four key stakeholder groups, which include the District and Municipal Courts Judges’ Association (DMCJA), the District and Municipal Court Management Association (DMCMA), the Misdemeanant Corrections Association (MCA), and the AOC.
- 1.2. Select a case management system which will meet all the CLJ-CMS objectives, including:
 - Enabling judicial officers to direct and monitor court case progress; schedule case events and enforce court business rules; view case plans/schedule, status, progress, and case party information; and quickly and efficiently communicate court schedules and orders.
 - Enabling court managers to quickly and efficiently maintain court records; report and view case dockets, schedules, status, progress, and case party

information; enforce court business rules and address statutory requirements; effectively manage resources; streamline business processes; enable public access per statute and court rule; and migrate away from the JIS application without losing functionality.

- Enabling probation departments to manage cases referred for condition compliance monitoring/tracking based on court orders, pre-sentence investigations (PSIs), risk assessments, appointments, and program management.
- Allowing public access to court information.

2. Project Management

Work activities described in this category are associated with specific management and control services that will be conducted throughout the implementation of the CLJ-CMS. Performing these work activities will help ensure the solution provider conducts proper project planning, execution, and monitoring and controlling of project work. Required deliverables are listed below.

2.1. Prepare Project Management Plan

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

- Project organization, including structure, roles, responsibilities, and human resource management.
- Approach to managing scope, budget, and schedule.
- Approach to ensuring effective project communication.
- Approach for identifying, tracking, and resolving issues and risks, including roles, responsibilities, escalation process, and tools for reporting issues and risks to the AOC CLJ-CMS project manager.
- Approach to configuration management for reviewing, accepting, and maintaining version control on all project deliverables.
- A Work Plan that provides detailed information, in a Microsoft Project (Version 2010 or later) document, including, but not limited to tasks, Deliverables, Services, Schedule, task dependencies, identification of resource requirements, and Payment Schedule. The Work Plan shall be inclusive of the mutual expectations and work to be performed by AOC and Contractor in order to complete the Project successfully.

2.2. Provide Project Management

Vendor is responsible for executing the Work Plan including the ongoing planning, monitoring, controlling, and reporting of project performance across projects within the scope of this engagement. Vendor shall coordinate its project management efforts and reporting with the efforts of the Information Services Division (ISD) Project Management Office. All of these efforts are under the direction of the AOC's CLJ-CMS project manager.

Vendor shall provide effective on-site project management for all of the contracted services and product delivery. Vendor shall provide sufficient project management services to:

- Conduct a weekly touchpoint meeting between vendor project manager and the CLJ-CMS project manager to ensure work activities with resource coverage is made available.
- Ensure that all deliverables are produced according to contract agreement and schedule.
- Respond to inquiries about project status and risks in an expedited manner.
- Rapidly identify and report issues, risks, and alternative solutions to provide AOC sufficient time to effectively address such matters.

These services shall be provided by one or more currently certified Project Management Professionals (PMPs), with certification through the Project Management Institute, Inc., on site, primarily in Olympia, on a full-time basis until rollout is complete.

2.3. Monthly Status Report

Vendor will be required to deliver written monthly project status reports to the AOC's CLJ-CMS project manager. Project status reports are intended to be relatively brief snapshots of the project's status and should consist of the following information:

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

2.4. Monthly Status Meeting

In conjunction with monthly status reports, Vendor will be required to attend a monthly status meeting to be held between Vendor and the Steering Committee. Vendor will be required to provide a brief in-person presentation to the Steering Committee regarding the status of the project. Issues, risks, and challenges to the project will be discussed during this meeting, and the Steering Committee will

either resolve each issue or elevate it to the Judicial Information System Committee (JISC). If matters are referred to the JISC, Vendor may make an in-person presentation to the JISC.

3. Provide Organizational Change Management Support

The CLJ-CMS implementation will impact both AOC staff and the court community. It will be imperative that impacted staff and court stakeholders “buy in” to this implementation in order to ensure its success. To that end, Vendor will provide consultative support and assistance to AOC with the following organizational change management activities:

- Assessing impacts to people, policies, business processes, roles and responsibilities.
- Defining and refining success / performance measures and metrics.
- Updating and executing the CLJ-CMS organizational change management plan.
- Updating and executing the CLJ-CMS stakeholder engagement plan.
- Updating and executing of CLJ-CMS Communications plan.
- Developing and executing the CLJ-CMS training plan.
- Developing and executing the CLJ-CMS operational transition plan.

4. System Design, Configuration, and Construction

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

4.1. Prepare CLJ-CMS Design, Configuration, and Construction Plan

Vendor will be required to submit its plan for assembling the proposed components into a single system for deployment to the AOC and the participating courts and probation departments. The schedule and resources required for system design, configuration, and construction should be reflected in the Work Plan. This plan must include, at a minimum:

- Approach to design, configuration, and construction.
- Design, configuration, and construction schedule.
- Court, Probation, and AOC resources required as determined by the CLJ-CMS Court User Work Group (CUWG), a representative group of subject matter experts (SMEs) selected by the court associations and AOC Leadership, for each step in configuration/construction.

4.2. Conduct Requirements Gap Analysis

Vendor must work with the CLJ-CMS CUWG to conduct and complete business and technical analysis to determine the gaps between the needs of the court and probation departments and what Vendor's system provides. This analysis must incorporate Vendor's response to requirements as presented in Vendor's proposal and, if applicable, as modified during contract negotiations. Major gaps that are identified must be accompanied by a plan for resolving each gap through system configuration, additional development, or additional component incorporation. The gap analysis must result in a detailed inventory of system customizations or other modifications required to meet the needs of the court and probation departments.

4.3. Track Requirements to Implementation

Vendor must provide a mechanism for tracking adherence to the requirements identified in ACQ-2016-0701-RFP as well as additional requirements identified in gap analysis and system design activities. This mechanism must support change management and system testing, including user acceptance testing. Vendor must populate, maintain, and provide the court and probation departments with access on demand to this tool and the information it maintains.

4.4. Design of the CLJ-CMS Systems and Services

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

- Use case documentation.
- Data dictionary.
- Network design, inventory, protocols, and configuration.
- Security design.
- Hardware design and inventory.
- Data backup and disaster recovery plan.
- Application design and inventory.
- Change control documentation for all aspects of the design.

4.5. CLJ-CMS Interoperability Prototype

Vendor will be required to provide an Interoperability Prototype for the CLJ-CMS systems and services proving that all hardware, network, and software components proposed to implement CLJ-CMS will interoperate in accordance with all applicable Specifications. This proof of concept for all CLJ-CMS components must demonstrate basic functionality and interoperability in accordance with all applicable Specifications for at least one case type. This prototype must demonstrate:

- Filing and case initiation.
- Record keeping.
- Calendaring.
- Document generation.
- Case flow management.
- Courtroom operations.
- Disposition.
- Jury management.
- Person search and person/party management.
- Address verification.
- Integration with external justice partners.
- System security.
- Operations/management reporting.
- Automated interfaces.
- Electronic quality assurance.
- Integration between systems and components.
- Statistical reporting.
- Ad hoc reporting.
- Ad hoc inquiry.
- Integrated justice interoperability.
- Integrated case search by person.
- Accounts receivables and fees.
- Collections.
- Disbursements and Remittance.
- Bail/Bond.
- Receipting both Local and Statewide.

A live demonstration of the Interoperability Prototype must be performed by Vendor. However, the CLJ-CMS Interoperability Prototype must operate in the computing environments of AOC and a local court and probation department, and must operate with the AOC and the local court and probation department's firewall, virtual private network, and wireless security protocol.

4.6. CLJ-CMS Performance Prototype

Prior to Pilot implementation, Vendor will provide a CLJ-CMS Production Prototype for proving all CLJ-CMS functions for all case types operate in accordance with applicable Specifications. In addition, a CLJ-CMS Production Prototype must complete all documented use cases in accordance with applicable Specifications within the operational performance requirements (transaction, hourly, daily, and weekly). The CLJ-CMS Production Prototype must simulate production operating conditions on equipment and networks in both large courts and dispersed courts in the state's rural areas, including probation department(s).

Vendor will be required to implement a prototype environment configured to comply with the results of the gap analysis. This deliverable is required shortly after the completion of the gap analysis.

4.7. Disaster Recovery

Vendor must provide the documentation needed in order to successfully recover their systems and services at AOC's remote disaster recovery center. Vendor shall work with AOC technical staff to develop the necessary planning documents, inventory, and operational checklists to recover the system components. The disaster recovery solution will be demonstrated in a simulated disaster recovery environment at the AOC/ISD data center.

4.8. Perform System Testing

Vendor must provide a plan and environment for all testing efforts of every aspect of the CLJ-CMS. This must be completed and fully functional prior to key project milestones, including any major production releases.

- Pilot implementation.
- Early Adopter Release.
- General Release.
- Interim Releases produced after the pilot implementation.

This plan and environment must also support the testing of interim releases produced between major releases (e.g., after Early Adopters Release and before General Release).

In addition, test plans and environment structure must describe and support testing of:

- All functional requirements defined in the requirements traceability Deliverable.
- All performance requirements.
- All applicable Specifications in the DEDs for each Deliverable, including each Phase and Release and the System.

Testing of individual components may be performed prior to full system assembly. However, Vendor must provide a version of the System that would allow for end-to-end, full validation and full regression testing, prior to moving to implementation. The System testing deliverable must include:

- Test plans.
- Test environment and test database for unit testing, major component testing, product acceptance testing, and user acceptance testing.
- Automated test tools supporting all prototype, release, court and probation department deployment testing.
- Automated test scripts, test data, and other testing tools/materials.
- Documented test results, to be provided to the AOC CLJ-CMS project manager, which confirm that the applicable Deliverable performs in accordance with its DED.

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

5. System Delivery

Vendor will provide deployment plans, provide Go Live checklists, and assist with the implementation of all releases (i.e., Pilot, Early Adopters, and General releases).

5.1. Produce CLJ-CMS Pilot Release

The proposed system must be deployed in a pilot CLJ court(s) and a pilot probation department(s). The pilot will be used as a proof of concept, as well as a fully operational application providing all requested functionality.

This deliverable will include all software required for the pilot CLJ-CMS operation, in both source and executable formats.¹ It shall be integrated and configured in a mutually agreed-upon pilot configuration. This shall include both technical (e.g., Database Management System [DBMS], client software images) and functional (e.g., forms, reports, security) configurations. The pilot implementation shall integrate with the enterprise authentication and authorization (security) protocol and shall include the baseline configuration of CLJ-CMS for the State of Washington.

It shall be fully tested with fully converted data and local configuration for the pilot sites. The test must be complete and fully documented with no Severity

¹ It is anticipated that the CLJ-CMS pilot will be delivered as some combination of: (1) custom-developed software created as a work for hire and intellectual property of the Washington AOC; (2) Vendor-provided software licensed to the Washington AOC; and (3) third party software that is licensed to the Washington AOC. As a part of this deliverable, all software components will be clearly itemized. A well organized and verifiable copy of the source code for software delivered as described in (1) and (2) above shall either be loaded on Washington AOC servers or placed with an escrow agent. Executable versions of the pilot CLJ-CMS shall be placed on test, training, staging, recovery, and production servers.

Level 1 or Severity Level 2 errors. It shall be in a format that the Washington AOC can readily deploy and install to the pilot installation sites.

5.2. Prepare Initial Release Plan

Once the system pilot is complete, modifications to the system based upon the lessons learned from the pilot implementation must be made prior to full rollout. Vendor shall document the results of the pilot implementation, identifying the modifications that will be made prior to production rollout. Vendor shall prepare a plan for the design, development, and testing of what will be the first release of the production CLJ-CMS. In addition, Vendor will outline the plans for the next two (2) versions of CLJ-CMS, the Early Adopters Release and the General Release.

5.3. Test Compliance for CLJ-CMS Pilot Release

CLJ-CMS Pilot Release shall be fully tested with fully converted data and complete configuration. The test must be complete and fully documented with no Severity Level 1 - Severity Level 3 Deficiencies.

During the first three (3) months of production for the Pilot Release, support tickets will be evaluated along with any evolution and/or anticipated releases of the underlying application to form the next planned release of CLJ-CMS. Vendor shall prepare a plan for the design, development, and testing of what will be the early adopter release of the production CLJ-CMS. In addition, Vendor will outline the plans for the next two (2) versions of CLJ-CMS.

5.4. Produce Production CLJ-CMS Early Adopters Release

The production system will be based upon requirements and analysis as stated in RFP Sections 5 through 6. This release shall include and implement processes and procedures for software promotion from construction through testing and into production (along with rollback processes and procedures). This deliverable will include all software required for the CLJ-CMS operation. This shall include both technical and functional configurations.

5.5. Test Compliance for CLJ-CMS Early Adopters Release

CLJ-CMS Early Adopter Release shall be fully tested with fully converted data and complete configuration. The test must be complete and fully documented with no Severity Level 1 - Severity Level 3 Deficiencies.

During the first three (3) months of production for the Early Adopters Release, support tickets will be evaluated along with any evolution and/or anticipated releases of the underlying application to form the next planned release of CLJ-CMS. Vendor shall prepare a plan for the design, development, and testing of

what will be the second major release of the production CLJ-CMS. In addition, Vendor will outline the plans for the next releases of CLJ-CMS.

5.6. Produce Production CLJ-CMS General Release

The General Release will be the third major release of CLJ-CMS and will be based upon stated requirements, analysis, and results of the Early Adopters production implementation.

The General Release shall include and implement processes and procedures for software promotion from construction through testing and into production (along with rollback facilities and procedures). This deliverable will include all software required for the CLJ-CMS operation and shall include both technical and functional configurations and custom software.

The General Release shall be fully tested with fully converted data and current configuration and data from the General Release implementation. The test must be complete and fully documented with no Severity Level 1 - Severity Level 3 Deficiencies.

6. System Implementation

System implementation services and deliverables include all of the activities necessary to configure and deploy the system (as described in the previous subsection) across the State. The application will be deployed regionally by court and probation department. *[Any deviation to the anticipated rollout approach will be discussed during contract negotiations and may require approval by the CLJ-CMS Steering Committee prior to execution of the contract with the ASV, or under a subsequent contract amendment.]* This phase of work should include the following deliverables.

6.1. Prepare Deployment Plans

Vendor shall propose a deployment plan that provides details on the schedule, approach, and resources necessary for regional deployments. The plans will include:

- Location(s).
- Schedule.
- Scope and objectives of each regional deployment.
- Steps required to roll back each deployment implementation to pre-implementation operations.
- Tasks, human resources, and other resources required for implementation, including:
 - AOC Project Staff.
 - AOC Training, Customer Service, and Education Staff.
 - AOC IT Staff.
 - Local Court and Probation Department Staff.
 - Local IT Staff.

- o Vendor.

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

6.2. Assist Local Configuration

It is anticipated that the system will be configured to meet the needs of the district and municipal courts and the probation departments. Vendor will train the management and technology support staff of the local courts, probation departments, and AOC Staff to make optimal configuration decisions and assist them in implementing and testing their court's initial configuration. Vendor will assess the configuration requirements of each location and assist the court administrators, probation managers, and technology support staff with the configuration.

6.3. Perform Data Conversion

Vendor is expected to begin conversion efforts upon contract execution or as agreed upon between both parties. Vendor must perform an in-depth analysis of current data structures and values and develop a plan for converting data and procedures for migrating and validating data. It is anticipated that this will include three (3) or more tests of the conversion, including manual input, to ensure that conversion expectations are met.

6.4. Assist with Testing

Vendor will assist the AOC management and project staff in testing of the configured application and customization and converted data. Vendor shall work with the AOC project team and design a structured and repeatable testing protocol that:

- Supports the implementation schedule.
- Employs automated testing tools to minimize the staff required to fully test the implementation of the system.
- Enables testing processes that compare and reconcile the outcomes between the legacy and new CLJ-CMS.

AOC project team will lead and perform user acceptance testing after the Vendor completes its system testing and confirms that the applicable deliverable meets all applicable Specifications. Vendor will be responsible for:

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

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

6.5. Support Production System Deployment

Vendor will provide on-site support of management, court administration, and technical activities for each court and probation department location in the successful implementation of CLJ-CMS Pilot and Early Adopter events.

7. Training

Implementing a new CMS will require specific training services for all software and CLJ-CMS components. These services will include planning and coordination, development of training materials and tools, and delivery of training to court managers, judges, probation departments, and AOC support organizations including training, education, and customer services.

7.1. Plan for Training

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

Included with the approach should be samples of custom training products from Vendor for similar types of training requirements and implementation engagements.

7.2. Provide Predesign Training of Personnel

It is anticipated that CLJ-CMS project staff and management will need to make well-informed design decisions throughout this engagement. Vendor will provide training on all CLJ-CMS software components to the CLJ-CMS project staff and management upon contract completion. This should include training on the technical and functional features and controls of all of the components that make up the system. This training should identify the design decisions that will be made in preparing the system for implementation.

7.3. Provide CLJ-CMS User and Administration Training

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

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

7.4. Provide Training Documentation

Vendor will be required to provide training and technical documentation for all the CLJ-CMS systems and services software components. Documentation should include, but is not limited to, the following:

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

8. System Support

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

8.1. Version and Patch Release Management

Vendor must provide a plan and structure for managing requests for system modifications and bug fixes. This structure shall be designed to operate under the direction of the AOC CLJ-CMS project manager. Any issue that requires a system-wide change must be tracked and included in either a patch for critical issues or a future release for functionality expansions or noncritical issues.

Given the component-based nature of the CLJ-CMS, a critical element of release management will be the methods used to ensure that a version update to a single CLJ-CMS component does not “break” the interactions that the component has with other CLJ-CMS components by altering data structures or processing models. Releases must be well documented, identifying the nature of the changes made, configuration issues, and changes in business processes.

Vendor must provide a plan and protocol for planning, announcing, developing, testing, and deploying releases to ensure that software updates do not interrupt critical business processes. They must also be successfully regression tested in the AOC test environment before being approved for a production release.

8.2. Backup and Recovery Procedures and Tools

Vendor must provide procedures and tools for system and data backup and recovery to support the system performance requirements. Backup and recovery practices and procedures must be consistent with AOC IT standards. They will leverage the AOC IT backup and recovery facilities and procedures.

8.3. On-Site Support

Vendor shall provide on-site technical support for activities associated with implementation of the CLJ-CMS systems and services. In addition, on-site technical support shall be provided as required under Contract Section 13 and in Appendix C. This support must be provided for during and after pilot implementation and for a minimum period of three (3) months after production operation of the Early Adopters Release.

8.4. Level 1 Help Desk Support

Vendor must assist the AOC in establishing a Level 1 help desk support structure and staff the help desk until such time as the AOC is fully capable of operating the help desk using its own staff. Level 1 help desk support must meet the court and probation department response and problem resolution time requirements for case management applications, and applies to all Vendor-provided hardware, software, infrastructure, and services. In addition, Level 1 help desk support shall be provided as required in Appendix C. Level 1 help desk support shall provide complete, accurate, and timely information about each request for service in the AOC IT incident tracking application.

Vendor shall provide documentation and training to AOC help desk staff and management. This should establish full help desk capability (at the level required for long-term system maintenance) within six (6) months of the successful completion of the CLJ-CMS Early Adopter Release implementation. Vendor shall augment the AOC help desk staff until the AOC has realized full help desk

capability and shall provide additional resources sufficient to meet the additional short-term demand resulting from the implementation of the CLJ-CMS.

8.5. Ongoing Level 2 Support and Problem Resolution

Vendor shall provide Level 2 help desk support that meets response and problem resolution time requirements. Level 2 help desk support will apply to all Vendor-provided hardware, software, infrastructure, and services. It will be coordinated through up to three (3) designated AOC points of contact. In addition, Level 2 help desk support shall provide complete, accurate, and timely information about each request for service in the AOC incident tracking application. Vendor shall provide support by a variety of channels, including telephone, e-mail, and Web application.

8.6. Other Software and Hardware Maintenance

Vendor shall provide the following support and maintenance services for the products delivered and/or licensed to AOC as a part of this engagement.

- Vendor will notify AOC of known or discovered errors of Deficiencies in delivered products, via email or other electronic communication.
- Vendor will provide product patches for known Deficiencies via the secure Internet download service.