

**STATEMENT OF WORK**

*The successful proposer will demonstrate an understanding of the objectives for the AC-ECMS 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 and the Appellate Courts with services and deliverables in the following categories:*

- *Overall Approach*
- *Project Management*
- *Analysis and Design*
- *Solution Configuration*
- *Report Development*
- *Deployment*
- *Testing and Quality Assurance*
- *Build and Release Management*
- *Document Conversion*
- *Training*
- *Production Support*
- *Disaster Recovery*

*These categories are described in more detail in the following sections. EXHIBIT L must be used as a reference to properly prepare a response for EXHIBIT M, which must be provided in the Vendor proposal.*

*In EXHIBIT M, Vendor must indicate compliance or noncompliance for all requirements marked Mandatory (M) and Mandatory Scored (MS). Vendor must provide detailed information for all requirements designated as Mandatory Scored (MS). Vendors may indicate compliance or noncompliance for all requirements marked Desirable (D) and Desirable Scored (DS). For all responses to Desirable Scored (DS) requirements, Vendor must provide detailed information.*

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This Statement of Work (SOW) is made and entered into by and between the Administrative Office of the Courts (AOC), hereinafter referred to as AOC, and [Vendor Name] (Vendor) for contracted services to provide an commercial off-the-shelf (COTS) Appellate Court Enterprise Content Management System, hereinafter referred to as AC-ECMS.

This SOW incorporates by reference the terms and conditions of Contract Number PSCXXXXXX in effect between AOC and Vendor. In case of any conflict between this SOW and the Contract, the Contract shall prevail. AOC and Vendor agree as follows:

1. The goals of this procurement are to:
  - Develop a Washington State Appellate Court enterprise content management system in accordance with the requirements stated in the RFP.
  - Tailor the in-scope workflow requirements to the three individual Court of Appeals Divisions and the Supreme Court. The solution should not require custom coding on the part of the Vendor to accomplish RFP requirements.
  - Perform incremental deployments with a Vendor performance evaluation after the first deployment.
  - Position the Appellate Courts to be able to develop and maintain workflows on their own with existing staff via training, knowledge transfer and joint development.
  - Have the Vendor provide production support of the solution during the incremental deployment period.
  - Have the Vendor provide production support of the solution after the contract is satisfied in accordance with the requirements stated in the RFP.

2. Overall Approach

The Appellate Courts and AOC have co-developed the following proposed approach toward accomplishing this project. **If applicable, vendors should, based on their experience, propose alternative approaches they believe are more cost effective and positions the Appellate Courts for doing subsequent workflow development on their own.**

There will be an initial analysis, design, and configuration led by the Vendor and involving staff from all Appellate Courts and the AOC project team. The effort will initially focus on the Criminal Notice of Appeal (CNOA) workflow. The CNOA workflow includes the components necessary for the remaining workflows (see Exhibit J) with changes mainly entailing changing step sequence or bypassing steps. In particular, the Motions Filed process, step 21 in the CNOA Workflow Business Requirement, will be highly reused. The Vendor is expected to be onsite in Olympia for this effort.

Configuration and deployment will occur in three consecutive production release cycles. The first cycle will involve the Court of Appeals Division II in Tacoma, Washington and the Supreme Court in Olympia, Washington. The second cycle will involve the Court of Appeals Division III in Spokane, Washington and the third cycle will involve the Court of Appeals Division I in Seattle, Washington. The Vendor is expected to be onsite in all four locations during each consecutive production release cycle.

The first release cycle will deploy the workflows developed in the initial analysis, design, and configuration. These include the CNOA workflow and the remaining workflows identified in Exhibit J.

The second and third cycles will tailor the initial workflow configurations to the business processes of Divisions I and III. Workflow variations among the Appellate Courts will largely be comprised of artifact routing.

There is flexibility in the exact composition of the production release cycles with respect to expediency or practicality. For example, the effort for Court of Appeals Division III may start prior to the conclusion of work for the Supreme Court. **Vendors should take this into account in their proposals.**

The Vendor is expected to provide configuration training and knowledge transfer within each release cycle. There should be decreasing Vendor involvement in the development of the workflows following the initial workflows. **Vendor shall propose a practical approach that gradually transfers the development of workflows to Appellate Court staff.**

Each release cycle will result in a production deployment and the Vendor is expected to support each production release while subsequent releases are under development.

All Appellate Courts will review updates to requirements, design, and configuration. Any adjustments to prior configurations resulting from changes made in the second or third release cycles will be handled through formal build and release management processes.

User acceptance will occur at the end of each release cycle. If the solution is deemed wholly unacceptable at the end of the first release cycle, the Appellate Courts and the AOC may exercise the option to cancel the procurement under the terms outlined in the contract.

### 3. Project Management

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

#### 3.1. Project Management Plan

Based on the agreed-upon scope of work and other agreements in contract negotiation, 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 AC-ECMS project. The project management plan must include the following elements:

- Project organization, including structure, roles, responsibilities, and human resource management.
- Project work breakdown structure and schedule, fully loaded with dependencies and resource requirements using Microsoft Project 2007.
- 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 SC-CMS project manager.
- Approach to configuration management for reviewing, accepting, and maintaining version control on all project deliverables.
- Approach for quality management, for ensuring high quality deliverables, and for project quality control.

- Approach to decision management, outlining a structured approach to documenting and resolving key project decisions.

Vendor is required to submit the draft project management plan to AOC thirty (30) days after the finalization of the project contract. Upon review and acceptance, the final project management plan will serve as the basis for controlling all project management activities.

### 3.2. Provide Project Management

Vendor is responsible for executing the project management 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 ISD AC-ECMS 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:

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

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

### 3.3. Monthly Status Report

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

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

### 3.4. Monthly Status Meeting

In conjunction with monthly status reports, Vendor is required to attend a monthly status meeting to be held between Vendor and the Steering Committee. Vendor is 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 shall make an in-person presentation to the JISC.

## 4. Analysis and Design

### 4.1. Detailed Requirements Analysis

The Vendor shall conduct a detailed requirements analysis in a joint effort between the Vendor, AOC project staff, and Appellate Court staff. The result of this effort will be the refinement of the RFP requirements into the detailed set of requirements needed to design the configuration of the AC-ECMS solution. These requirements will go through a review by Appellate Court stakeholders, AOC project staff, and the AOC Architecture Review Team. The requirements will be managed by AOC project staff.

### 4.2. Solution Design

Using the refined set of requirements developed in the Analysis phase, the Vendor shall develop a design specification that satisfies the detailed set of requirements developed in the analysis phase. The design specification will go through a review by Appellate Court stakeholders, AOC project staff, and the AOC Architecture Review Team.. At a minimum the design specifications will contain:

- Hardware design and configuration for:
  - Development environment.
  - Testing environment.
  - Production environment.
- Workflow process design including the queues, rules, and actions required to collect data and route and process documents through distinct business processes and workflows.
- Data/database design.
- Network design.
- Software products and their relationships.

The hardware design and configuration are needed as soon as possible to allow the AOC to purchase equipment, if needed, in time for system implementation. This typically requires a six (6) week lead time.

The design will include integration with the existing Courts electronic filing web portal. See Exhibit S for more detail.

There shall be traceability from elements in the detailed requirements to elements in the design specification.

The design specification will be maintained by the Vendor throughout the duration of the project and turned over to AOC at the end of the project.

5. Solution Configuration

Initially, the Vendor shall install the basic out-of-the box solution into the development, testing, and production environments in a joint effort with AOC technical staff. This will include:

- Configuring the server hardware/software settings for optimal performance for the proposed Vendor solution.
- Installing and configuring the application server software.
- Installing and configuring the Vendor's suite of software products.

Business workflow configuration will occur over this basic installation.

In the interest of effective knowledge transfer, workflow configuration of the AC-ECMS solution shall be a joint effort between the Vendor and Customer staff members who will be the primary configuration subject matter experts in their respective Courts.

The Vendor shall update the design specification and coordinate with AOC to update the requirements specification with any changes that occur during all solution configuration cycles. The Vendor shall maintain and be able to demonstrate traceability of all in-scope requirements through the solution design and solution configuration.

6. Report Development

The report requirements are in Exhibit J. These are the reports currently contained in the existing ACORDS application. The Vendor shall propose their approach to duplicating the functionality of these reports as reports or some other data views.

7. Deployment

7.1. Solution Deployment

- 7.1.1. The Vendor shall conduct incremental solution deployment as described in Section 1. Overall Approach above.

7.2. Deployment Plan

- 7.2.1. The Vendor shall develop a deployment plan that at a minimum contains:

- Deployment checklist
- Deployment scripts
- Roles and responsibilities
- Rollback procedure
- Planned communications

## 8. Testing and Quality Assurance

### 8.1. System Testing

The Vendor shall perform unit and integration testing on the system prior to the delivery to AOC. The Vendor shall provide AOC with documentation describing the unit and integration tests, along with documentation of the results.

AOC testers will complete system and performance tests upon delivery of the configured system. Acceptance of the system includes review of the documentation and results that were provided by the Vendor. Upon successful completion of the system testing, AOC testers will work with the customers to complete User Acceptance Testing (UAT).

Unit, integration, system, performance, and user acceptance testing will occur during each release cycle.

### 8.2. Defect Management

During system, performance, and user acceptance testing all identified defects will be tracked by AOC using Rational ClearQuest. Defects will be assigned one of four severity levels, which will be determined by the AOC ECMS project triage team. These severity levels are:

- Severity level 1 – Critical = System will not run or fails to meet base functions.
- Severity level 2 – Major = System will operate but some components provide incorrect results or fail.
- Severity level 3 – Minor = Performance issues, load time, functional flow, inactive features (buttons).
- Severity level 4 - Cosmetic = Spelling, hints, appearance or format.

The Vendor shall correct the identified defects and return the corrected system through an agreed upon build release schedule.

Final acceptance of the system will be met when:

- 100% of identified Critical defects are fixed, tested and passed,
- 100% of identified Major defects are fixed, tested and passed,
- 80% of identified Minor defects are fixed, tested and passed, and
- 60% of identified Cosmetic defects are fixed tested and passed.

## 9. Build and Release Management

The Vendor shall provide build and release management in accordance with best practices for their product suite. This model will be followed for initial deployment and the duration of the project. This model will also be provided for Courts to use for product enhancements once the Vendor's engagement ends.

Product configuration builds are managed in order to provide a quality product. These builds are managed through a release process. Releases progress through various environments (Development, Test and Production), each of which is a distinctive operating environment that progressively validates the conditions and functions separately from the other. They leverage common methods for promoting a release between environments. A build release checklist to track build developments is required and typically consists of items such as:

- Build number
- Build date
- Build version
- QA tested (Y/N)
- QA test results (Pass/Fail)
- User acceptance test (Pass/Fail)
- Promote to Production (Y/N)

10. Document Conversion

The Vendor is responsible for the conversion and migration of all current documents from the three current imaging systems to the new AC-ECMS.

Conversion success will be determined through quality control testing by AOC project staff.

11. Training

11.1. Training Plan

Vendor shall develop a training plan tailored to the needs of this project. The training plan shall accommodate training for:

- Solution Users
  - Supreme Court – Sixty Eight (68)
  - Court of Appeals Division I – Sixty Five (65)
  - Court of Appeals Division II – Fifty (50)
  - Court of Appeals Division III – Thirty Two (32)
- Solution Power Users/Trainers
  - Supreme Court – Seven (7)
  - Court of Appeals Division I – Five (5)
  - Court of Appeals Division II – Five (5)
  - Court of Appeals Division III – Five (5)
- System Administrators
  - Supreme Court – Six (6)
  - Court of Appeals Division I – Five (5)
  - Court of Appeals Division II – Three (3)

- Court of Appeals Division III – Three (3)
- Nine (9) AOC Technical Support Staff
- Five (5) AOC Customer Support staff

11.2. Types of Training

The Vendor shall provide two types of training:

11.2.1. Knowledge transfer during joint system installation and joint workflow configuration.

11.2.2. Formal on-site training, supported by training materials and manuals, for all users and administrators of the solution.

11.3. Training Sessions

Training shall occur during every production release. The Vendor shall provide tailored training sessions to specific roles including but not limited to:

- Solution users
- Solution power users/trainers
- System administrators
- Technical support
- Customer support

11.4. Training Documentation

The Vendor is required to produce training and technical documentation for all AC-ECMS software components. Documentation will include but is not limited to:

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

Training documentation developed specifically for AOC and the Appellate Courts shall be transferred to AOC.

The AOC will be responsible for obtaining training facilities.

12. Production Support

Production support by the Vendor shall start with the deployment occurring in the first release cycle.

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

- 12.1. *Version and Patch Release Management* - The Vendor shall provide a plan and structure for managing requests for system modifications and bug fixes.
- 12.2. *Backup and Recovery Procedures and Tools* - The Vendor shall provide procedures and tools for system and data backup and recovery to support the system availability performance requirements. Backup and recovery practices and procedures must be consistent with AOC standards. They should leverage AOC back-up and recovery facilities and procedures.
- 12.3. *On-Site Support* - The Vendor shall provide on-site technical support for activities associated with implementation of AC-ECMS for the duration of the contract.
- 12.4. *Level 1 Help Desk Support* - The Vendor shall assist the AOC in establishing a Level 1 customer services support structure. The Vendor shall provide documentation and training to five (5) AOC Customer Services staff and management.
- 12.5. *Ongoing Level 2 Support and Problem Resolution* - The Vendor shall provide Level 2 help desk support that meets the response and problem resolution requirements outlined in the RFP. It will apply to all Vendor-provided hardware, software, infrastructure, and services. It shall provide complete, accurate, and timely information about each request for service in the ISD incident tracking application.
- 12.6. *Other Software Maintenance* - The Vendor shall provide the following support and maintenance services for the products delivered and/or licensed to the AOC as a part of this engagement:
  - Provision of known error corrections by delivery of available patches via electronic communication and for download via the Internet.
  - Provision of available minor updates (bundling of several error corrections in one version) for download via the Internet.
  - Provision of available medium upgrades (version with additional/enhanced functions) for download via the Internet.
  - Provision of available major upgrades (version with substantially enhanced volume of functions).
  - Provision of information via electronic communication (e-mail) when new minor/medium/major updates are available.
  - Extension of hardware manufacturer and third party software provider warranties.

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

### 13. Disaster Recovery

Vendor shall provide the documentation needed in order to successfully recover their solution at AOC's remote disaster recovery center. Vendor shall work with AOC technical staff to develop the material necessary to recover the system components. The disaster recovery solution will be demonstrated in a simulated disaster recovery environment at the AOC/ISD data center.