

Prescribed By: Judiciary of Guam	REQUEST FOR PROPOSAL (SERVICE CONTRACT)	Page No. 1	Number of Pages
--	---	---------------	--------------------

Issued By:  X PERRY C. TAITANO, Administrator of the Courts	Address: JUDICIARY OF GUAM GUAM JUDICIAL CENTER PROCUREMENT SECTION 120 WEST O'BRIEN DRIVE HAGATÑA, GUAM 96910 Tel: (671)475-3393 Fax: (671)477-8009
---	--

Date Issued: July 23, 2010	Request For Proposal No.: 10 - 02
----------------------------	-----------------------------------

Sealed Proposals (1) original, (4) copies, and (3) electronic copies. SUBJECT TO THE TERMS AND CONDITIONS OF THIS PROPOSAL, ITS SCHEDULE AND THE ATTACHED GENERAL PROVISIONS, will be received at the above office until: **2:00 o'clock p.m. (Guam Time) , October 1, 2010.**

General information and instructions to offerors are contained in the terms and conditions attached.

SCHEDULE

Item No.	Supplies or Services	Quantity (No. of Units)	Unit	Unit Price	Amount
1.	Furnish, Deliver and Install Court-Related Management Information Systems for the Judiciary of Guam.	Please leave this space blank when submitting proposals. See RFP General Terms Section 3.1 for instructions. *****			

Proposal	Date
----------	------

Offers providing less than **sixty (60)** calendar days for Government acceptance after the date offers are due will not be considered and will be rejected.

Indicate Whether: ☐ Individual ☐ Partnership ☐ Corporation Incorporated in the state of:

NAME AND ADDRESS OF OFFEROR: (Type or Print) _____ _____ _____ _____	SIGNATURE AND TITLE OF PERSON AUTHORIZED TO SIGN THIS PROPOSAL: _____ _____
--	---

AWARD:	CONTRACT NO.:	DATE:
--------	---------------	-------

Accepted as to items numbered _____ Amount \$ _____ Invoice for payment should be mailed to: _____ Payment will be made by: _____	By: _____ Contracting Officer _____ Accounting and Appropriation Date
--	--

JUDICIARY OF GUAM

REQUEST FOR PROPOSALS

NO. RFP 10 – 02

**To Furnish, Deliver and Install Court-Related
Management Information Systems
for the Judiciary of Guam**

July 23, 2010

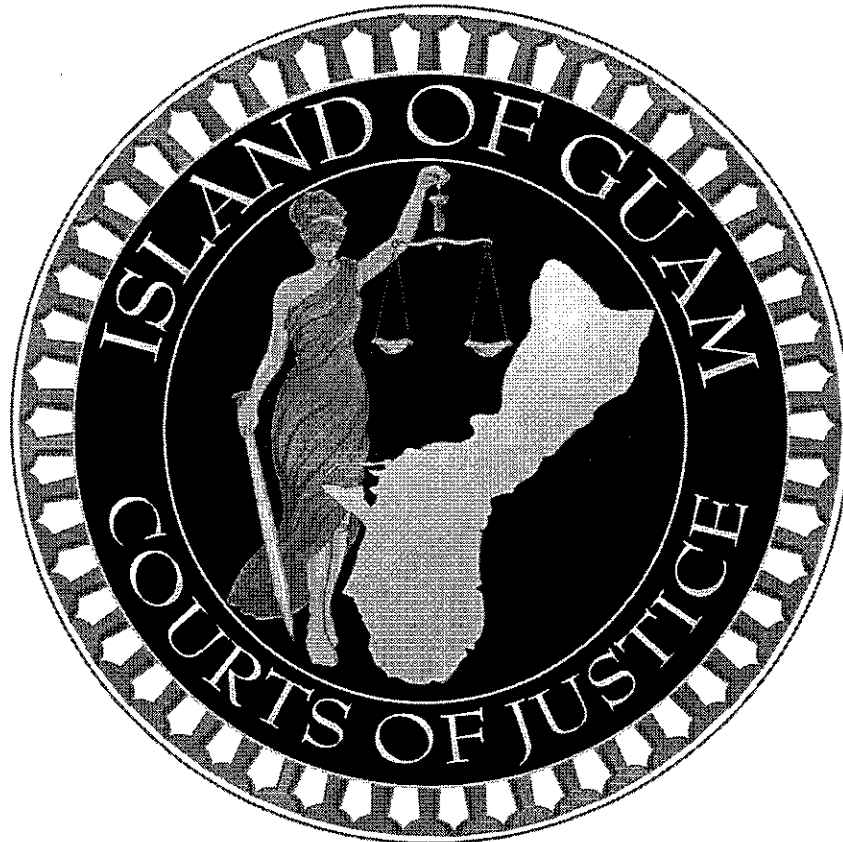


Table of Contents

1	Executive Summary	1
2	Overview and Background Information.....	2
2.1	Scope and Purpose of RFP	2
2.2	Guiding Principles.....	3
2.3	Business Environment.....	6
2.4	Current Technology Environment	11
2.5	Planned Technology Environment	15
2.6	Vision for the New Systems	19
3	Procurement Information and General Guidelines	27
3.1	General Information	27
3.2	Laws and Regulations	29
3.3	Written Requests for Interpretations/Clarifications	30
3.4	Exceptions.....	30
3.5	Amendments to the RFP and Withdrawals of Proposals.....	30
3.6	Treatment and Opening of Proposals	31
3.7	Evaluation of Proposals	31
3.8	System Demonstrations.....	32
3.9	Negotiation and Award of Contract	32
3.10	Funding Source	33
4	Offeror Response Content and Format	34
4.1	Section 1 - Cover Letter.....	34
4.2	Section 2 - Management Summary.....	34
4.3	Section 3 - Offeror Profile, Qualifications and Experience.....	34
4.4	Section 4 - Product History and Future Disclosed Plans	36
4.5	Section 5 - Architecture and Hardware Configuration	36
4.6	Section 6 - Project Management.....	37
4.7	Section 7 - Staffing	38
4.8	Section 8 - Completed Attachments 1 – 4 & 9.....	38
4.9	Section 9 - Case Assignment.....	39
4.10	Section 10 – Miscellaneous Judiciary Matters.....	39
4.11	Section 11 - Data Conversion	40
4.12	Section 12 - Production System Roll-out and Training	40
4.13	Section 13 - Data Exchange and Device Integration.....	40
4.14	Section 14 – Security.....	41
4.15	Section 15 - Reporting	42
4.16	Section 16 - Warranty and Customer Services Practices.....	43
4.17	Section 17 – Exceptions	43
4.18	Cost Proposal.....	44

Appendix 1: General Terms and Conditions

Appendix 2: ARRA Vendor Requirements

Appendix 3: Major Shareholder Affidavit

Appendix 4: Non-Collusion Affidavit

- Attachment 1: CMS Capabilities and Scenarios
- Attachment 2: E-filing System Capabilities and Scenarios
- Attachment 3: ERP System Capabilities
- Attachment 4: Jury Management System Capabilities and Scenarios
- Attachment 5: Case Assignment Requirements
- Attachment 6: Miscellaneous Judiciary Matters
- Attachment 7: Legacy Data Structures
- Attachment 8: Interfaces
- Attachment 9: Non-Functional System Requirements

1 Executive Summary

The Judiciary of Guam (Judiciary) invites qualified technology companies (Offerors) to submit written proposals to provide several information systems to support court operations and case management. These systems are:

- Supreme Court case management system (CMS)
- Superior Court CMS, which includes Probation and Client Services & Family Counseling
- Public Defender CMS and Alternate Public Defender CMS
- Electronic filing (e-filing) system to serve both Superior Court and Supreme Court
- Enterprise resource planning (ERP) system
- Jury management system

This RFP states the scope of the procurement, the general rules for preparing responses, and the Judiciary's requirements. Responses must clearly detail how the software and services being proposed can best satisfy the Judiciary's requirements. Proposals in response to this RFP must provide for all of the systems within the scope of the procurement. Offerors are expected to team with other software providers as needed in order to offer a complete solution. ***Proposals that do not provide for all of the systems listed above will be deemed non-responsive.***

Following is a listing of procurement actions and their respective dates and times (***note the time zones***); the Judiciary reserves the right to change the dates as necessary. Any changes to the schedule will be posted to the procurement web site (see Section 3.1).

Activity	Eastern Time	Guam Time
RFP Issuance	July 23, 2010	July 23, 2010
Questions/clarifications due	3 A.M., August 6, 2010	5 P.M., August 6, 2010
Notice of intent to propose and register to receive responses to questions/clarifications due	3 A.M., August 6, 2010	5 P.M., August 6, 2010
Responses to questions/clarifications posted to web site	August 12, 2010	August 12, 2010
Optional pre-proposal telephone conference	7 P.M., August 13, 2010	9 A.M., August 13, 2010
Pre-proposal conference minutes posted to web site	August 20, 2010	August 20, 2010
Proposals due	12 A.M., October 1, 2010	2 P.M., October 1, 2010
Notification of finalist Offerors	October 22, 2010	October 22, 2010
Finalist demonstrations on Guam	November 8 to December 9, 2010	November 8 to December 9, 2010
Notification of selection	December 17, 2010	December 17, 2010
Starting date of contract	February 15, 2011	February 15, 2011

2 Overview and Background Information

2.1 Scope and Purpose of RFP

The Judiciary of Guam is replacing current automated systems that support the Supreme Court, Superior Court, and related justice organizations, both case-related and general administrative systems. The purpose of this RFP is to solicit sealed bid proposals from offering prime contractors for the licensing, implementation, and maintenance of the following kinds of systems:

- Supreme Court CMS
- Superior Court CMS, which includes Probation and Client Services & Family Counseling
- Public Defender CMS and Alternate Public Defender CMS
- E-filing System to serve both Superior Court and Supreme Court
- Enterprise resource planning system
- Jury management system

Offerors are expected to provide all functionality requested and form proposal teams under the leadership of a prime contractor. In this RFP the software systems will be referred to collectively as the “CMS/ERP System,” recognizing that an Offeror will assemble a collection of systems to propose. At a high level, proposals must include the following elements:

- Specifications for hardware and software to support the specified number of browser-based workstations and public access,
- Services to implement the systems and convert legacy data, and
- Integration among the five systems and with other specified existing justice-related information systems.

The systems will be used by employees and contractors of the Judiciary, with the following numbers of users:

- Supreme Court CMS – 35 users
- Superior Court CMS – 300 users (plus 50 users of the Public Defender Service Corporation – Public Defender and Alternate Public Defender)
- E-filing System – 55 internal Judiciary users (deputy clerks who at any given time might be assigned to review and accept e-filing documents), plus estimated external users potentially including 290 active members of the Guam Bar Association and 10 self-represented litigants at any given time.

- ERP – 30 users
- Jury Management – 5 users

The CMS/ERP System will allow the Judiciary to meet goals of customer service and court productivity.

2.2 Guiding Principles

Guiding principles for this procurement encompass the Judiciary's business goals and operational goals. These principles are not requirements to which an Offeror must respond, but are set forth here to provide Offerors with more information about the scope and purpose of the procurement.

2.2.1 Business Goals

External business goals of the new CMS and E-filing System:

- Enhance convenience for court users, such as the legal community, self-represented litigants, and the public;
- Provide public access to case information on the Internet;
- Enable e-filing for attorneys and self-represented litigants;
- Provide user access for external governmental and contracting agencies;
- Provide interface capability for electronic communication with systems of external governmental agencies; and
- Remain responsive to changing needs of the legal community, self-represented litigants, and the public (by reconfiguring the system as needed).

Internal business goals of the new CMS and E-filing System:

- Increase internal efficiencies by eliminating redundant and manual processes through workflow, electronic document management and e-filing;
- Remain responsive to changing internal needs by implementing a system that can be modified without programming assistance from the Offeror;
- Provide access to the CMS from any location, on or off island;
- Provide management information on court performance for managers and judges; and
- Provide statistical reporting that is currently performed manually.

External business goals of the new ERP System:

- Enhance administrative convenience for external entities with whom the Judiciary has dealings (e.g., units of the Guam government, court contractors, prospective employees); and

- Remain responsive to changing needs of the external entities with whom the Judiciary has dealings.

Internal business goals of the new ERP System:

- Manage administrative functions of the Judiciary (accounting, payroll, human resources, procurement, and grants management), and trust accounting functions of the Public Guardian;
- Increase internal efficiencies by eliminating redundant and manual processes and interfacing with the CMS through workflow and electronic document management;
- Provide management information on Financial Division performance for managers; and
- Provide statistical reporting that is currently performed manually.

External business goals of the new Jury Management System:

- Enable potential jurors to submit qualifications online; and
- Communicate with jurors and potential jurors by e-mail and through online information.

Internal business Goals for the new Jury Management System:

- Increase internal efficiencies by eliminating redundant and manual processes through workflow and electronic document management;
- Provide management information on jury unit performance for managers and judges; and
- Provide statistical reporting that is currently performed manually.

2.2.2 Operational Goals

Configurability:

- Set up data entry and query screens and other parts of the user interface;
- Set up in-boxes/work queues appropriate to user role;
- Set up workflow (including business rule triggers);
- Set up ticklers and alerts;
- Set up data validations for data entry;
- Set up document generation;
- Set up role-based security/data access;
- Set up interfaces with internal and external systems; and
- Set up dashboard elements appropriate to user role.

Electronic documents and transactions:

- Reduce or eliminate use of paper in day-to-day operations by providing access to information and electronic documents;
- Store redacted and annotated documents as separate versions to protect sensitive information; and
- Handle transfer of money, payments, notifications, and service of process electronically.

Real – time operations:

- When a court hearing or counter transaction is complete, all data entry tasks, document generation, and information exchange tasks also are complete;
- All paper documents presented for filing with the Judiciary (in person, by mail, or by electronic means) are logged/docketed, scanned, and processed, and available for use within one hour of receipt (The only exceptions are large batches of documents received by mail or courier, which must be available within one business day); and
- Credit and debit cards must be accepted for all transactions: in person, by telephone, and over the Internet, in full compliance with payment card industry standards.

Database structure:

- Provide access to information through multiple views appropriate to the type and purpose of the information (e.g., case-centric, person-centric, administrative matter-centric); and
- Date- and time-stamp all database elements to allow re-creation of statistical /financial reports for any point in time.

Identity management:

- Provide tools to assist in managing person identities, including robust search tools to find possible matches, tools to identify possible duplicate identities, functions to link and unlink identities, and comprehensive, formal business rules to govern how these utilities are used.

Financial management:

- Provide dual-entry accounting for all financial management functions;
- Automatically exchange data between the CMS and the ERP, and Jury Management with the ERP; and
- Set up payment plans for fines, and restitution, court fees, program costs and additional amounts added either to original plan or additional separate plan.

Event logging/docketing:

- Create an automatic log of events when events and transactions occur (e.g., court events, document filed, payment made); and
- Allow authorized users to have the capability of retrieving electronic content (e.g., electronic document, digital audio or video of a court hearing, electronic evidence) by selecting the related docket entry.

Integrated justice:

- Exchange data and documents electronically with primary information sharing partners (e.g., Attorney General, jail, corrections), immediately upon completion of an event or transaction.

Infrastructure:

- Provide adequate response time and minimize down time so as never to disrupt Judiciary operations through such means as failover/load sharing capabilities, multiple network paths, etc.

System Security:

- Ensure security and integrity of the CMS/ERP System, its data, and its documents during normal operations and after a system failure or outage; and
- Maintain audit trails for all electronic data managed by the system.

2.2.3 Application Management Approach of System Provider

The Judiciary seeks an Offeror with an approach to managing applications (applicable to each system proposed) that has the following characteristics:

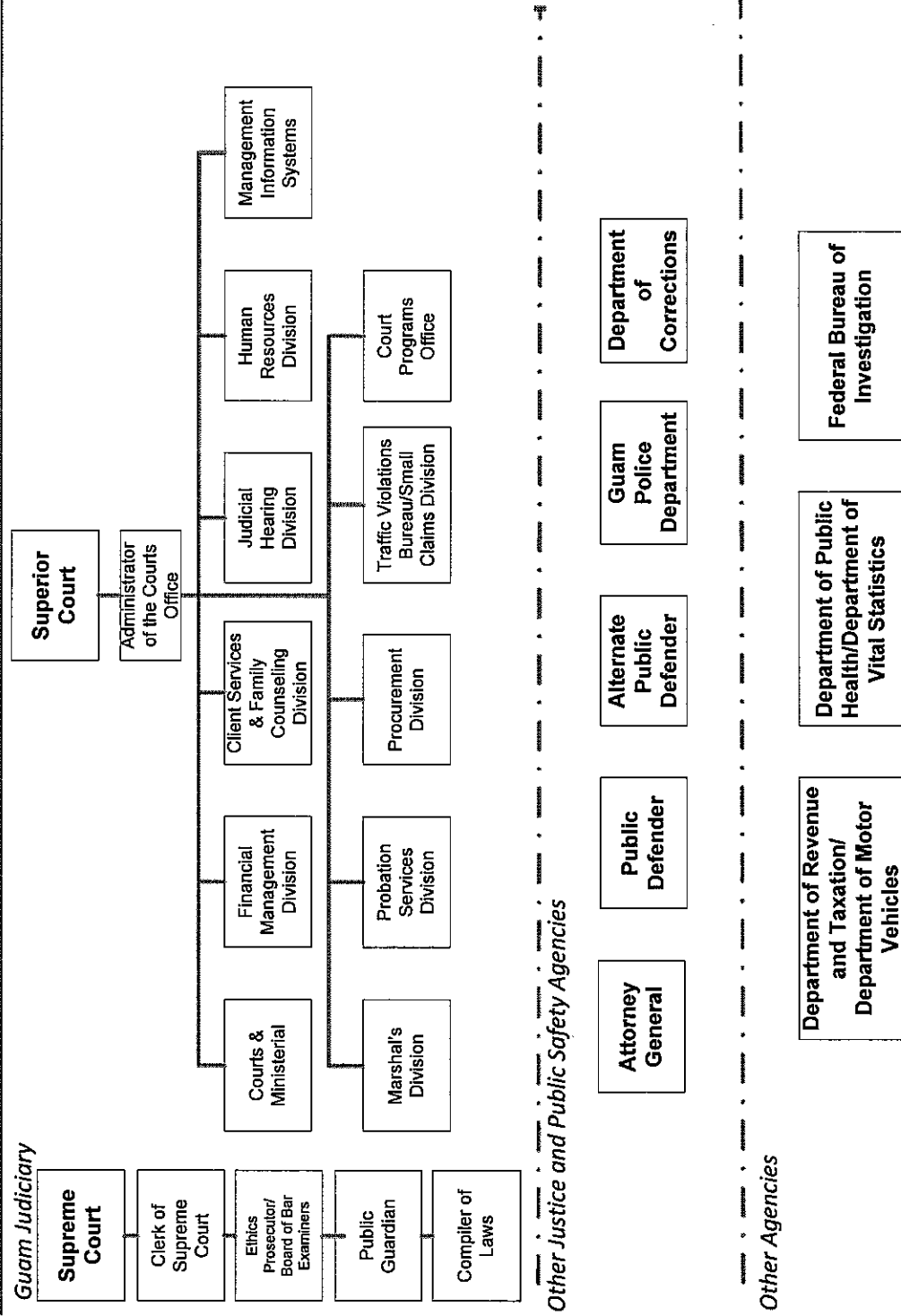
- A single code set for all customers, allowing the customer to pay for maintenance and support, and receive enhancements and bug fixes developed for other customers;
- Regular update releases, with at least one major release every 12-18 months; and
- Customer input into setting the priority of specific enhancements to underlying code.

2.3 Business Environment

Figure 1 depicts the organizations involved in the justice process on Guam. For presentation, these organizations are divided into three categories:

- Guam Judiciary;
- Other Justice and Public Safety Agencies; and
- Other Agencies.

Figure 1: Guam Business Environment



2.3.1 Guam Judiciary

The Guam Judiciary is composed of the Supreme Court and the Superior Court. These courts are described below.

2.3.1.1 Supreme Court

The Supreme Court is the court of last resort on Guam, and its three justices preside over cases brought before the court. The court's records are managed by the Clerk of the Supreme Court. The Supreme Court has 25 staff positions. In addition to its caseload, the Supreme Court:

- Has jurisdiction over the Guam Bar Association, which is responsible for managing attorney admission and registration, as well as attorney discipline.
- Serves as the Board of Law Examiners. In this capacity, it oversees the administration of the bar exam (twice annually) and admission to the practice of law.
- Oversees the Public Guardian, which monitors court-appointed guardians and acts as guardian for those with no alternative.
- Oversees the Compiler of Laws, which publishes Judiciary of Guam opinions, the Guam Code Annotated, Guam Administrative Rules and Regulations, and other official publications of the Government of Guam.

Supreme Court case filings for 2008 are shown in the table below.

Case Type	2008 Filings
Civil	103
Criminal	41
Attorney Discipline	12
Pro Hac Vice *	7
Promulgation Order	3
Writ of Mandamus	3
Total	169

** Pro Hac Vice cases are applications by non-Guam attorneys to file an appearance*

2.3.1.2 Superior Court

The Superior Court is the trial court of general jurisdiction and is overseen by a presiding judge and the Administrator of the Courts. Its seven judges and one hearing officer hear criminal, civil, juvenile, probate, small claims, traffic, and child support cases. Additionally, the court has established specialty courts for adult drug, juvenile drug, and mental health cases, and a Northern Court Satellite, with a full-time magistrate. It also plans to establish a specialty court for driving under the influence cases. In addition to the Administrator of the

Court's office (8 staff positions) and judge's chambers (32 staff positions), the Superior Court is divided into 11 organizational units¹:

- Courts & Ministerial Division (92 staff positions) – maintains all court records and provides all clerk functions for the Superior Court, inclusive of the Northern Court Satellite.
- Financial Management Division (18 staff positions) – manages all court finances, including payroll, and performs back-office accounting functions for court case management.
- Client Services & Family Counseling Division (11 staff positions) – provides counseling and education to families interacting with the court.
- Judicial Hearing Division (5 staff positions) – hears and decides child support cases.
- Human Resources Division (9 staff positions) – manages personnel-related matters for the Judiciary.
- Management Information Systems Division (10 staff positions) – supports all of the technology needs of the Judiciary.
- Marshal's Division (68 staff positions) – provides service of court documents and courtroom security.
- Probation Services Division (69 staff positions) – provides pre-trial and sentenced supervision. At the end of 2008, probation was supervising 2,931 adults and 577 juveniles on probation, and 2,513 persons on pre-trial supervision.
- Procurement and Facilities Management Division (25 staff positions) – oversees all procurement activities and manages contracts.
- Traffic Violations Bureau/Small Claims Division (staffing is included in Judge's Chambers) – hears and decides citation and small claims cases.
- Court Programs Office (10 staff positions) – applies for and manages grants for court programs (e.g., specialty courts).

Superior Court filings for 2004 – 2008 are shown in the table below.

Court Cases	2004	2005	2006	2007	2008
Adoption	54	56	66	59	67
Child Support	579	576	575	607	476
Civil	1,322	1,307	1,529	1,569	1,553
Criminal Felony	449	485	564	618	618
Criminal Misdemeanor	975	940	1,044	1,084	1,194
Domestic	2,153	2,494	927	881	868
Juvenile Division	465	242	264	362	405

¹ Division descriptions do not address all division functions and are only intended to provide a high level understanding of division responsibilities.

Court Cases	2004	2005	2006	2007	2008
Juvenile Special Proceedings	955	947	979	983	944
Juvenile Drug Court	144	141	214	169	151
Land Registration	4	2	4	1	3
Probate	146	162	157	172	215
Special Proceedings	273	219	199	228	247
Small Claims	3,178	2,329	3,539	2,443	2,214
Foreign Orders	2	1	3	2	0
Protective Orders	0	0	61	83	81
Total	10,699	9,901	10,125	9,261	9,036

Probation Cases	2004	2005	2006	2007	2008
Adult Probation	773	752	814	789	804
Pretrial Services	1,092	1,172	1,326	1,355	1,465
Juvenile Probation	244	237	303	384	645
Total	2,109	2,161	2,443	2,528	2,914

Client Services and Family Counseling Division (CSFC) Cases	2008
Criminal Felony	305
Criminal Misdemeanor	329
Child Support	3
Domestic Relations	29
Juvenile Delinquency	54
Juvenile Proceedings	61
Special Proceedings	2
Juvenile Drug Court	2
Protective Order	3
Other	8
Total	796

Jury Management Activities	2008
Jury Orientations	12
Jury Trial	110
Jury Section	59
Grand Jury Selection	2
Grand Jury Days	117
Jurors Present	13,531

Office of the Public Guardian Referrals	2008
Individuals	57
Other Sources	59
Total	106

2.3.2 Other Justice and Public Safety Agencies

Several justice and public safety agencies have direct interaction with the Guam Judiciary. These include:

Attorney General (AG). The AG is responsible for prosecuting offenses, handling civil actions in which the government is an interested party, and enforcing payment of child support.

Guam Police Department (GPD). GPD provides law enforcement services for the entire island.

Public Defender (PD) and Alternate Public Defender (APD). The PD provides legal representation to indigent defendants. The APD provides such representation when the PD has a conflict of interest in representing the defendant.

Guam Department of Corrections (DOC). DOC operates the men's and women's prisons and supervises inmates who are released on parole.

2.3.3 Other Agencies

Other agencies that interact with the court or receive information from the court include:

Department of Revenue and Taxation/Division of Motor Vehicles (DMV). DMV maintains motor vehicle and driver records, and issues driver licenses.

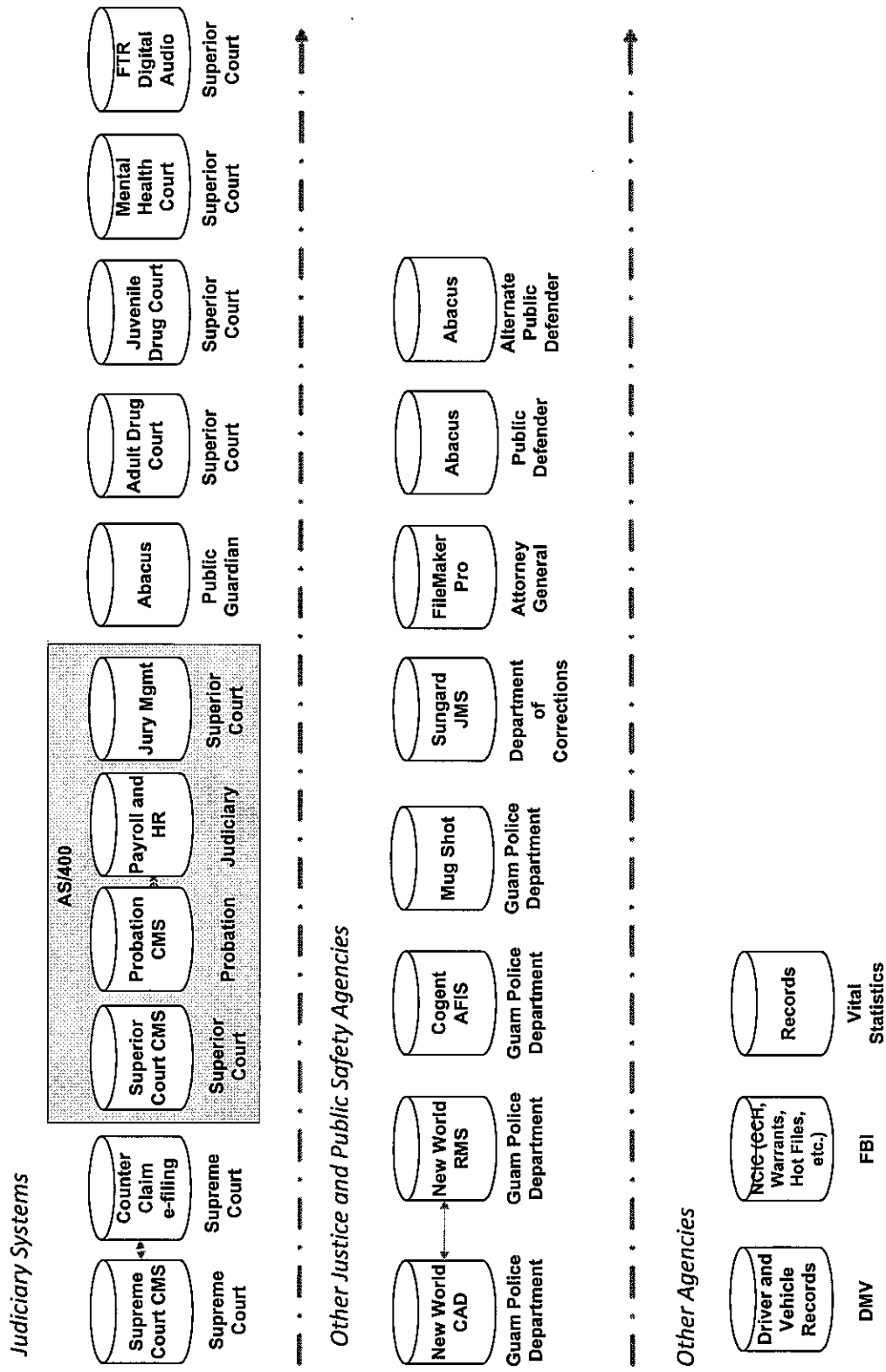
Department of Public Health & Social Services/Office of Vital Statistics. The Office of Vital Statistics maintains official records regarding births, deaths, marriages, dissolutions of marriage (divorces), and name changes.

Federal Bureau of Investigation (FBI). The FBI is the principal investigative arm of the United States Department of Justice. It has the authority and responsibility to investigate specific crimes assigned to it. The FBI also is authorized to provide other law enforcement agencies with cooperative services, such as fingerprint identification, laboratory examinations, and police training.

2.4 Current Technology Environment

Although existing legacy systems have served the needs of the Judiciary fairly well for many years, they are not meeting all of the current requirements mentioned by various stakeholders. Key needs have been identified in the areas of flexibility, data quality, data presentation, ease of use, security, external interface capabilities, reports, and ad-hoc reporting capability. The information systems and interfaces employed by the Judiciary and other related agencies are depicted in **Figure 2** and are described below.

Figure 2: Guam Current Justice Technology Architecture



2.4.1 Guam Judiciary

The Guam Judiciary currently maintains and operates several applications to support management and operations of the courts. Most of these applications were developed and are supported by DMR (Data Management Resources, LLC, a Guam based Limited Liability Corporation),² and are run on an IBM AS/400 as character-based systems developed in RPG. The applications are covered by a maintenance agreement with DMR and are operated by in-house Judiciary MIS staff. The applications include both court and probation case management functions, and administrative functions that now would be characterized as an enterprise resource planning system.

The AS/400 applications are:

- Superior Court CMS – provides comprehensive case management capabilities for all case types, and some jury management functions; and
- Probation CMS – tracks pre-trial and sentenced supervision.

The ERP system portion of the system includes the following functions:

- Financial - general ledger, accounts receivable, accounts payable, payroll, cash receipts, fixed assets, inventory, and pass-through funds (e.g., jury, court appointed attorneys, and guardianship);
- HR – timekeeping, position control, benefits, leave management, applicant tracking;
- Procurement – purchasing, contracts;
- Budgeting; and
- Grants Management.

Additionally, the Judiciary currently employs other applications that are not integrated with the AS/400 platform or with each other, including:

- Supreme Court CMS – provides basic tracking of appeals cases. This application was written by a local company using Borland's Delphi. It is client-server based, with a fat client and a Microsoft SQL Server backend. It is currently maintained in-house by MIS.
- Counterclaim, Inc.'s electronic filing solution – provides for e-filing of cases with the Supreme Court. It interfaces with the Supreme Court CMS.
- AbacusLaw – provides case management capabilities for the Public Guardian. It does not interface with either CMS and is not used for trust accounting.

² Data Management Resources, LLC, was founded as a sole proprietorship and transitioned into a limited liability company, with no connection to Fujitsu, Quebec, or other firm off Guam using the same acronym. The firm has specialized in providing AS/400 custom programming and consulting services to the government of Guam and to private industry. www.dmrquam.com

- For the Record (FTR) – provides for digital audio recording and indexing of Superior and Supreme Court courtroom proceedings. This application does not interface with either CMS.

The MIS Division has licensed the Elite Document Solutions IMS 21 and Vanguard Systems Inc., document imaging system for imaging criminal case documents. The Fujitsu scanners currently being used were carefully selected for speed and functionality. Some were selected for high speed bulk processing as well as for delicate materials to include large format type of documents. This equipment will be available for use with the Judiciary's new CMS, but that determination will be dependent on the vendor that will be awarded.

The Judiciary does not have any software applications to support jury management or for management of the practice of law.

2.4.2 Other Justice and Public Safety Agencies

Information systems employed by other justice and public safety agencies are described below.

The Guam Police Department (GPD) uses:

- New World Systems, Inc. law enforcement records management system (RMS) and computer-aided dispatch (CAD) system.
- Cogent automated fingerprint system (AFIS is owned, operated and maintained by the Judiciary; live scan stations utilized by police precincts, GPD Forensic Science Division, and/or GPD Records and Identification Section are operated and maintained by GPD).

DOC uses the SunGard jail management system, which runs on the Department of Administration's IBM AS/400.

The AG currently uses a FileMaker Pro database application to support operations.

The PD and APD both use AbacusLaw to manage their caseloads and offices. The two offices use separate instances of the application (i.e., separate databases). Neither current instance of AbacusLaw interfaces with any other system, and the agencies do not use its trust accounting features.

2.4.3 Other Agencies

Information systems used to maintain information for other justice-related agencies in Guam are discussed below.

Department of Revenue and Taxation/Division of Motor Vehicles (DMV). DMV employs driver records and vehicle registration applications on the Department of Revenue and Taxation's IBM AS/400.

Department of Public Health & Social Services/Office of Vital Statistics. The Office of Vital Statistics employs an application on the Health Department's IBM AS/400.

Federal Bureau of Investigation (FBI). The FBI maintains the National Crime Information Center (NCIC), which is a computerized index of criminal justice information (e.g., criminal record history information, fugitives, stolen properties, and missing persons). It is available to federal, state, and local law enforcement and other criminal justice agencies, and is operational 24 hours a day, 365 days a year.

GPD, AG, Superior Court, DOC currently enter data directly into NCIC. The Judiciary connects directly to the FBI via a CJIS WAN which will be replaced with a Multiprotocol Label Switching (MPLS).

2.5 *Planned Technology Environment*

Guam is actively planning to increase greatly the support that information technology provides to its justice operations. Numerous new applications will be implemented and most justice systems will be integrated through an exchange broker. The MIS Division will support applications running on an SQL Server database.

Although no data exchanges are currently implemented that are compliant with National Information Exchange Model (NIEM) standards, future interfaces will be NIEM-compliant when the other justice partners can accommodate it.

MIS Division standards and best practices do not permit access to production databases directly via the Internet, so Offerors must propose a replicated version of court data outside of the firewall for public access. There will be instances to ensure security where a cost is associated with access where patrons are normally charged a fee at the counter.

The Guam Future Justice Technology Architecture is depicted in **Figure 3**, and is described below.

2.5.1 *Guam Judiciary*

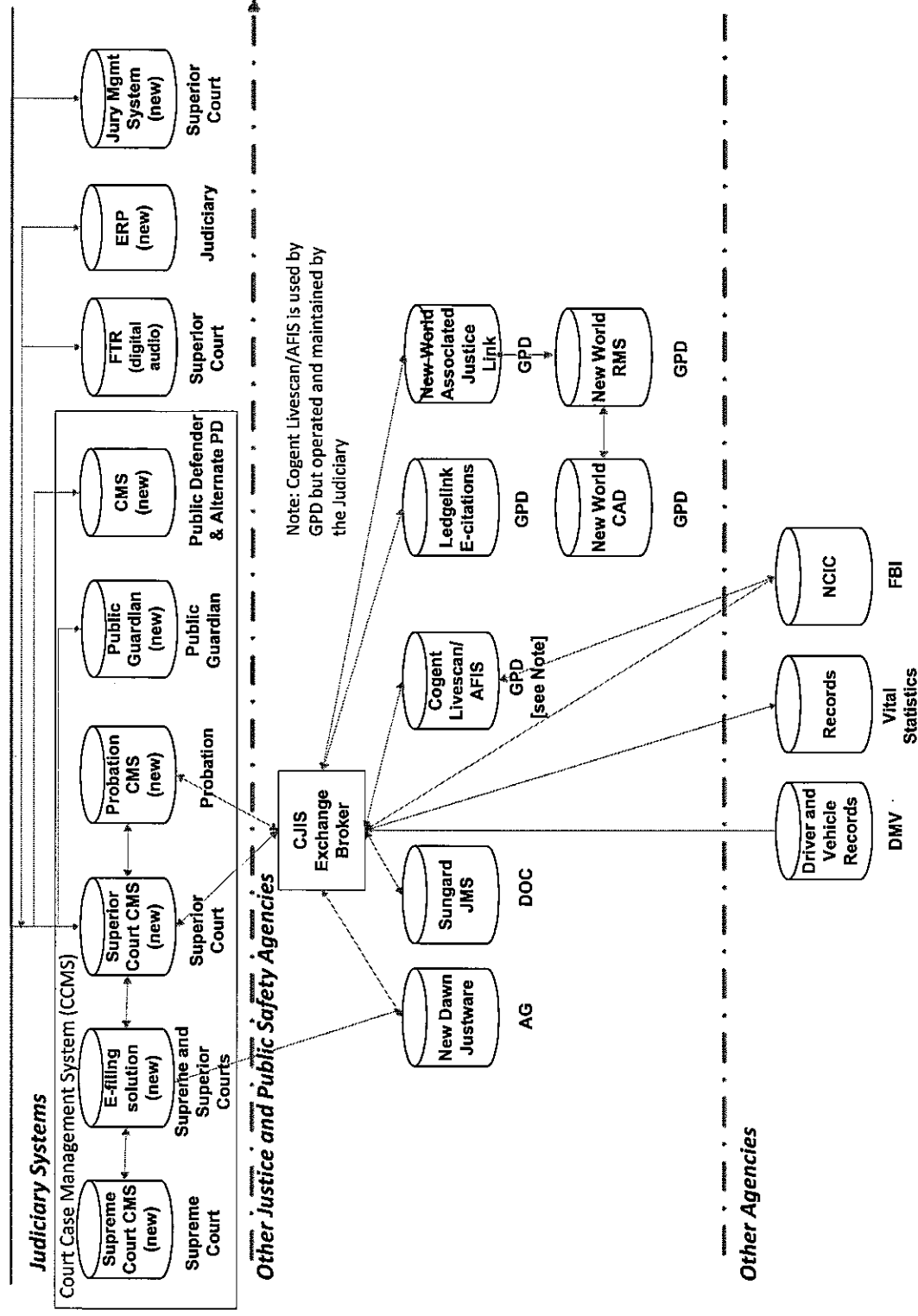
With implementation of the new CMS, the Judiciary desires to operate primarily with electronic court records and to print paper only on demand, and afterward to shred it. The future environment will employ several new and existing applications to support management and operations of the courts. These applications include:

- A new CMS that supports all units and divisions of the Judiciary, including the Supreme Court, Superior Court and its Probation Division, Client Services and Family Counseling Division, and the Public Defender/ Alternate Public Defender.³ This system will provide the public with direct access to non-confidential case information and documents. Exports from the CMS would provide FBI registry information (e.g., dispositions, sex offender registration, warrants, and protection orders) through interfaces.

³ More than one CMS product may be necessary to support the Supreme Court, Superior Court, Probation/CSFC, and Public Defender, and some functions (e.g., those used to manage the practice of law) may be outside of the CMS in separate applications, as determined by the successful Offeror. For purposes of this document, the collective system is referred to as CMS.

- A new e-filing system that interfaces with the CMS, supporting case management in the Supreme Court and the Superior Court.
- A new Enterprise Resource Planning system that provides accounting, payroll, and human resource capabilities. This will interface with the new CMS to distribute revenue collected by the court and to pay vendors for case-related services provided to the Judiciary.

Figure 3: Guam Future Justice Technology Architecture



- A new jury management system. This will interface with the new ERP for juror payment.
- The CJIS Exchange Broker. This will be the communication hub for justice related organizations on Guam and throughout the United States.
- The existing FTR application for digital audio recording of court proceedings. This may interface with the new CMS for the Superior Court.

The Judiciary is considering using a "cloud" based e-mail system, allowing it to avoid costs involved with spam blocking, storage, archiving, backup, and maintenance.

2.5.2 Other Justice and Public Safety Agencies

The Guam Police Department and the Attorney General are planning technology changes that will significantly affect the justice technology environment. The future application environment of each justice and public safety agency is described below.

GPD will continue to use New World RMS and CAD, as well as the Cogent AFIS. In addition, GPD is in the process of implementing:

- The booking module of the New World System.
- Electronic citations using Ledge Light Technologies. This will allow citations to be captured electronically and transmitted to the Superior Court (through the CJIS Exchange Broker) for processing.
- New World's Associated Justice Link, which will replicate selected data for query and exchange with other agencies through the CJIS Exchange Broker.

The AG is in the process of implementing the JustWare/Prosecutor application from New Dawn Technologies. It will exchange data with the DOC, GPD, and Superior Court systems, as well as the NCIC, through the CJIS Exchange Broker. The AG will be able to e-file through the electronic filing solution.

DOC will continue to use SunGard Jail Management System, and is purchasing the probation module of the SunGard system for their parole division. It will exchange data with the AG, GPD, and Superior Court systems, as well as NCIC, through the CJIS Exchange Broker.

The Public Defender (PD) and Alternate Public Defender (APD) seek to become users of the new CMS, while maintaining their data separately from each other and from other CMS users. Both agencies will be able to e-file through the electronic filing solution.

2.5.3 Other Agencies

No changes to the FBI, DMV, or Vital Statistics information systems are expected, though the implementation of the exchange broker (described below) will facilitate improved sharing of data and documents.

The Marshal's CJIS Systems Officer (CSO/Deputy Chief Marshal) of the Marshals Division/Judiciary enters Criminal Felony Warrants into NCIC. Additionally, the CJIS Project Coordinator from the Marshal's NCIC Unit enters disposition data into NCIC. The Probation Division Sex Offender's Registry Management Office enters sex offender convictions into the Sex Offender Registry, and the Courts and Ministerial Division enters protection orders into the Family Violence Registry. The Judiciary will look to eliminate this data entry as interfaces are implemented.

Integration

Currently, there is very little sharing of information between Guam justice and public safety information systems. In the future environment, numerous systems will interface through an integration hub ("CJIS Exchange Broker") that will provide for data access and data exchange (see **Figure 3**). The Judiciary of Guam is currently working with Datamaxx to implement a National Crime Information Center (NCIC) Communications Message Processor (CMP) System/Computerized Criminal History Records Application (CCH). Using Datamaxx's Omnixx toolset, this solution will provide a virtual computerized criminal history system that accesses stakeholder (GPD, AG, Judiciary, DOC) systems in real time and provides the most current and accurate information available from each stakeholder system to the user requesting CCH information. This solution will also provide the capability to transfer data between Guam justice systems.

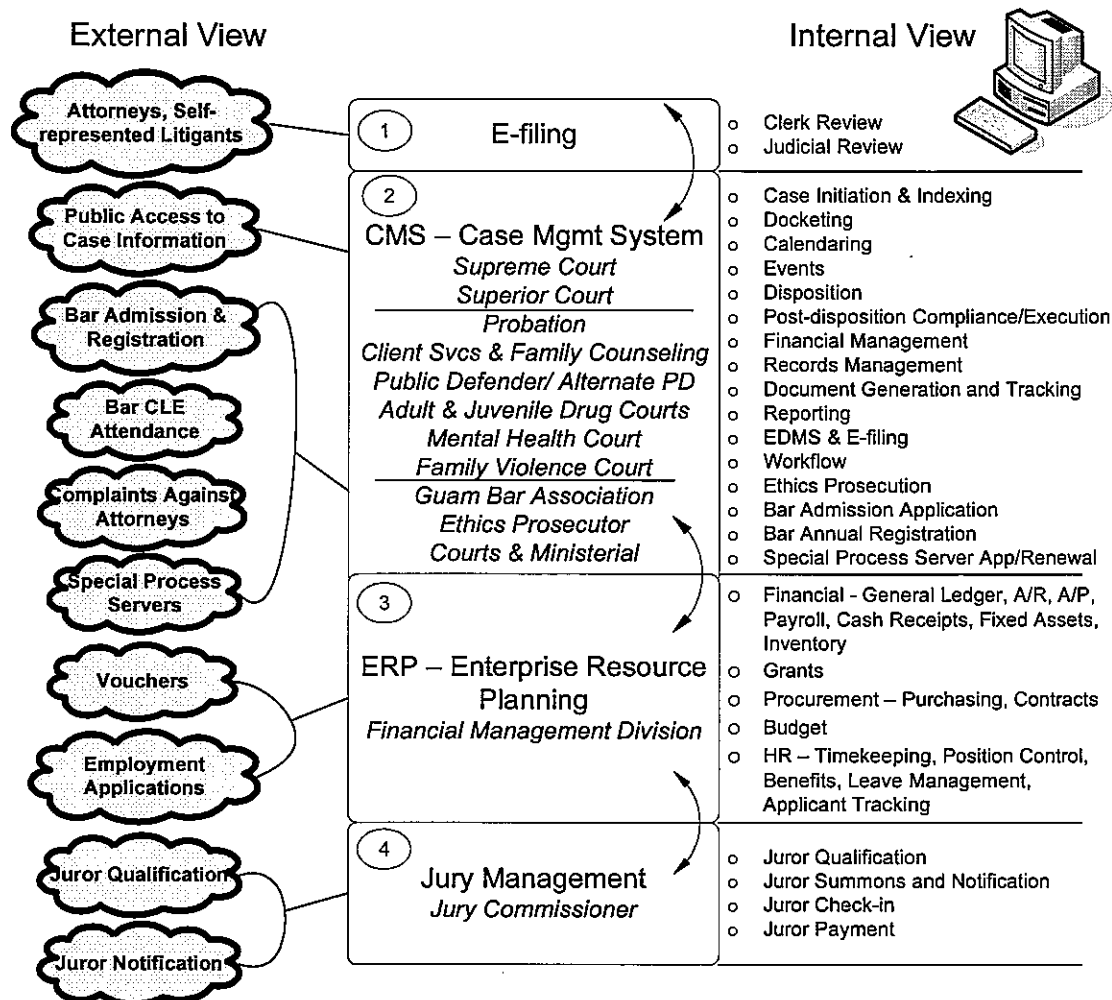
The Datamaxx solution includes territorial-specific applications for developing and maintaining "hot files," which will allow queries from system users pertaining to wanted or missing persons, stolen vehicles, and Amber alerts. The solution also includes the ability to communicate directly with NLETS, using NLETS XML-formatted transactions.

2.6 Vision for the New Systems

This subsection contains an additional depiction of the Judiciary's future application environment and describes the anticipated future environment with respect to electronic filing; jury management, and enterprise resource planning.

2.6.1 Future Application Architecture

The Guam Judiciary also desires to add applications to create the application architecture depicted in **Figure 4**:

Figure 4: Future Application Architecture

2.6.2 CMS Operational Approach

Through the new CMS (and e-filing system), the Judiciary contemplates maintaining all files and records in electronic format as the official record of the Judiciary, rather than on paper. This is a major departure from tradition. The vision is that there will be no paper case folders except for “skinny” files – just those documents necessary for a particular hearing, if desired by a judge, or for other limited, temporary purposes. The judges and staff have agreed to operate with an electronic case file. This will help the Judiciary achieve its goals stated above. Achieving this goal will require careful attention to the needs of judges and justices on the bench and in chambers.

Operations will accommodate litigants who file paper documents by clerks scanning the paper into the document management system (DMS) and linking it to docket entries for access.

Judges and justices want to be able to access the CMS from off-island, so the Superior Court CMS and Supreme Court CMS must be browser-based. This is not a critical factor for the Probation Division use of the CMS. The e-filing system must be browser-based.

2.6.2.1 Highly-Configurable Framework Approach to CMS

The Judiciary does not seek systems that will be customized to Guam's particular requirements, but systems that can be configured to their requirements. As business requirements and business rules change, the Judiciary would like the agility to change configurations without waiting for the vendor to issue a new release of the system. The more configurable a system is, the more likely it will be a finalist in the procurement process.

Use of highly-configurable systems assumes that there will be a significant effort in the beginning of the project to analyze and configure the operational requirements for the systems. By the time of contract negotiation, the Judiciary plans to make available a set of business process diagrams to assist in project planning. Business processes will have been identified and developed for the purpose of reducing the amount of discovery that the successful Offeror must perform in the steps leading to implementation.

The business process diagrams will graphically show several kinds of information about workflow in a business process for all applications being procured:

- When, in a process, a task completed by one user is routed via workflow to another user who performs a step in the process;
- When, because of the mere passage of time or inaction by a party, the court must take some action (incorporating the concepts of flags and triggers);
- Tasks or activities that are automatically performed when an event, status or condition triggers a chained set of tasks; plus
- Business rules derived from policy choices and operational procedures of the Judiciary, judicial administrative orders, Rules of Civil Procedure, and Guam Code Annotated – Criminal Procedure, Estates & Probate, etc.

2.6.2.2 Case Types

Numerous types of cases will need to be addressed by the Supreme Court CMS and the Superior Court CMS. These are listed below.

Supreme Court Case Types

- Criminal: felony and misdemeanor appeals
- Civil: domestic, probate, child support appeals
- Writs: Writ of Habeas Corpus, Writ of Mandamus, and Writ of Prohibition
- Special proceedings: marriage performances
- Juvenile proceedings appeals

- Attorney discipline
- Promulgation order
- Certified question

Superior Court Case Types

- Criminal
 - Felony (CF)
 - Misdemeanor (CM)
 - Probable cause (PC)
 - Search Warrant
 - Criminal Collection Court (RS)
- Civil
 - Civil (CV)
 - Probate (PR)
 - Land registration (LR)
 - Protection order (PO)
 - Special proceedings (SP)
 - Small claims (SD)
 - Will (WL)
 - Foreign order (FO)
- Family (domestic relations) juvenile
 - Juvenile proceedings (JP)
 - Juvenile delinquency (JD)
 - Adoption (AT)
 - Juvenile drug court (JC)
 - Child support (CS)
 - Domestic (DM)
- Traffic
 - Traffic citations (1C)
 - Boating citations (1B)
 - Smoking citations (IA)
 - Littering citations (IL)
 - Animal control
 - Parking

The Courts and Ministerial Division also manages cases in the following unit:

- Family violence registration (protection orders and stay away orders)

2.6.2.3 Probation Services Division

The Probation Services Division has the following case types:

- Pretrial supervision
- Specialty (treatment) courts
- Post sentencing supervision
- Equivalent categories for juveniles
- Non-supervision compliance tracking

The Probation Services Division manages cases in the following units:

- Office duty/intake
- Adult
- Pretrial services
- Adult drug unit
- Alternative sentencing office
- Juvenile
- Adult drug court
- Juvenile drug court
- Mental health court
- Sex offender registration

All probation cases come from the Superior Court, so data populating the Probation Division's cases should be copied from the Superior Court CMS, and should remain separate from the court's data. Probation information should be primarily person-oriented, rather than case-oriented.

2.6.2.4 Client Services & Family Counseling Division (CSFC)

Services provided by CSFC include the following:

- Counseling assessments
- Forensic psychological evaluations
- Pretrial diversion cases
- Courses of treatment

All CSFC cases come from the Superior Court, so data populating the CSFC's cases should be copied from the Superior Court CMS, and should remain separate from the court's data. CSFC information should be primarily person-oriented, rather than case-oriented. CSFC currently uses a Microsoft Access application.

2.6.2.5 Public Defender/ Alternate Public Defender (PD/ APD)

The Public Defender Services Corporation and its operating units, the Public Defender's Office and the Alternate Public Defender's Office, were created under public law and are funded by legislative appropriation. Though not part of the Judiciary, these functions are closely allied with the court system, and are maintained independent of it.

Attorneys in these offices represent criminal defendants for whom the Public Defender or Alternate Public Defender is appointed. A victim specialist in the public defender's office prepares protection orders.

All PD/APD cases come from the Superior Court, so data populating the PD/APD's cases should be copied from the Superior Court CMS, and should remain separate from the court's data. The Offeror must provide separate instances of the CMS database for the Public Defender's Office and for the Alternate Public Defender's Office, not viewable by the other office, in order to eliminate visibility by users of the CMS in other offices (i.e., to prevent any user from seeing that a potential witness has appeared in the system, as a tip-off that the person may be interviewed or subpoenaed by defense counsel).

2.6.3 CMS/E-filing Operational Approach

As of the time of issuing this RFP, the Judiciary has issued rules only for e-filing with the Supreme Court, found at www.justice.gov.gu/Efiling/images/efilingrules.pdf. Rules will be developed for e-filing with the Superior Court, and current e-filing rules will be reviewed.

The e-filing system will be the front end of the CMS, holding filed documents only long enough for the CMS and document management system (DMS) to receive them. The Judiciary's goal is to implement e-filing for all cases managed by units and divisions of the Judiciary (e.g., Public Guardian cases, bar exam applications, complaints against attorneys).

If an Offeror proposes case opening filings, e-filed documents will be assigned a temporary case number, and then accepted into the CMS after payment (if required) and clerk review. An application for waiver of filing fee process will be required, and desirable functions include a means to submit draft orders to the court, mass case filings, and an Internet-based form's creation process for pro se litigants.

Guam has launched a self-represented litigants' website at www.guamselfhelp.org that provides interactive interviews for several types of legal actions, using Access to Justice technology. Offerors can decide whether to interface with this software by taking its output as input to e-filing, or to supplant it.

The Judiciary seeks e-filing that is publicly supported, rather than entirely paid for by users on a pay-for-access basis. The Attorney General's Office and other public agencies will not be expected to pay for e-filing access.

2.6.4 ERP Operational Approach

Through the new ERP, the Judiciary contemplates maintaining as many as possible of the files and records in the Financial Management Division in electronic format. This is intended to streamline the work of the office in the financial, human resources, procurement, and grant management areas. It will also help the Judiciary achieve their goals stated above and become more environmentally responsible. Data exchange with the CMS and the Jury Management System will further streamline operations. The Public Guardian will use the ERP for trust accounting for the cases in which it acts as fiduciary.

2.6.5 Jury Management System Operational Approach

Through the new Jury Management System, the Judiciary contemplates offering electronic interaction with potential and selected jurors, and performing jury management functions using electronic records as much as possible. Jurors who do not have internet access will still be accommodated using traditional paper methods to allow all qualified citizens to have the opportunity to be considered for jury service.

The Judiciary of Guam desires a jury management system that will support all aspects of jury management in the Superior Court. With some exceptions, a paperless system is desired. The system still must produce qualification and summons materials for potential jurors, but must offer the opportunity for a juror to respond and to communicate with the court over the Internet. Any paper received by the Judiciary will be scanned and placed in the DMS. The system should interface with the case management system so that case-specific records of juror service can be maintained. With respect to juror payment, the system should interface with the ERP.

Court events are scheduled every business day of the year in Guam, and jurors are constantly needed. There are about 10,000 individuals on Guam who can serve on juries, so it is not uncommon for many potential jurors to know participants in a case. Civil trials may be multi-day, and felony trials may go on for weeks. It is necessary to call 150 to 300 jurors for a felony case, and 60 to 80 for a misdemeanor case.

Jurors serve for 18 months. They are active for three months and on call for 15 months. Grand jurors are called for 18 months and are active for six months. There are four grand jury panels active at any time, and they meet weekly. When any juror serves, they are excused from further service for 18 months.

The Judiciary of Guam is responsible for merging source lists – driver's license and voter registration – and eliminating duplicates. This is currently done by the MIS group. Qualification forms are sent to potential jurors and, when they are returned, updates are made to the system. Screening is done based on legal exemptions.

The current system selects jury panels randomly from the master list. About 300 jurors are summoned per month. Active jurors must call nightly for reporting instructions. On-call jurors are rarely contacted. Jurors who are not selected are released.

When jurors report, they are checked in manually. (This process should be automated, e.g., with electronic rosters, bar coded name badges, and bar code scanners.) The fact that jurors reported is recorded in the current jury management system. At present, there is no recording of the fact that a juror is released from service. Sequestering of jurors is rare.

If a juror fails to appear, Order to Show Cause forms may be prepared and distributed manually. This is a decision for the judge. Those who do not appear may be subject to a fine and confinement. If potential jurors have a doctor's certificate or some type of appointment, their service may be rescheduled.

All jurors receive a certificate of service. Payments and waivers of payment (when the fees are paid to a juror's employer agency) are input into the system following service. Payments are currently processed every two weeks. An interface with the ERP system will eliminate manual operations associated with payment.

3 Procurement Information and General Guidelines

This section presents information regarding the procurement process. See Section 1 for the procurement schedule.

3.1 General Information

Issued By: Mr. Perry C. Taitano, Administrator of the Courts and Purchasing Officer
Judiciary of Guam
Guam Judicial Center
120 West O'Brien Drive
Hagåtña, Guam 96910

Procurement Website: All RFP amendments, schedule changes, and questions and answers will be posted to the procurement web site:

<http://www.guamcourts.org/information/proc.html>

Potential Offerors are encouraged to check this web site frequently for updates.

Questions/Clarifications and Intent to Propose: Questions and requests for clarification concerning this RFP, and the filing of intent to propose, shall be directed in writing by e-mail to the following:

Mr. Raymond L. G. Taimanglo, Procurement & Facilities Mgt. Administrator
E-mail: rtaimanglo@mail.justice.gov.gu ; and

Mr. Paul Zeigler, National Center for State Courts
E-mail: pzeigler@ncsc.org

Optional Pre-Proposal Conference: The Guam Judiciary will host a telephonic pre-proposal conference to discuss the RFP and explain procurement requirements. The conference call telephone number and access code are shown below.

Pre-Proposal Conference Call-in Number: 888-809-4012

Access Code: 3084310

Proposals: The Offeror's proposal will consist of two separate but related parts: The technical proposal and the cost proposal. These are to follow the format described below and are to be submitted in separate envelopes:

- **Technical Proposal.** One (1) original and four (4) paper copies and three (3) electronic copies (on CD or DVD) of the technical proposal are to be provided in a sealed envelope or box (separate from the cost proposal). Electronic files are to be in Adobe's Portable Document Format (PDF).

- **Cost Proposal.** One (1) original and four (4) paper copies and three (3) electronic copies (on CD or DVD) of the cost proposal are to be provided in a sealed envelope or box (separate from the technical proposal). Electronic files are to be in Microsoft Excel format.

No cost information is to be included in the technical proposal.

Alternative Proposals From Related Parties/Multiple Proposals Received From One Vendor: The Judiciary will accept one (1) or two (2) alternative proposals, and they will be considered separately, but the proposals must be consistent with the guidelines described in **Figure 5** and **Figure 6** below. Proposals submitted under the structure in **Figure 6** will be judged to be non-responsive.

Proposals must be submitted to the Office of the Procurement & Facilities Management Division located at the Guam Judicial Center, 120 West O'Brien Drive, Hagatna, Guam 96910, no later than the date and time set forth in the table of activities in the Executive Summary.

Figure 5: Proposal Structures That Are Allowed

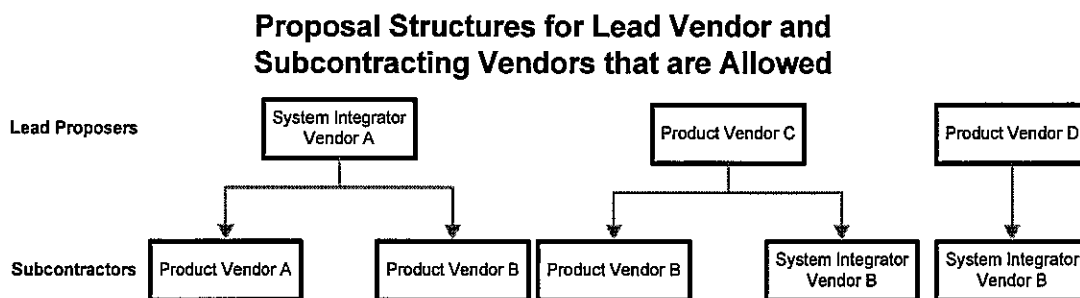
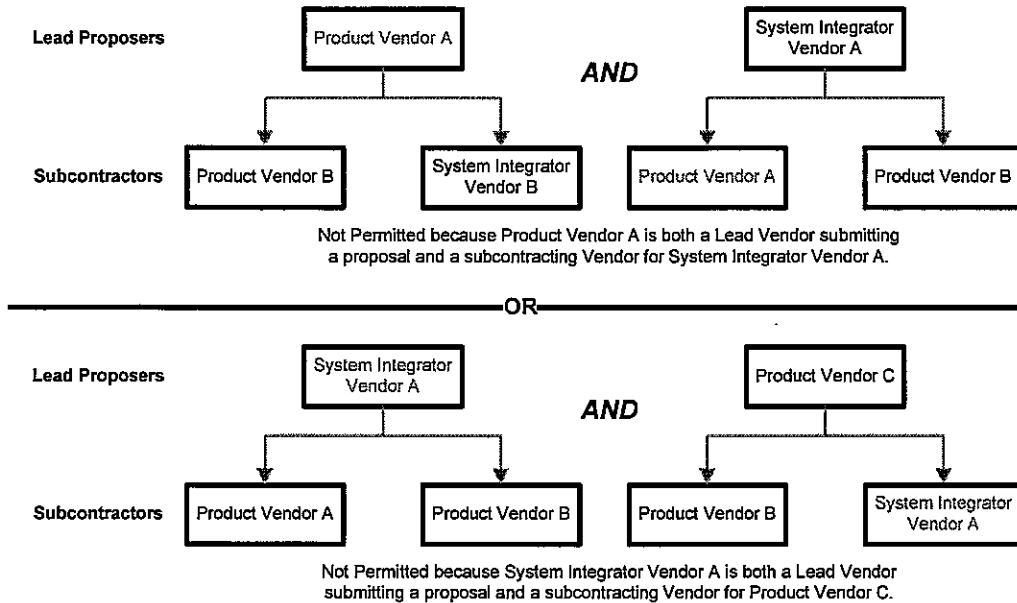


Figure 6: Proposal Structures That Are Not Allowed

Proposal Structures for Lead Vendor and Subcontracting Vendors that are NOT Allowed



3.2 Laws and Regulations

This RFP is governed by the Judicial Council of Guam Procurement Regulations adopted on March 19, 2004, as amended, and the applicable laws of Guam. This RFP is issued pursuant to Section 6(B)(1) of the Procurement Regulations on Competitive Sealed Proposals, because procurement by competitive sealed bid is not practicable because of the technical nature of this procurement project. Offerors may reference the regulations at www.guamcourts.org/Information/images/ProcurementRegulations.pdf.

This procurement is subject to the General Terms and Conditions set forth in Appendix 1 and the financial and administrative provisions set forth in the State Fiscal Stabilization Fund Government Services Fund set forth in Appendix 2.

Prior to award of the Contract and Notice to Proceed, the successful Offeror shall be licensed to do business on Guam and shall execute the following documents:

- Major Shareholders Disclosure Affidavit (See Appendix 3)
- Non-Collusion Affidavit (See Appendix 4)

Pursuant to Guam law, this RFP and any contract awarded hereunder are subject to appropriation and the availability of funds.

If no funds are approved by the Judicial Council or the Guam Legislature in the fiscal year following any contract entered into between the parties, the contract will automatically expire at the end of the existing fiscal year for which funds have been appropriated.

The Judiciary of Guam reserves the right without prejudice to reject all proposals of Offerors which have been submitted in response to this RFP, if it is determined to be in the best interest of the Judiciary of Guam, for any reason allowed by law and/or regulation or for any reasons whatsoever.

This RFP and any contract awarded hereunder shall be construed under the Judicial Council Procurement Regulations and the applicable laws of Guam.

Whenever the terms “will”, “must”, “shall”, or “is required” are used in this RFP, the referenced specification/requirement is a mandatory requirement. Failure to meet any mandatory requirement may cause rejection of the proposal.

The Offeror’s response to the RFP will be considered as the Offeror’s formal offer.

By submission of a proposal, the responder warrants that the information provided is true, correct, and reliable for purposes of evaluation for potential contract award. The submission of inaccurate or misleading information may be grounds for disqualification from the award, subsequent cancellation of the contract, if awarded, as well as subject the responder to suspension or debarment proceedings, as well as other remedies available by law.

3.3 *Written Requests for Interpretations/Clarifications*

No oral interpretations will be made to any offerors as to the meaning of specifications or any other contract documents. All questions pertaining to the terms and conditions or scope of work of this proposal must be sent in writing by e-mail to the Procurement & Facilities Management Administrator and received no later than the deadline specified in the RFP. Responses to questions may be handled as an addendum to the RFP if the response would provide clarification to requirements of the proposal. All such addenda shall become part of the contract documents. The Guam Judiciary will not be responsible for any other explanation or interpretation of the proposed RFP made or given prior to the award of the contract. The Guam Judiciary will be unable to respond to questions received after the specified deadline.

3.4 *Exceptions*

This RFP text, Offeror proposals, answers to vendor questions, and Best and Final Offer documents, will become part of the contract for this project. If the Offeror has an objection to, or concern with, any functional, technical, or legal requirement in this RFP (including Attachments), the Offeror must consolidate and document all concerns and suggested changes in a separate “Exceptions” section at the end of the Offeror’s technical proposal.

3.5 *Amendments to the RFP and Withdrawals of Proposals*

Amendments to this RFP shall be identified as such and shall require that the Offeror acknowledge receipt of all amendments or addenda issued in their proposal. Failure to acknowledge any amendments/addenda issued may result in disqualification.

Amendments/addenda shall be posted to the procurement web site within a reasonable time to allow prospective bidders to consider them in preparing their proposals.

Offerors may withdraw proposals (e.g., for modification) and resubmitted at any time prior to the proposal due date. Proposals may be withdrawn at any time prior to contract signing.

3.6 Treatment and Opening of Proposals

Proposals shall not be opened until the due date. Proposals shall not be opened publicly nor disclosed to unauthorized persons, but shall be opened in the presence of two or more procurement officials. A register of proposals shall be placed on the same web site as this RFP and shall be opened to the public only after award of the contract. Proposals of offerors who are not awarded the contract shall not be opened to public inspection.

3.7 Evaluation of Proposals

Evaluation of proposals will be conducted in two phases. In Phase I, the evaluation committee, consisting of the Purchasing Officer and his assignees, will read and rate each technical proposal (see evaluation criteria below). The committee will then determine which offerors to invite to participate in the second phase of the evaluation. A representative of the Judiciary will contact each "finalist" to schedule system demonstrations.

In Phase II, each finalist will provide a presentation of its proposal and an on-site demonstration of its proposed solution (see the next subsection for more information on system demonstrations). The evaluation committee members will have an opportunity to revise their scores from Phase I, based on the presentations/demonstrations, and the committee will establish a final score for each technical proposal. This final score will determine and rank the best qualified offerors. The cost proposal of the highest ranked offeror will be opened and evaluated and that offeror may be invited to participate in contract negotiations. If a contract cannot be agreed upon with that offeror, the cost proposal of the next highest ranked offeror will be considered. This process continues until a contract is awarded or until all proposals are rejected.

Proposal scoring criteria, and relative weights, to be applied in each phase are:

Phase 1: Detailed Proposal Assessment		
	Factor	Points
1.	Requirements Satisfaction	
	Superior Court CMS	250
	Supreme Court CMS	100
	E-Filing	25
	Jury Management	25
	ERP	150
2.	Technology Solution	200
3.	Implementation Schedule and Methodology	100
4.	Proposer Profile & Experience	150
	Total	1,000

Phase 2: Functional Assessment and Solution Demonstrations		
	Factor	Points
1.	Phase I Points, as revised after demonstration	1,000
	Total	1,000

3.8 System Demonstrations

Each finalist will be required to provide a three-day demonstration on the island of Guam, during the established demonstration period (see the procurement schedule in Section 1). The schedule will provide time for the finalists to demonstrate the capabilities of each component of its solution. Finalists will be expected to follow the script provided. The script will include the scenarios set forth in **Attachments 1 – 4**, and each finalist will be required to show how each scenario would be addressed using its proposed solution. It is recognized that the vendor system will not yet be configured to work in the Guam Judiciary, and this will be taken into account during the demonstrations.

Each finalist will be required to demonstrate the proposed version/release of each application in its solution. Demonstration of any substitute applications/versions (e.g., while the proposed application/version is being developed) will negatively affect the score assigned to the finalist.

3.9 Negotiation and Award of Contract

Following the evaluation and ranking of the proposals, the highest-scoring Offeror will be promptly notified. The Purchasing Officer conducting the procurement (or designee) shall negotiate a contract with the best qualified Offeror at the compensation determined in writing to be fair and reasonable. Contract negotiations shall be directed toward: (1) making certain that the Offeror has a clear understanding of the scope of work and the essential requirements involved in providing the required services; (2) determining that the Offeror will make available the necessary personnel and facilities to perform the services within the required time; (3) agreeing upon compensation which is fair and reasonable, and doing so while taking into account the estimated value of the required services, and the scope, complexity, and nature of such services. Should the highest-scoring Offeror choose to replace one or more of its team members (e.g., the ERP provider), it must propose a replacement(s) during contract negotiations. Any team replacements must be approved by the Guam Judiciary prior to the conclusion of contract negotiations.

If compensation, contract requirements, contract documents, and any replacements can be agreed upon with the best qualified Offeror, the contract will be awarded to that Offeror; although no award will be made until the Offeror provides proof that a Guam business license has been obtained.

Written notice of award shall be public information and made a part of the contract file.

If compensation, contract requirements, contract documents and replacements cannot be agreed upon with the best qualified Offeror, a written record stating the reasons thereof shall

be placed in the file and the Purchasing Officer shall advise such Offeror of the termination of negotiations which shall be confirmed by written notice within three business days. Upon failure to negotiate a contract with the best qualified Offeror, the Purchasing Officer may cancel the procurement or may enter into negotiations with the next most qualified Offeror. If compensation, contract requirements, contract documents and replacements can be agreed upon, then the contract shall be awarded to that Offeror.

If no contract can be negotiated with any Offeror, the Purchasing Officer may cancel the RFP or proposals may be re-solicited.

3.10 Funding Source

This project is funded in part by FY2009 State Fiscal Stabilization Fund (SFSF) – Government Services, American Recovery and Reinvestment Act of 2009, Division A, Title XIV, Public Law 111-5; CFDA number 84.397. The winning Offeror must commit during contract negotiations to work with the Judiciary on a financing plan for any amount not immediately available.

4 Offeror Response Content and Format

Proposals must provide a simple, straightforward, concise description of the Offeror's capabilities to address the requirements of the RFP. Expensive bindings, color displays, promotional material, etc., are not necessary or desired. Emphasis should be placed on accuracy, completeness, and clarity of content. All parts, pages, figures, and tables must be numbered and clearly labeled. The proposal must be organized with listed items in the sequence indicated.

Proposals must be organized as described below and include the information requested. Failure to include requested information may result in the proposal being declared non-responsive and receiving no further consideration for award of the contract.

4.1 Section 1 - Cover Letter

Provide a cover letter with a title page containing the following:

- Title of Proposal and Submission Date
- Offeror's Name
- Name, title, phone number, e-mail and mailing address of the person who will respond to inquiries regarding the proposal
- Address of the Offeror headquarters
- Address of the location responsible for the Judiciary's accounts
- Acknowledgment of receipt of Amendments/Addenda to the RFP (if any)
- Signature by an individual authorized to bind the proposing entity

4.2 Section 2 - Management Summary

Provide an executive level description of the proposed solution, project team, and approach to ensuring a successful implementation. The Offeror's response must include a narrative description of how the Offeror's proposed solution will satisfy the Business Goals and Operational Goals in Section 2.2 "Guiding Principles." The Offeror must note where third party entities contribute systems or services to the overall solution and/or significant modifications to an entity's system would be required to satisfy the vision.

4.3 Section 3 - Offeror Profile, Qualifications and Experience

Provide the following information regarding the Offeror's team.

- Profile of Offeror's Team of Entities: Provide a brief history of the Offeror's project team and how it is organized (e.g., prime contractor and subcontractors). For each Offeror team member entity, submit the following information:
 - The official company name and address. Indicate what type of entity it is (e.g., corporation, partnership).

- The total number of years that the entity has been in business; and, if applicable, number of years under the present business name.
- The number of years experience that the entity has providing equivalent or related services to those proposed.
- **Organization:** A description of the entity's operation; facilities; business; objectives; and number of employees (both nationally and working on the proposed product).
- **Qualifications and Experience:** The Offeror must have a proven track record of providing, installing and maintaining a CMS/ERP System. Provide a narrative of applicable experience the Offeror has had in implementing and installing the proposed solution. Provide information that highlights the Offeror's particular abilities to successfully meet the Judiciary's requirements.

Describe any pending and completed litigation, including outcomes that have occurred, relating to the Offeror's proposed solution or other courts or legal system related software product(s), maintenance agreement(s) or installation service(s). Disclose whether the Offeror's organization (or any general partner or joint venture thereof) has ever failed to complete a similar project. If so, list the date of commencement of the project and the entity for which the project was to be performed, and explain why the project was not completed. Include the number of times the Offeror entered into negotiations with a potential customer but failed to complete negotiations, and the number of times the Offeror did not implement a product for which a contract was successfully negotiated. Include the reason for each circumstance.

- **References:** Provide at least three references for projects that are of comparable size and complexity to the Judiciary's proposed project, emphasizing systems that have been similarly configured and have been in operation for at least one year. The Judiciary is particularly interested in references that support the items in **Attachments 1 – 4** of this RFP. The Offeror must include, for each reference, the following information:

- Name of court or organization
- Applications installed and version number(s)
- Hardware and database environment
- Implementation date or proposed implementation date
- Number of users accessing the system (if known)
- Contact name, title, street address, telephone number, and e-mail address

The Judiciary reserves the right to contact any courts or organizations using the Offeror's systems to gain additional information that might assist in the decision or contracting process.

Financial Information: The Judiciary reserves the right to purchase credit reports and additional financial information as it deems necessary. The Offeror must provide its federal tax number and the Offeror's Dun & Bradstreet number. The Judiciary is requiring the Offeror to obtain a DUNS number.

- If the Offeror is partnering with other firms, please provide the numbers for each.

4.4 Section 4 - Product History and Future Disclosed Plans

Provide the following information regarding the major components of the proposed solution:

- Describe the history of all major components of the proposed solution, including initial release date, current version number, development history (e.g., was it developed as a marketable package or as a solution for a particular organization), and the environments in which it has been implemented.
- For each major system component, state whether source code will be made available for the application or, if not available, the name of the software escrow service used and the company's policy regarding software escrow updates.
- For each major system component, provide information as to the future direction of product development. Explain long-term development plans to ensure that the product will remain viable in the market. For purposes of this procurement, temporary (one year or less) and limited (to this proposal) non-disclosure requests will be respected by the Judiciary.

4.5 Section 5 - Architecture and Hardware Configuration

In Section 5 of the proposal, the Offeror is to describe the technology architecture of its proposed solution. The architecture should be designed to support satisfaction of the functional requirements detailed in **Attachments 1 – 4**, the interface requirements detailed in **Attachment 8**, and the non-functional requirements detailed in **Attachment 9**. The Guam Judiciary is allowing Offerors great latitude in their selection of technologies; however, the Judiciary prefers Microsoft's Windows operating system and SQL Server database management system.

The Offeror's architecture description should include diagrams and narratives that show the various components of the proposed solution and how they interrelate. At a minimum, the following areas should be addressed:

- Applications
- Operating system(s)
- Database(s)
- Interfaces/integration
- Web services

- End user devices
- Servers and other hardware components
- Network
- Security
- Fault tolerance
- Backup and disaster recovery

The Judiciary will acquire the necessary hardware, third party software, and network components that will facilitate implementation of the Offeror's software solution in the most cost effective manner. The Offeror is to describe the hardware, software, and network communications resources required to optimally run the proposed software applications for the size and volume of operations at the Judiciary. If the Offeror has experience or preference with specific hardware/software/communications combinations, it is to describe these installations or requirements.

4.6 Section 6 - Project Management

The successful Offeror will be responsible to the Judiciary's Project Manager, who has overall responsibility for the project schedule and adherence to contract provisions. The successful Offeror will be required to coordinate all project work with Judiciary staff. The successful Offeror's staff will meet with the Judiciary Project Manager and other Judiciary staff regularly throughout the project. The successful Offeror will abide by all Judiciary standards and protocols as defined by the Judiciary Project Manager. Response requirements in this area are detailed below.

4.6.1 Project Management Methodology

Describe the proposed project management methodology, including:

- How the Offeror's project team will be organized and managed.
- How the team will interact with Judiciary project management.
- How risks and issues will be addressed.

4.6.2 Project Plan

Provide a preliminary project plan that shows the implementation schedule for all system components.

Expectations. The successful Offeror will be required to submit a final project plan within 30 days of contract execution, including a Gantt chart prepared in Microsoft Project. It must be set up to include the complete work breakdown structure, staff responsibilities, project schedule, critical path, key project milestones, task completion percentage, training, testing, planned and actual start dates for each task, and planned and actual completion dates for each task. The final project plan will require the approval of the Guam Judiciary.

4.7 Section 7 - Staffing

This section addresses the Offeror's proposed staffing, as well as any assumptions or needs the Offeror has made regarding capabilities of the Judiciary's project staff.

4.7.1 Offeror Staffing

Provide resumes of key personnel who will be committed to this project for its duration, including proposed role in the Guam CMS/ERP System project, education, areas of expertise, professional certifications (e.g., project management or JIEM), and other projects on which they have worked and their roles in those projects. During contract negotiations, Offeror must submit any changes to the proposal staffing plan for approval by the Judiciary. No "key" staff member may be reassigned or otherwise removed early from the project without explicit written permission of the Judiciary's project manager.

Expectations. The Judiciary must approve, in advance, replacements for key staff members. The Offeror will make every reasonable effort to ensure that the early removal of a key staff member has no adverse impact on the successful completion of this project. Penalties will not apply in cases where the key staff member leaves the contractor's employ, becomes unable to perform job duties due to injury or illness, or the Judiciary requests that the key staff member be replaced.

All personnel who work on-site or with court or justice system data will be required to complete a criminal background check. The Judiciary reserves the right to approve or reject any Offeror staff assigned to the project. If the Offeror's assigned staff is rejected by the Judiciary, then the Offeror must assign replacement staff based upon a schedule approved by the Judiciary's assigned project manager.

Each member of the Offeror's team will sign a non-disclosure agreement.

4.7.2 Judiciary Staffing

Summarize the Offeror's assumptions about the background, capabilities, number, and type of staff that the Judiciary must assign to the project so that the Judiciary supports the timeline that the Offeror proposes. The Offeror's proposal must address the Offeror's recommendations for Judiciary staffing in categories, such as project and executive management, functional business analysts, functional end-user training, help desk/support staff, documentation/help writers, programming staff, DBA, and network and infrastructure support staff. These recommendations also should describe the tasks in the preliminary project plan where these resources will be needed.

4.8 Section 8 - Completed Attachments 1 – 4 & 9

Offerors are to indicate whether or under what circumstances its proposed solution provides capabilities sought by the Guam Judiciary. Complete the tables contained in the following RFP attachments.

- **Attachment 1:** CMS Capabilities and Scenarios

- **Attachment 2:** E-filing System Capabilities and Scenarios
- **Attachment 3:** ERP System Capabilities and Scenarios
- **Attachment 4:** Jury Management System Capabilities and Scenarios
- **Attachment 9:** Non-Functional System Requirements

The tables list the capabilities needed in each system. The capabilities focus on the flexibility of the system. The capabilities do not describe the complete configuration of the final product, and they omit some common capabilities. Configuration requirements will be further defined in cooperation with the selected Offeror. **Note: Attachment 9** is to be completed for each of four component systems: CMS, E-filing, ERP and Jury Management System.

Directions for Completing the Tables

1. **“Included”** column: Place an “X” in the cell beside the requirement if the proposed solution includes the described capability. Otherwise, leave the cell blank.
2. **“Note”** column: Include a note about any matter of importance related to each capability, and indicate it by placing an “N” in the Note cell (in addition to the “X” in the Included column, if applicable). All notes must be placed in a separate Notes table immediately following the response to the requirements table. The Notes table must include two columns. The left column must reference the line number for the capability (and bullet letter if applicable) and the right column must display the Offeror’s note.

If the proposed solution includes only part of a capability, mark the “Included” column with the exceptions (e.g. “X except a, d, e”), indicate the Note with “N”, and explain the exceptions in the note table. Otherwise, leave the cell blank. Notes may be helpful to describe alternative approaches or in situations where the solution cannot meet the capability through configuration, but can satisfy it through programming code as an extension of the solution.

4.9 Section 9 - Case Assignment

The Superior Court assigns cases to judges according to a set of administrative rules promulgated by the Supreme Court, set forth in **Attachment 5**. The Offeror’s proposal must propose to develop this functionality according to the set of business rules provided.

4.10 Section 10 – Miscellaneous Judiciary Matters

The Judiciary needs CMS-like functionality that allows users in units of the Judiciary to manage a variety of case-like matters that are separate from court cases. The types of matters addressed by various units and divisions of the Judiciary are set forth in **Attachment 6**. They are all online applications replacing manual paper-based processes, and have relatively simple business process workflows. The Offeror must propose an approach to addressing these matters, either configured into the CMS or provided separately.

4.11 Section 11 - Data Conversion

Describe the Offeror's capabilities, methodology, and experience to convert accurately and completely the Judiciary's existing case data from the legacy systems. Also describe the Offeror's software tools for data conversion.

Expectations. **Attachment 7** provides a detailed overview of the technical structure of the current CMS for converting data from the following systems:

- Superior Court (Supreme Court data will not be converted)
- Probation
- Client Services and Family Counseling: Access database

4.12 Section 12 - Production System Roll-out and Training

Describe the Offeror's approach to system roll-out and training, including the establishment of training databases and ongoing support of users after implementation.

4.13 Section 13 - Data Exchange and Device Integration

This section addresses the Offeror's integration architecture and its ability to share information with other systems and devices. Offerors are to provide information in two subsections, as described below.

4.13.1 Architecture and Standards

Describe the Offeror's approach to supporting the interfaces and data exchanges listed in **Attachment 8** and the capability of supporting additional interfaces as they are defined by the Judiciary. As described in the attachment, information sharing between the Judiciary and other agencies will be accomplished through National Information Exchange Model (NIEM)-based XML exchanges using the CJIS Exchange Broker being implemented by Datamaxx.

Describe the Offeror's approach to data sharing among systems components (e.g., E-Filing System and CMS, CMS and ERP, Jury Management System and ERP) and between system components and external systems. Specifically address the following questions:

- Does the system contain a specific "integration engine" built as part of the overall architecture? Is the system based on proprietary, open, or closed software? List any software necessary for the Offeror's interface architecture.
- Does the Offeror have experience developing information exchange package documentation (IEPD) and implementing NIEM-based exchanges? Has it developed IEPDs and/or implemented any of the exchanges listed in **Attachment 8**?

4.13.2 Functional Module Integration

Describe the capacity of all system components proposed to integrate with the following functional modules:

Table 1: Functional Module Integration

Type of Module	Integration Capability
E-mail system	Send e-mails to external case participants and vendors
Document management system (DMS)	Attach and retrieve document images related to an event

Device/Service Integration: Describe the capacity of all systems proposed, as appropriate, to integrate the following hardware devices and services with the corresponding systems listed.

Table 2: Device/Service Integration

Hardware Device/Service	Function	System
Document scanner	Scan paper documents filed by case participants	CMS, ERP, Jury Management
IVR (telephone interactive voice response)	Provide access to case information, payment of fines by credit card	CMS, ERP, Jury Management
Web payment	Payment of fines by credit card, deposit funds in bank account	CMS, ERP
Cash register/Point-of-Sale (POS) terminal	Track receipt of payments	CMS, ERP
Digital audio system	Record court proceedings, play back on demand	CMS (Superior Court)
Fingerprint reader	Capture fingerprint minutiae, verify identity when presented again	CMS (Probation)
Signature pad	Capture signature and apply electronically to a document	CMS, ERP, Jury Management
Address verification service	Verify that an address is valid and that a person has a particular address	CMS, ERP, Jury Management

4.14 Section 14 – Security

Describe the security model employed by the proposed solution, to include how system access is controlled and how data is protected internally and as it is passed between systems. Response is to include discussion of the following subjects.

- Role-Based Security: Offeror must describe how data access and entry authorizations are controlled.
- System Single Sign-on Capability: Offeror must describe whether and how its proposed solution provides system single sign-on capability.
- Multi-Agency Security Control: Offeror must describe how it supports multi-agency levels of cooperation regarding access to cases and access to case- and person-data.
- Protection of HIPAA Data: Offeror must describe how it supports protection of HIPAA data for such units as the Client Services & Family Counseling unit and for Mental Health Court.
- Sealed Documents and/or Sealed Cases: Offeror must describe how it allows display of sealed documents and/or sealed cases by agency and by user, subject to the users' having the appropriate security role and level of access.
- Redaction: Offeror must describe document redaction capabilities included in its solution.

4.15 Section 15 - Reporting

The Judiciary is interested in robust reporting capabilities that provide for access to all stored information without programmer intervention. The Judiciary intends to have its MIS Division develop many of its reports to include giving each division/functional area Point of Contacts the ability to generate their local reporting, with the Offeror providing database schemas. The Offeror is to describe the reporting capabilities of its proposed solution as specified in the subsections below.

4.15.1 Internal Reporting

Describe the reporting tools and capabilities of the proposed system, specifically addressing each of the following areas:

- Ad Hoc Reporting: Describe, with screen shots if possible, ad hoc reporting capabilities and tools.
- Standard Reports: Provide a list of the standard reports developed for other customers that will be provided to the Judiciary.
- Audit Trail Reports: Describe, with screen shots if possible, the process for turning on and turning off capture of audit trails, and for displaying or printing the reports to view, for example, users that have accessed a particular table or a particular case.
- Work Queue Performance Monitoring: Describe, with screen shots if possible, the capabilities for monitoring work queues, and shifting work to other workers that has fallen behind time standards for completion.

- Performance Metrics Dashboard: Describe the approach to providing key performance metrics in the form of dashboard plug-ins that can be customized to the needs of individual users. Policy leaders may want to view CourTools measures; other staff may be more interested in performance metrics for their own organizational units.

4.15.2 External Reporting

The Offeror's proposed solution must have the ability to provide reports and search functionality for various stakeholders. These users would not enter data, but would execute reports and/or queries against the case management system. Describe how the Offeror's solution provides reporting capabilities to external agencies and individuals. Specifically address the following questions:

- Does the Offeror's proposed solution include the ability for public users to view court data from a web browser? Explain what functionality is available.
- Does the Offeror's proposed solution include the ability for any user, given the appropriate security, to run reports and/or execute queries from a web browser? Explain what functionality is available.
- Can the system be configured to show only those options available to a restricted user? For example, a user would see only the option to run specific reports or queries depending upon their level of access.

4.16 Section 16 - Warranty and Customer Services Practices

Provide a description of warranties associated with the proposed solution and maintenance services provided. The prime contractor shall be responsible for all warranties. Also describe the Offeror's proposed customer service plan. Services may include the following:

- Telephone/online/on-site support
- Remote software diagnostics and updates
- Update and enhancement policies and frequency, by solution component
- Input to product enhancements, by solution component
- Service/support response time (hours) based on severity
- Via telephone/remote – average and guaranteed
- On-site support – average and guaranteed

4.17 Section 17 – Exceptions

Offerors may list objections to, or concerns with, any functional, technical, or legal requirement in this RFP (including Attachments), if any.

4.18 Cost Proposal

Each Offeror will provide a cost proposal in a sealed envelope **separate from the technical proposal**. See Subsection 3.1 for submission requirements. Offerors are free to choose the format in which their proposed costs are best presented. However, Offerors are to clearly present:

- A firm fixed price for system implementation, by system, with sufficient detail for the Judiciary to understand the underlying software and services costs and assumptions. Hardware and 3rd party software (e.g., MS SQL licenses) are not to be included in the costs.
- Pricing for 50 users in the Public Defender Services Corporation must be separately quoted, enabling them to determine the feasibility of their participation in the project.
- Ongoing maintenance and support costs for all system components.
- The total cost to the Judiciary, by system, for each of the first ten years from contract signing, as well as the overall 10-year cost.


PERRY C. TAITANO,
Administrator of the Courts/Purchasing Officer