

**JUDICIARY COMMISSION OF LOUISIANA  
400 ROYAL STREET, SUITE 1213  
NEW ORLEANS, LA 70130**

**RFP LASC-2018-02**

**REQUEST FOR PROPOSALS FOR  
MATTER AND CASE MANAGEMENT SYSTEM**

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**I. PURPOSE**

The Judiciary Commission of Louisiana invites qualified vendors to submit proposals for replacement of the current Matter and Case Management System.

**II. SUBMISSION OF PROPOSALS**

Proposals must be received no later than 4:00 p.m. (CST) on **Thursday May 10, 2018**. Proposals may be submitted electronically via e-mail or secure file upload or may be submitted in paper format (with one original and three copies required). Proposals should be sent to the following address:

Attn: Kelly McNeil Legier,  
Judiciary Commission of Louisiana  
400 Royal Street, Suite 1213  
New Orleans, Louisiana 70130

Email: [klegier@lasc.org](mailto:klegier@lasc.org)

Any proposals which are received after this deadline will not be considered. All envelopes containing a proposal must bear the name of the entity making the proposal, and must have the following clearly written or typed on the face of the envelope: "Proposal for Judiciary Commission of Louisiana Matter and Case Management System."

All questions relative to this request for proposals ("RFP") should be directed to Kelly Legier, who may be reached via telephone at (504) 310-2597 or via e-mail at [klegier@lasc.org](mailto:klegier@lasc.org). As set out in more detail below, all questions should be submitted by 4 p.m. (CST), on **Tuesday, April 17, 2018**. The preferred method of receiving questions is via e-mail. Any oral explanations or instructions shall not be binding. All communications regarding the RFP shall be directed to Ms. Legier.

The Commission specifically reserves the right to reject, in full or in part, all proposals submitted, and/or to cancel this RFP, when such action is in the Commission's best

interests. Any contract which may be awarded shall be based upon the proposal which is most advantageous to the Commission and its employees, costs and other factors considered. All contracts are subject to the availability of funds.

If there is more than one qualified proposer, written or oral discussions may be conducted with at least three, or two if there are only two, of the most qualified proposers. The Court will schedule a time and place for the oral or written discussions. Each proposer should be prepared to discuss and substantiate any of the areas of the RFP it submitted, its own qualifications for the services requested and any other area of inquiry relative to its proposal.

### **III. PROPOSERS' QUESTIONS**

Questions should be submitted in writing (preferably via e-mail) to Kelly Legier at the address above by 4:00 p.m. (CST), on **Tuesday, April 17, 2018**. The Judiciary Commission of Louisiana is under no obligation to respond to such inquiries, but may choose to do so. The Commission, in its discretion, may choose to post some or all of the questions and answers on its website: [www.lasc.org](http://www.lasc.org) and/or provide them to known proposers.

### **IV. TIMETABLE FOR PROPOSALS**

<b>Issue date of RFP</b>	<b>Tuesday, April 10, 2018</b>
<b>Proposers' questions due</b>	<b>Tuesday, April 17, 2018</b>
<b>Deadline for receipt of proposals</b>	<b>Thursday, May 10, 2018</b>

### **V. BACKGROUND**

#### **A. Overview:**

The Judiciary Commission of Louisiana conducts inquiries and investigations into alleged violations of the ethical rules for state judicial officers to determine whether to recommend to the Supreme Court that a judicial officer be disciplined.

The members of the Commission are volunteers and serve on a part-time basis. The judiciary commission consists of one court of appeal judge and two district court judges selected by the Supreme Court, three attorneys, three citizens, and fifteen full-time staff members.

The Commission receives and processes about 540 complaints annually.

For additional details on the Commission, please refer to the Judicial Entities section of the Louisiana Supreme Courts web site.

## **B. Existing Judiciary Commission System**

The Judiciary Commission of Louisiana does not currently have a comprehensive system to manage its activities. Instead, it relies on standard Microsoft office tools and a Microsoft Access database to track cases. The Access database has approximately 12,000 records dating back to 1993.

The matters handled by the Commission generate significant paper records, and the Commission's records retention policy requires that it keep the records for long time periods. For example, the Commission must retain many records until the judge's death. Consequently, the files in the Commission's offices are overflowing, and over 1,000 boxes of files are in storage in Baton Rouge. Not only has the Commission faced increased storage problems because of the voluminous files, Commission staff has experienced difficulty navigating the files because most files predate the current staff. Accordingly, the staff does not know the content of the files and has no easy way to search them.

The Commission could perform more efficiently and consistently if it obtains the ability to research matters within its existing records. A case management system that would allow the Commission to store, access, and search the documents within its files would improve the Commission's operations.

## **VI. SCOPE OF WORK**

### **A. Organizational Goals**

The Judiciary Commission is seeking to acquire and implement a comprehensive matter and case management system to support the Judiciary Commission and staff. The system must be a commercially available matter and case management system that, in its original configuration or with necessary customization to adapt to the Commission's specific processes, provides an integrated matter and case management and tracking system that meets the needs of the Commission. Additionally, the system to be acquired must be fully implemented and operational in at least one program of similar size and scope.

The Commission will consider a traditional software solution where the software is installed on Court-owned equipment, or a software-as-a-service solution hosted by the responder or a third party.

### **B. Proposer's Responsibilities**

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

- a. Provide, configure, install, test and integrate the new system.

- b. Prepare a recommended solution for migrating and converting historical data in the current Access-based complaint tracking system.
- c. Provide complete user, operational and system documentation for the new system.
- d. Provide instructor-led, onsite training for administrative/clerical staff and IT staff in its operation, functions, and capabilities.
- e. Provide ongoing maintenance and support subsequent to going live.
- f. Provide system-updated, new functionality releases.
- g. Specify the recommended technical environment including hardware and software required by the proposed system.

### **C. Court Responsibilities**

- 1. The Louisiana Supreme Court plans to procure and install any recommended hardware and system software for the Judiciary Commission of Louisiana.
- 2. The Court expects to be able to provide to the Judiciary Commission of Louisiana a certain portion of system administration and technical support.

### **D. Turnkey Matter and Case Management System**

This RFP requests the planning, configuration, limited customization, installation, testing, implementation and training for a turnkey system.

The following additional tasks must be performed:

- 1. Design and implement standard reports.
- 1. Data conversion to the new system.
- 2. First year maintenance and support for the system.
- 3. Identify resources to be allocated by the court to complete the implementation process from project initiation to final go live in a detailed Document of Understanding that specifically outlines what the proposer will provide and what the Court is expected to provide including a solution roadmap.
- 4. Contractor shall provide project coordinator for the above items.

## **E. Case Management System Functionality**

The Commission requires a system that will allow a staff of fifteen located within three different physical offices to record all the activity for each complaint. Commission staff must be able to search documents by complaint number, complainant, judge name, position (*i.e.*, city court, district court, appellate court, justice of the peace, hearing officer, commissioner, magistrate judge, mayor's court), court name, geographic location, Supreme Court district, disposition (*i.e.*, close, reminder, caution, admonishment, public censure, suspension, removal, involuntary retirement), attorneys, judicial canons, dates. Commission staff must also be able to run reports using any of these factors. Additionally, Commission staff must be able to use a word query search to locate matters involving similar allegations or conduct.

The system must incorporate a reliable filing, scheduling, document assembly, and document management features. Accordingly, the system must include scheduling sworn statements, scheduling hearings, linking emails and documents (including subpoenas, pleadings, orders, transcripts, and memoranda), and creating the statistics needed for monthly, quarterly, and annual reporting. The system also must include a notification component to allow staff to schedule notifications of deadlines relevant to the proceedings. Additionally, the system must allow for the incorporation and creation of templates for certain types of frequently used documents (such as memoranda, orders, briefs, and pleadings) that will auto-populate the essential information concerning the matter (such as the parties' names, file numbers, and attorneys) when that document type is selected by the user.

Finally, because of the confidential and separation-of-responsibility concerns during certain portions of the process, the system must prevent access to certain confidential documents in one Commission office by members of another Commission office.

## **VII. CONTENTS OF THE PROPOSAL**

Your proposal should address each of the areas outlined below (as applicable) and provide the information requested. As your proposal will be evaluated based on the information you provide, failure to provide a complete and comprehensive presentation of your solution could negatively affect the Court's evaluation of your proposal. Your response should include the following:

- A. Technical Proposal**
- B. Qualifications**
- C. Business Proposal**
- D. Price-Business Proposal**

### **A. Technical Proposal**

The Technical Proposal should include, but is not limited to, the following:

## **1. Proposer's Executive Overview/Summary**

Proposer's Executive Overview/Summary should include, but is not limited to, the following:

- Overview/summary of the proposed solution
- Explanation demonstrating an understanding of the needs of the Court as expressed in this RFP
- How the proposed solution will satisfy those needs
- Discussion of the overall approach to the management of this effort
- Brief discussion of the total project organization
- Use of Court personnel for project
- Function and use of subcontractors, if any.

## **2. Proposer's Technical Overview/Summary**

Proposer's Technical Overview/Summary should include, but is not limited to, the following:

- Overview/summary of the proposed technical solution
- Overview of the project approach and methodology
- Overview of the project team members, their role, and a summary of their experience.

## **3. Proposer's Detailed Explanation of Proposed Solution(s)**

Proposer's Detailed Explanation of Proposed Solution(s) should include, but is not limited to, the following:

### **a. Implementation Schedule**

Implementation Schedule should include, but is not limited to, the following:

- Complete from contract signing to installation and acceptance
- Installation
- Testing
- Go Live

### **b. Detailed Technical Information**

The Detailed Technical Information should include, but is not limited to, the following:

- Detailed technical specifications of any proposed equipment or services
- Detailed functional capabilities of the proposed solution
- Detailed explanation of performance capabilities and specifications
- Detailed explanation of response times
- Software provided with the solution

- Include a complete explanation of all services included in the proposal and otherwise available
- Manuals (i.e. operational, technical, etc.)

#### **c. Installation and Support**

The Installation and Support information should include, but is not limited to, the following:

- Detailed information on the installation requirements
- Detailed information on the schedule
- Detailed onsite training solution(s)
  - Including any other training solution(s) available
  - What training and skill levels are anticipated for Court employees
- Detailed hardware maintenance
- Detailed software maintenance
- Explanation of any proposed support services including performance guarantees
- Detailed explanation of all proposed maintenance
- Forms or agreements, i.e. Service Level Agreements (SLA), including performance commitments
- Detailed warranties, i.e.
  - Functional warranties
  - Performance warranties
  - Quality of workmanship warranties
- Explain the ownership rights to all proposed intellectual property including customizations, if any, to the system.

#### **d. Data Conversion**

The Data Conversion information should include, but is not limited to, the following:

- Data conversion and migration protocols
- Development of data conversion software
- Identification of data integrity problems in legacy system
- A strategy for addressing data integrity problems both in the original data and during conversion
- Crosswalking and auditing of data converted to new system.

## **B. Qualifications**

The information regarding Qualifications should include, but is not limited to the following:

### **1. Proposer's Experience and Qualifications**

The proposal must set forth a description of the proposer's experience in developing and implementing matter and case management systems, including specific experience with entities similar in scope to the Judiciary Commission of Louisiana. Explain how the proposer is qualified to provide and implement a matter and case management system for the Commission. In addition, explain the proposer's qualifications to complete a project of this scope.

**Please note that in order to be qualified to submit a proposal, you must meet the following mandatory minimum qualifications: You must have a fully implemented matter and case management system that is currently operating in at least one program of similar size and scope to the Judiciary Commission of Louisiana. Provide a detailed, narrative statement providing adequate information to establish that you meet this requirement.**

### **2. Employee and Company Information**

The Employee and Company Information should include, but is not limited to, the following:

- Total number of employees
- Year business started
- State of incorporation
- Location of headquarters

### **3. Financial Stability**

Proposer should provide proof of financial stability, as follows:

- a. Financial Statements for the most recent three fiscal years – any one of the following is acceptable
  - Balance Sheet
  - Income Statement
  - Profit and Loss Statement
- b. Dun and Bradstreet information (if available)
- c. Letters from banks (if available).



## **C. Business Proposal**

The Business Proposal should include, but is not limited to, the following:

### **1. Impact of the Solution(s)**

The Impact of the Solution(s) should include, but is not limited to, the following:

- Proposer should submit an overview/summary of the impact of the implementation of the proposed solution on the Court with regards to the everyday operations of the Court, judicial personnel, and Court staff.
- Any factors, benefits, or needs that the proposer considers important to the Court, but that are not otherwise addressed in the proposal, should be included.

### **2. Bill of Materials**

The Bill of Materials should include all components without including the cost.

### **3. Associated Costs**

Associated Costs should include, but are not limited to, the following:

- The proposer's Total Cost of Ownership per year, first year (first year warranty and maintenance should be included in the original cost of the solution on the date of acceptance), second year with maintenance, third year with maintenance, fourth year with maintenance and fifth year with maintenance.
- Costs should be differentiated between the hosted and non-hosted options.
  - Examples of costs for proposers to consider in their response:
- Options and alternatives
- Post implementation training
- Other one-time costs.

### **4. Implementation Plan**

The Implementation Plan should include, but is not limited to, the following:

- Include payment schedule associated with
  - Milestones
  - Deliverables.

## **D. Price-Business Proposal Form**

Please complete the Price-Business Proposal Form, attached hereto as Appendix A

## **VIII. EVALUATION CRITERIA**

The Court will evaluate all proposals and, if a proposer is to be selected, select a proposer on the basis of the following criteria:

All **responsive** proposals will be evaluated in accordance with the following criteria.

1. **Technical Proposal (30 points)** – The degree, completeness and suitability of the proposer’s technical solution to meet or exceed the requirements in this RFP.
2. **Business Proposal (25 points)** – The impact of the proposed solution on the business and financial operations of the Court. The value of the proposed solution to meet or exceed the needs of this RFP with specific respect to cost, risk, and financing options.
3. **Qualifications (20 points)** – The proposer’s experience and references to provide evidence of its depth and breadth of experience in a fully implemented drug court case management system and evidence of successful past performance with other project(s) of similar scope.

## **IX. CONTRACT AWARD**

Submit your best terms from a cost or price and from a technical standpoint. The Court reserves the right to enter into a contract without further discussion of the proposal based on the content of the proposals submitted. Ordinarily, nonresponsive proposals will be rejected outright. Nevertheless, the Court may elect to conduct discussions, including the possibility of limited proposal revisions, but only for those proposals reasonably susceptible of being selected for award. If improper revisions are submitted, the Court may elect to consider only your unrevised initial proposal. The Court may also elect to conduct negotiations, beginning with the highest ranked proposer, or seek best and final offers. If negotiations are conducted, the Court may elect to disregard the negotiations and accept your original proposal.

## **X. PUBLIC NATURE OF PROPOSAL AND PROSPECTIVE CONTRACT**

All proposals submitted in response to this request for proposals, and any contract which might ultimately be agreed upon, will be open to public inspection by any interested person, firm or corporation.

**It should be noted and understood that all proposals, contracts and other documents presented in connection with this RFP become the property of the Commission.**

## XI. SUBMISSION OF CONFIDENTIAL INFORMATION/REDACTION

Trade secrets or other proprietary information submitted by a proposer as part of its RFP may not be subject to public disclosure, provided the proposer specifies the relevant law supporting its request for confidentiality. However, the proposer must invoke the protections of this section prior to or upon submission of its proposal, must identify the specific data or other materials to be protected, and must state the reasons why protection is necessary. Any aspect of the proposal which addresses the price of providing the requested services will not be considered confidential under any circumstance. Any proposal marked as confidential or proprietary in its entirety may be rejected without further consideration or recourse.

The proposer must clearly designate the part of the proposal that contains a trade secret and/or privileged or confidential proprietary information as “confidential” in order to claim protection, if any, from disclosure. The proposer shall mark the cover sheet of the proposal with the following legend, specifying the specific section(s) of the proposal sought to be restricted in accordance with the conditions of this legend:

*“The data contained in pages \_\_\_\_\_ of the proposal have been submitted in confidence and contain trade secrets and/or privileged or confidential information and such data shall only be disclosed for evaluation purposes, provided that if a contract is awarded to this proposer as a result of or in connection with the submission of this proposal, the Judiciary Commission of Louisiana and the Louisiana Supreme Court shall have the right to use or disclose the data therein to the extent provided in the contract.”*

Further, to protect such data, each page containing such data shall be specifically identified and marked “CONFIDENTIAL.” All markings must be conspicuous; use color, bold, underlining, or some other method in order to distinguish the mark from the other text. You are required to mark the original copy of your offer to identify any information that is exempt from public disclosure. **In addition, you must submit one complete copy of your offer from which you have removed any information that you marked as exempt, i.e., a redacted copy.** The information redacted should mirror in every detail the information marked as exempt from public disclosure. The redacted copy should:

- a. Reflect the same pagination as the original, and
- b. Show the empty space from which information was redacted.

Proposers must be prepared to defend the reasons why the material should be held confidential. If a competing proposer or any other person seeks review or copies of another proposer’s confidential data, the Judiciary Commission of Louisiana and the Louisiana Supreme Court will notify the owner of the asserted data of the request. If the owner of the asserted data does not want the information disclosed, it must agree to indemnify and hold the Commission and Court harmless against all actions or court proceedings that may ensue (including attorney’s fees), which seek to order the Commission or the Court to

disclose the information. If the owner of the asserted data refuses to indemnify and hold the Commission and Court harmless, the Commission or Court may disclose the information.

## **XII. JUDICIARY COMMISSION AND LOUISIANA SUPREME COURT DISCRETION**

The Judiciary Commission of Louisiana and the Louisiana Supreme Court specifically reserves the right to reject, in full or in part, all proposals submitted, and/or to cancel this request for proposals, when such action is in the Commission's or Court's best interests. In addition, the Commission and Court specifically reserves the right to waive any of the technical requirements of the proposal, when such action is in the Court's best interests.

Any contract which may be awarded shall be based upon the proposal which is most advantageous to the Judiciary Commission of Louisiana and the Louisiana Supreme Court and its employees, costs and other factors considered. All contracts are subject to the availability of funds.

## **XIII. CHANGES, ADDENDA, WITHDRAWALS**

The Judiciary Commission of Louisiana reserves the right to change the calendar of events or issue addenda to the RFP at any time. The Commission also reserves the right to cancel or reissue the RFP.

If the proposer needs to submit changes or addenda, such shall be submitted in writing, signed by an authorized representative of the proposer, and cross-referenced clearly to the relevant proposal section. **All such changes must be received prior to the deadline for proposal submission.**

## **XIV. COST OF PREPARING PROPOSALS**

The Judiciary Commission of Louisiana is not liable for any costs incurred by proposers prior to issuance of or entering into a contract. Costs associated with developing the proposal, preparing the proposal, and any other expenses incurred by the proposer in responding to the RFP are entirely the responsibility of the proposer, and shall not be reimbursed in any manner by the Judiciary Commission of Louisiana.

## **XV. AUDIT OF RECORDS**

The State Legislative Auditor or other auditors so designated by the Judiciary Commission of Louisiana or the Louisiana Supreme Court shall have the option to audit all accounts directly pertaining to the resulting contract for a period of three (3) years after project acceptance or as required by applicable State or Federal law. Records shall be made available during normal working hours for this purpose.

## **XVI. RECORDS RETENTION**

The successful proposer shall maintain all records relating to any contract which is agreed upon for a period of at least three (3) years after acceptance by the Judiciary Commission of Louisiana.

## **XVII. CHOICE OF LAW**

The resulting contract shall be governed by Louisiana law.

## **XVIII. NO ARBITRATION**

The resulting contract shall not contain any provision mandating that the parties submit to arbitration.

## **XIX. FIXED PRICING REQUIRED**

Any pricing provided by proposer shall include all costs for performing the work associated with that price. Except as otherwise provided in this RFP, proposer's price shall be fixed for the duration of any resulting contract. This clause does not prohibit proposer from offering lower pricing after award.

## **XX. PUBLICITY**

Contractor shall not publish any comments or quotes by Judiciary Commission of Louisiana and the Louisiana Supreme Court employees, or include the Commission or Court in either news releases or a published list of customers, without the prior written approval of the Commission and the Court.

## **XXI. TERMINATION DUE TO UNAVAILABILITY OF FUNDS**

Payment and performance obligations under the resulting contract shall be subject to the availability and appropriation of funds therefor. When funds are not appropriated or otherwise made available to support continuation of performance, the contract shall be canceled.

## Appendix A

### PRICE-BUSINESS PROPOSAL FORM

1.	Turnkey Matter and Case Management System for the Judiciary Commission including, but not limited to, tasks listed in Section VI(D), inclusive of all travel expenses as well as maintenance and support for the first year. (Please provide breakout of costs below)			\$
	a.	Matter and Case management system software	\$	
	b.	Conversion of historical data in current Access-based complaint tracking system	\$	
	c.	Configuration and/or necessary customization	\$	
	d.	Implementation	\$	
	e.	On-site training	\$	
	f.	First year maintenance and support	\$	
	g.	Other associated costs	\$	
2.	Interface & Customization Hourly Rate	Category	Hourly Rate	
3.	Support and Maintenance	Year 2	\$	
		Year 3	\$	
4.	Estimated travel expenses		\$	\$
		Total Years 2 - 3		\$
	Total Cost			\$