

Case and Records Management System

Request for Proposal: Questions & Responses

January 15, 2016

- 1. Are the confidential fields referenced in Attachment B (DG-004.01) intended to be configured as confidential in the system set-up process, in the user data-entry process or both?**

Both will be needed. A portion of the fields may be deemed confidential during set-up, but other fields/data may need to be flagged by the user as confidential upon request. A good example is the SSN field, which should default as confidential for member records, whereas for other fields, we will want the ability to designate as confidential as needed. This may include historical data, such as an address in the member address history. A State Bar Court scanned exhibit that contains bank account numbers, SSNs, or other confidential information requires either redaction or confidential flags.

- 2. What is the employee breakdown for the areas that will be receiving system replacement?**

*OCTC CMS LA-186 / SF-49
Probation LA-8
Member Services SF-19
Courts-LA – 24 / SF-19*

- 3. Will the solution be cloud based or hosted onsite or offsite?**

The State Bar is open to any of those or a hybrid combination as long as it meets the needs of the Bar at the end of the day. Please indicate using the menu selection on Attachment K with your costing model. If both hosted and local-install options are offered, please submit on separate cost proposal forms.

- 4. What is your connectivity?**

We have two WAN pipes connecting both offices with built-in redundancy via the internet.

- 5. Do you have an email exchange server?**

We have an exchange server hosted out of our SF office.

- 6. If necessary, will you host the system in SF?**

We have capabilities at both locations so it doesn't have to be the SF office.

- 7. Attachment C talks about automatically placing events on outlook calendars. Is this simply syncing with and providing Outlook rules?**

Correct.

- 8. What types of scanners do you currently have in place and are you planning on purchasing additional scanners for the project.**

We are currently evaluating scanning methodology. Answer will depend on whether scanning is embedded in the solution or hosted outside. We plan to purchase scanners that best meet our needs once solution is selected. The State Bar Court uses a model Cannon DR 9080C and Cannon DR-G1130 scanners for documents stored in the court's Kwiktag document retention system.

- 9. What scanning solutions are you currently using for case management?**

We are currently using Kwiktag as scanning solution for State Bar Court, PaperView over the AS400 for Member Services. AS400 is the system of records to capture case as well as member information. It is mostly green screens.

- 10. Where is the scanning currently stored (for migration purposes)?**

Kwiktag, Hummingbird, Shared Drives and the AS400 are currently where documents are stored.

- 11. Other RFPs often identify “must have, nice to have, optional, etc.” requirements for priority weighting. This RFP does not appear to weight these functional requirements.**

The State Bar is interested in current capabilities of your offerings (s) and future capabilities of prospective vendors and should indicate the status of this information as such on the requirements spreadsheets.

- 12. Is the current due date for this submission firm?**

Yes, all proposals are due February 4th by 4 p.m.

- 13. Some of the detail on the PDF attachments isn't formatted appropriately and not all the information is displayed. Can this information be obtained elsewhere?**

Please use the posted Excel spreadsheets in their native format to see all relevant detail for each system requirement.

- 14. Can the public currently file a complaint online?**

No, you cannot currently file a complaint online.

15. Would you want that capability in the solution offered?

Yes, the solution should be able to receive complaints as per the e-filing requirements in the RFP attachments.

16. Do the areas in the RFP handle contract reviews like most typical attorney offices?

Contract management functions reside in the Office of General Counsel (ProLaw) and Procurement (Oracle) are not included in this RFP scope.

17. Could you briefly describe the Member Records department and system functions?

The State Bar's Member Services area manages the entire attorney membership through the life of the license. The department keeps tracks of status changes and member information changes (address, name, etc.). This information is provided to other internal systems. We maintain historical information throughout the members' practice. In addition, the department certifies law corporations and LLPs and monitors compliance with continuing legal education requirements.

18. Is there an established budget for this initiative?

No, but the State Bar has the necessary resources identified to fund this project at the level necessary.

19. Can the State Bar offer further clarification to how many source systems that the State Bar wishes to conduct data conversion from, and into the future environment? We understand that there are DB2 databases and SQL databases and multiple applications. Any information pertaining to the source systems and the corresponding number of cases (or record counts) for those systems that the State Bar wishes to convert would be helpful.

The State Bar's primary source system is on an i5/AS400 with DB2/400 as its database. This includes the Office of the Chief Trial Counsel (OCTC), State Bar Court (SBC), Probation, and Membership. There are couple of small data components in SQL DB complementing the AS400 database such as i6180 & Cost Certificates (OCTC) and Members Demographic Data (Member Services).

Number of Total Case Records for OCTC and SBC:

OCTC and SBC Cases – 242,044

Reportable Actions – 96,531

Inquiries – 456,665

Conviction Monitoring – 8,811

Probation Cases – ~18,000

Number of Member Records – ~308,000

20. How many document images does the State Bar wish to convert over to the new environment? We understand that there are several document management systems in place today (Hummingbird and SharePoint). We heard about 100,000

documents (1-2 page documents) during the pre-bid conference call, but we are unclear if the State Bar wishes to convert all of these documents. Also, if the State Bar could please confirm the format of the documents (TIFF or PDF) that would be helpful.

It is hard to determine actual number of documents to convert at this stage. Those numbers will be driven based on many factors such as Retention Policy and decisions of what to convert/migrate based on business drivers and needs. Document Sources are Hummingbird (stored in SQL), PaperView (stored in i5/AS400), Shared Drives and KwikTag (stored in SQL).

Potential Annual Volume:

OCTC – 2,500,000

Membership – 100,000

State Bar Court – 100,000

Probation Cases – 10,000

21. What formats are we currently using for scanned documents?

We primarily scan in TIFF and PDF formats.

22. Can sample reports be provided to help identify existing fields/types of forms and searches to with conversion planning?

We can provide a few sample reports showing current, but not future desired state of search fields and screen forms. Request samples directly through andrew.conover@calbar.ca.gov.