The State Bar of California

Trial Case Management System

Request for Proposal: Questions & Responses

February 24, 2012

1. **#5 of your minimum mandatory requirements on page 5. We are a COTS case management solution that offers the product as a web/browser client (thin client) but we are not a public facing web page and we would be hosted within your network/environment. We believe this requirement is not applicable to our solution but would like confirmation from you that since our software is hosted by the Bar this would not apply, do you agree?**

   Whether hosted internally or externally this requirement applies because it is a browser-based client, i.e., the application must meet these requirements or it is vulnerable.

2. **As a privately held corporation we do not release financial information, will this eliminate us from consideration? If released how can the Bar assure that it would not be subject to any FOIA request**?

   No, you will at a minimum, need to complete the financial portion of Attachment B for the evaluation team. If you require an NDA to be signed for the complete financial statements, please include in your proposal. All financial information submitted can be marked confidential and will only be shared with the State Bar's internal evaluation team for scoring purposes.

3. **Is there a list of the specification/requirements we can review from the COPLAN prior to deciding whether we are going to respond or not?**

   Once logged into the electronic RFP, click on the RFP Document button and access the fourth item, i.e., Specifications, for a complete list of FOUR-based requirements.

4. **Will we see questions and answers to all vendor questions?**

   Yes, as required.

5. **When will questions be answered?**

   Questions will be answered as they are received. All vendors will receive a notice each time questions and answers are assembled and posted as a collective group.

6. **Will there be a bidders meeting prior to submission?**

   No.

7. **How many users/concurrent users would require to access the system?**

   Once logged into the electronic RFP, click on the RFP Document button and access the ninth item, i.e., Performance and Availability Requirements, for the number of users expected.

8. **Will data in the current system be required to be migrated to the new system?**

   Once logged into the electronic RFP, click on the RFP Document button and access the fourth item, i.e., Conversion Requirements, for the migration information.

9. **Will self-service/online functionality be required or considered?**

   Yes. The scripted requirements include a description of the required self-service/online functionality in Scripted Requirement 1.1. Vendors should respond identifying their solution's support for this identified functionality as well as any other requirements they deem appropriate.

10. **Will mobile access be required or desired?**

    The RFP specifications and scope statement describe CALBAR's functional requirements in detail. Vendors should assume that functionality not described or included is out of scope, unless the functionality supports a specified requirement.

11. **Do you require or desire GIS style mapping data to capture case reporting or trending by region?**

    The RFP specifications and scope statement describe CALBAR's functional requirements in detail. Vendors should assume that functionality not described or included is out of scope, unless the functionality supports a specified requirement.

12. **As part of the approval workflow, is it important to establish calendars for items such as holiday coverage to automatically reroute approvals?**

    Yes.

13. **Will the system be used to adjudicate the case? If so will the system need to capture communication (email, faxes etc) as part of the adjudication process?**

    The RFP specifications and scope statement describe CALBAR's functional requirements in detail. Vendors should assume that functionality not described or included is out of scope.

14. **Although document management is not required would dynamic case specific information presentation be useful?**

    CALBAR is not requesting a document management system (DMS). However, the proposed solution should support preparing, storing and distributing documents created using specific case information.

15. **How many users will be using the system? Will some be using it more regularly than others?**

    Once logged into the electronic RFP, click on the RFP Document button and access the ninth item, i.e., Performance and Availability Requirements, for the number of users expected.

16. **How many total State Bar users will need to use the new case management system?**

Once logged into the electronic RFP, click on the RFP Document button and access the ninth item, i.e., Performance and Availability Requirements, for the number of users expected.

17. **When the State Bar asks for responders to submit 11 copies of your proposal (and the associated direct electronic submissions as noted), responders do not have to submit 11 paper copies of the associated direct electronic submissions, do we?**

    Vendors are to submit the FOUR electronic portions using the proposal submittal functionality available in FOUR. The copy requirements apply only to other portions of their response.

18. **In the RFP, p.2, it states that in 2010 OCTC received over 86,000 telephone calls concerning attorney conduct. The State Bar is not looking for functionality that logs and tracks each and every incoming telephone call, correct?**

    CALBAR does not require call-handling capability as part of as proposed case management solution. Call volumes provide vendors with the magnitude of CALBAR's case management operations.

19. **In the RFP, B. Project Objectives, please define what is meant by "Reduce hand counts".**

    Hand counts refer to manually tabulating information as opposed to relying on automated calculations by the CMS

20. **In the RFP, B. Project Objectives, is it up to the vendor to identify: Reduced time to perform functions — Identify time to perform functions before and after introduction of case management system? If so, when does the State Bar expect to have this documented? Before project start with selected vendor?**

    CALBAR will address the "before" measurement; it is not the responsibility of the vendor.

21. **In the RFP, p. 7, B. Submission Method Summary: 1. Requirements #3 & #9 above -- in native XL format: andrew.conover@calbar.ca.gov, the State Bar is requesting an electronic submission direct to Andrew Conover that does not have to be included in the 11 (paper) copies of the Proposal?**

    *The XL documents **must** be submitted electronically as noted. They can also be optionally included in the hardcopy proposals at your choosing.*

22. **Are there any other external systems' interfaces required besides with the State Bar Court, State Bar Membership Interface?**

    While the RFP does indicate the potential for additional future interfaces with the case management system, the RFP specifications identify only State Bar Court and State Bar Membership as the only external system interfaces currently expected by CALBAR as part of a vendor's proposal.

23. **Concerning the present IBM-based Case Management System and its Data Conversion, based upon the AS-400 info the State Bar has provided, are those designations files, or**

libraries that contain many more files? If many more files, can we be provided with a list of them?

CALBAR believes the RFP specifications provide all information required at this time to estimate conversion effort and costs. Once logged into the electronic RFP, click on the RFP Document button and access the fourth item, i.e., Conversion Requirements, for the migration information.

24. **In the Line Item Specifications Attachment, Section 11.1.6, Correlated Cases, would the State Bar please further explain what is involved with "relating or rerelating of individual State Bar cases into a single, multi-case group for cases of data entry"?**

    The proposed system should support data entry efficiency by allowing single entry of an activity or update to a grouped set of cases (e.g., indicating that correspondence was sent in a grouped case set of multiple attorneys or multiple cases against the same attorney), rather than requiring update of each case individually.

25. **In the Line Item Specifications Attachment, Section 13.2.13, would the State Bar please clarify how the proposed system needs to support digital transaction signatures.**

    The RFP identifies the document types Memoranda, Forms, Correspondence, Subpoena, Pleadings, Stipulations and Cost Certificates. Vendors should assume that each of these document types generated by the proposed system may require digital signature support.

26. **In the Line Item Specifications Attachment, Section 13.2.31, would the State Bar please define what activity log encryption is.**

    The activity log in this item is the same activity log referred to in Items 13.2.18 through 13.2.22, a system activity log containing information on system-level transactions (e.g., login/logout, additions, edits, deletions, updates, and downtime). The requirement assumes the proposed system can encrypt or encode this information to prevent unauthorized access or modification.

27. **In the Line Item Specifications Attachment, Section 15.1.5, would the State Bar please define what average unit sales of the proposed application software package per year during the last five years. Is the State Bar looking for annual # of new licensed users, or annual amount of revenues from new customers? Or total annual sales from new and existing users?**

    Average unit sales refers to average number of new customers per year, not installation sites, number of users, or software copies.

28. **Can all vendors be provided with a list of vendors who posed questions to the State Bar RFP, in advance of the March 5 deadline?**

    Questions from all vendors and the corresponding responses will be provided to all vendors. The identity of the vendors submitting the questions will not be provided.

29. **Intake referral: please define what is a "Reportable Action"?**

The RFP Scripted Specifications describe various kinds of reportable actions (e.g., judgment, bank, contempt) and where they occur.

30. **Is it acceptable to the State Bar for the proposed case management system to auto generate the case number, or is it a requirement for the CMS to generate the case number in the manner it has historically been generated ? Case Number - The number assigned to a case to include a two position case open year, two position case type and a five position sequential number identifier.**

    CALBAR requires the proposed system maintain a case number (derived or otherwise) in the format specified. However, if a proposed solution also generates a case number, that will be acceptable.

31. **Would the State Bar please give examples of Conduct special proceedings?**

    The RFP identifies the types of special proceedings (e.g., complaint mediation, summary disbarment, moral character determination) in Section 8 of the Scripted Requirements (Conduct Special Proceedings Scripts).

32. **In the Attachment, Scripted Specifications, would the State Bar please define the difference between a Member and a Non-Member?**

    The electronic RFP defines each data object and data element as part of each specific script. A member is Licensed California attorney. A non-member is an individual who is not a licensed California attorney.

33. **In the State Bar Performance Requirements Attachment, what do the abbreviations stand for that are associated with the User Type Count by function (C R U D)?**

    CRUD is an industry-standard abbreviation/acronym that describes a data lifecycle (Create, Read, Update, Delete). Based on the requirements of the system, users by user type have specific roles in this lifecycle.

34. **Would the CALBAR consider extending the proposal deadline to Friday, March 9th to allow for the time necessary for completing all of the online submission requirements?**

    No.

35. **Does the CALBAR wish for bidders to include server hardware costs necessary for system implementation?**

    Vendors should include all costs required to deliver and maintain their proposed solution.

36. **Does the CALBAR wish for bidders to include server software cost (e.g. SQL Server) necessary for system implementation?**

    Vendors should include all costs required to deliver and maintain their proposed solution.

37. **On the "CALBAR Implementation Workplan Tasks" document there are several values**

under the "Vendor" column that are empty. Were they purposely left blank or are there missing values that should have been included? For e.g., second row under "Cutover Management" and rows under "Optimization Management"?

The work plan tasks document lists the minimum acceptable deliverables for an implementation plan, and identifies the party with primary and secondary responsibility for each deliverable. In cases where the secondary responsibility column is left blank, assume that vendors are responsible for review, concurrence and acceptance of the CALBAR-prepared deliverable(s).

38. **Are bidders expected to propose responsibility recommendations or should bidders follow the responsibilities exactly as depicted in the "CALBAR Implementation Work plan Tasks" document? It has been our experience that successful implementations may involve some slight differences. Also, if bidders are expected to provide recommendations that differ from the implementation task work plan, how does the CALBAR wish for bidders to delineate the cost associated with the difference and where/how should the difference in cost be reflected in the cost spreadsheet?**

    The work plan tasks identified describe a minimum acceptable range of deliverables based on project management best practices. While we understand that each implementation is unique, it is expected that all of the project, IT and change management areas identified be addressed in the vendor's proposed implementation plan. If vendors believe the identified deliverables are insufficient or do not adequately address their proposed implementation, they should identify all additional deliverables they feel are required.

39. **Does the CALBAR wish for bidders to include any costs for software customization to meet the specified functional requirements? If the CALBAR does wish for bidders to include these costs, where in Attachment A should these costs be provided?**

    If a vendor's solution requires modifying or creating new code, the vendor's solution may not be appropriate. However, if the vendor solution requires configuration (e.g., setup and options selection for existing code) on CALBAR's behalf, their proposal should include these costs.

40. **Does the State Bar expect the solution provider to provide backup and recovery services on the implemented system?**

    Yes. RFP Line Item Requirements Section 12.3 describes CALBAR's backup and recovery requirements.

41. **Part of the requirements of the bid is to migrate existing data. Does the organization have a data base administrator that we would work with?**

    As identified in the "CALBAR Implementation Workplan Tasks" attachment included in the RFP, CALBAR expects vendors to prepare deliverables associated with data migration as part of their implementation work plan, including a conversion plan, data conversion map, data cleansing, conversion testing and conversion confirmation. CALBAR expects these deliverables will identify all required CALBAR and vendor personnel responsible for conversion activities. Please note that CALBAR does have staff with expertise related to database administration.

42. **In the additional reference document titled "Objectives and Scope" it states that the project does not include a system that involves Financial Management. However, requirement 7.4 of the Scripted User Specifications refers to the distribution of funds. Can the State Bar please clarify or provide any additional insights?**

    CALBAR expects the proposed system to track requests for funds disbursement and track their subsequent distribution in the case activity log. However, as indicated in Script 7.4, Administer client funds, the actual distribution of funds is a manual process external to the proposed system.

43. **What are the formatting capabilities of the "Comment" field of www.fourproject.com online submittal website (i.e., tables, diagrams, etc.)?**

    The "Comment" field is plain text.

44. **Can the State Bar please confirm the total number of source systems that is expected to be involved in for the data conversion effort to the new system?**

    All data to be converted is from the existing AS/400 case management system, with the exception of data from a separate MS/SQL database supporting CALBAR's assumption of practice.

45. **The RFP materials indicate that the State Bar is looking to conduct a "train the trainer" approach. Can the State Bar provide an estimate of how many trainers will be involved and the training location sites?**

    CALBAR assumes the vendor will work with CALBAR to develop a training plan identifying the types of training CALBAR users require, and expects the vendors to identify how many trainers are required based on its experience, typical class sizes and other factors.

46. **On the Coplan and Company FOUR site, Proposal Sections 1 – 9.6, what is the State Bar looking for in the Comment blocks to each Case Script, if the Responding Vendor answers that script functionality has been "Supported for More than 6 Months".**

    Comments are an optional remark field.

47. **I cannot find a projected go live date for the project. Would it be possible to get an estimated date from you?**

    The State Bar expects each vendor to define the schedule for implementing their system, as indicated in RFP item 15.2.2. The State Bar expects vendors to prepare this schedule, including a go-live date, based on previous experience implementing their proposed solution and the the State Bar's requirements included in the RFP.